Cabinet
Agenda

Date: Tuesday, 3 December 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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Issued by: Oliver Harrison, Democratic Services
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Date: Monday, 25 November 2019

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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 3 December 2019

Cabinet is 12 noon on Monday 2 December 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 3 December 2019 Cabinet is 5.00 pm on Wednesday 27 November. 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

PART C - Non-Key Decisions

Decision Pathway Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 03 December 2019

TITLE	Enabling the VCSE sector support grant	
Ward(s)	**All**	
Author: Penny Germon		Job title: Neighbourhoods and Communities Service Manager
Cabinet lead: Councillor Asher Craig		Executive Director lead: Mike Jackson
Proposal origin: *BCC Staff*		
Decision maker: Cabinet Member **Decision forum:** *Cabinet*		
Purpose of Report: To seek delegated authority to invite VCSE organisations to apply for a grant to build capacity and provide infrastructure support which will enable the voluntary, community and social enterprise sector in Bristol over a period of four years, maintaining the current funding of £316,608 p.a., £1,266,432 over four years. Applications will be invited from VCSE organisations with the track record and depth of experience to build on the journey so far and crucially maximise the city's assets (expertise, skills, knowledge, buildings).		

Evidence Base:
1. The council's investment in the Enabling the VCSE sector grant will contribute to:
       Powerful, thriving communities
       Strong, long term vision and leadership of the sector
       A city plan and approach that reflects the diversity and creativity of the city
 	
2. The existing four year funding agreement for VCSE infrastructure support ends 31st March 2020. Activities include; training, access to advice and expertise, supporting collaboration, voice and influence.
 	
4. In the last two years there has been a 25.5% reduction in the grant from £453,796 to £338,118. An additional contribution of £21,510 is made by the Bristol, North East Somerset & South Gloucestershire Clinical Commissioning Group (BNSSG).
 	
6. The Corporate Strategy and City Plan recognises the vital role of the VCSE in the life of the city and in particular addressing the challenge of reduced public service and increasing inequality. Well run VCSE organisations reach communities, lever in funding and add social and economic capital in ways that BCC cannot.
 	
7. There are significant challenges facing the VCSE sector. There is a need to build on existing resources, embrace technology, find new ways to communicate, diversify funding, prepare for new models of investment and income generation and invest in more collaborative ways of working. The Enabling VCSE grant will provide important capacity building support at a time of significant challenge and change.
 	
8. In Jan 2019 Bristol VCSE launched its 10-year strategy *Into a New Era 2019-2029*.   This is an important piece of work which sets out the sector's impact, potential and ability to meet the challenges ahead and ultimately to help citizens and communities survive and thrive.
 	
9. Organisations supporting the development of the sector in Bristol include: Voscur, Black South West Network, Locality, School of Social Entrepreneurs, Quartet, Bristol & Bath Regional Capital. Many organisations provide		

informal support to small and emerging organisations. Through strategic and operational collaboration the sector is best placed to determine the arrangements and activities to build long term capacity and sustainability and continue to play its role in the leadership of the city. It is, therefore, proposed BCC continue with grant funding (rather than contract).

10. Applications will be invited from VCSE organisations with the track record and depth of experience to build on the journey so far and crucially maximise the city's assets (expertise, skills, knowledge, land and buildings).

11. It is proposed five community development principles underpin the approach i) Inclusion & Equity ii) Asset-based iii) Place Based iv) Citizen-led v) Relational. Together with 5 priority areas of work (see Appendix A).

12. The VCSE sector is hugely diverse, which is a great asset, but there is inequality of opportunity and influence. BCC will expect applicants to have clear proposals for taking positive action to address systemic disadvantage, growing the diversity of the sector and its leadership.

13. A large majority of respondents to the consultation supported the principles and priority areas of work. The proposal has been amended to reflect the key areas of feedback. A summary of the changes can be found in Appendix A.   There are some wider points which will need to be considered by BCC when working with the sector and by applicants when developing proposals:
- There are differences in the priorities for support between organisations under/over £250k income.
- Black and minority ethnic - led organisations emphasised the need for greater equity requiring more bespoke support.
- Collaboration requires investment of time and favours organisations with capacity.
- Grant funding is a necessary and inevitable part of the community and voluntary sector.

Cabinet Member recommends
That Cabinet Authorise the Executive Director Resources in consultation with the Deputy Mayor to:
1. Invite VCSE organisations to apply for a grant to enable the VCSE sector to build capacity and provide infrastructure support from 1st October 2020 – 30th September 2024 at a total cost of £1,266,432 (£316,608 p.a.) with the option to extend by 12 months (taking the total cost up to £1,583,040)
2. To enter into a grant agreement with the successful applicant.
3. To pursue the option to extend the current arrangement by 12 months at a further cost of £316,608 if required.

Corporate Strategy alignment:
1. Corporate Strategy: 'Bristol's diverse and creative community and voluntary sector is one of the city's great assets....We need to work closely together in the spirit of constructive support and challenge, maintaining a sector which is strong and sustainable in its own right.'
2. Empowering and Caring Theme 4: Prioritise community development and enable people to support their community; it is a direct support to 'citizen- and community-led action'.

City Benefits:
1. Enables VCSE participation in the development and delivery of the One City Plan across all priority themes.
2. Positive contribution to tackling inequality

Consultation Details
A consultation with the VCSE, internal stakeholders and partners took place between 19th July and 15th September 2019, consisting of:
- An online survey
- 7 events for VCSE organisations, attendance at a Black South West Network, 1 for internal stakeholders and 1 for councillors
The consultation report is attached at Appendix B

Revenue Cost	£1,266,432 £316,608 p.a.	Source of Revenue Funding	General Fund

Capital Cost	£0	Source of Capital Funding	Not applicable
One off cost ☐ Ongoing cost ☒		Saving Proposal ☐ Income generation proposal ☐	

Required information to be completed by Financial/Legal/ICT/ HR partners:
1. Finance Advice: The request is to maintain the current annual approved funding of £316,608 for a further four years totalling £1,266,432. The report also states that there has been a reduction of 25.5% within the last two years. To protect the revenue position of the council should it be necessary, grant agreements contain a clause to cover for any possible future reductions in funding.
Finance Business Partner: Kevin Lock, Finance Manager, Business Support 19.11.19
2. Legal Advice: **Procurement** Provided the agreement is a grant agreement and not a contract for services, it will not need to be procured in compliance with the Public Contracts Regulations 2015. Client officers will need to seek legal assistance to ensure the agreement is a grant agreement. **Consultation** 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 are at a formative stage (ii) sufficient reasons have been given for the proposals and (iii) adequate time has been allowed for consideration and response. **Equalities** The Council must comply with the requirements of the Public Sector Equality duty when making any decisions. The 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. In order to do this the decision maker must have sufficient information about the effects of the proposed decision on the aims of the Duty. The Equalities Impact Check/Assessment is designed to assist with compliance with this duty. Its purpose is 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. **State Aid** The level of funding proposed would suggest a risk that this grant would or could amount to provision of state aid. Charities, social or community organisations, or awards for the purpose of providing social benefit, are not exempt from the EU State Aid Rules. The purpose is to benefit VCS organisations only local to Bristol, however, suggests strongly that provision of the grant is unlikely to attract international applicants and if so, then it would not amount to EU State Aid.
Legal Team Leader: Sinead Willis, Commercial and Governance Team, 19th November 2019
3. Implications on IT: No direct impact on IT Services, however the statement of 'Developments in digital and online technologies are providing opportunities' will need to be carefully reviewed in alignment to the IT Strategy and the IT Transformation Plan
IT Team Leader: Simon Oliver, Director - Digital Transformation 01.10.19
4. HR Advice: As this relates to a voluntary sector grant proposal there are no HR implications identified in the information provided
HR Partner: Celia Williams, HR Business Partner 4 October 2019
Background Documents: • NAVCA (National Association for Voluntary and Community Action) in its 2015 report 'Change for Good' [1]

- [One City Plan 2019](#)
- [Corporate Strategy 2018–2023](#)
- [Civil Society Strategy 2018](#)
- [Start Somewhere](#): IVAR June 2019 - Key findings from an exploratory study into making technology imaginable and usable for small voluntary organisations.
- [The Value of Small](#): Institute for Voluntary Action Research (IVAR) report: June 2018
- [Power to Change by Black South-West Network, September 2018:](#) This [report](#) identifies "the impact of austerity and the black, Asian, minority ethnic (BAME) sector's disconnect from power." and "a need for strategic investment and infrastructure support to effect positive change within the sector".
- [VCSE Strategy: Into a New Era 2019-2029](#)
- [Powerful Communities, Strong Economies](#): Locality 2017

EDM Sign-off	Mike Jackson	9th October 2019
Cabinet Member sign-off	Councillor Asher Craig	22nd October 2019
For Key Decisions - Mayor's Office sign-off	Mayor's Office	4th November 2019

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	**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**

Enabling the Voluntary, community & social enterprise sector grant

Introduction

Bristol City Council understands the vital role of voluntary, community and social enterprise (VCSE) organisations in the life of the city.   For the city council to achieve its ambitions and meet its challenges we need community, voluntary and social enterprise to thrive. Bristol has the track record, passion, skills, resources, experience and knowledge to meet the challenge.

The VCSE sector is incredibly diverse. There are large organisations with paid staff teams and buildings and small groups of citizens doing things they care about with little or no funding. These organisations are part of a delicate community ecosystem which needs to be nurtured. Ultimately, the power comes from Bristolians organising, problem solving and taking collective action to improve lives and build resilient communities.

VCSE organisations play a key role in redressing disadvantage and inequality; delivering often innovative and niche services; promoting inclusion; strengthening voice and influence; and enabling social action.

The council is committed to strengthening the VCSE sector by adding value to its collective assets and enabling it to build a more sustainable future in changing and often challenging circumstances.

The City Council understands the VCSE is working within a whole city system with public and private sectors and citizens and communities. To get the best outcomes we aim to nurture respectful, trusting and collaborative working relationships where there is mutual encouragement and supportive challenge.

1.   **The proposed approach to commissioning 2020-2024**

The council's investment in the Enabling the VCSE sector grant will contribute to:
  ➢ Powerful, thriving communities
  ➢ Strong, long term vision and leadership of the sector
  ➢ A city plan and approach that reflects the diversity and creativity of the city.

1.1 Ways of Working: our Principles

It is important that support for the VCSE is not an end in itself but is about building the capacity of the sector in order to improve outcomes for people and communities.

The following community development principles will underpin the approach:
•   Equity & Inclusion
•   Place based
•   Asset based
•   Citizen-led
•   Relational

1

Equity & Inclusion

Equity means recognising systemic inequality – there is not a level playing field and so it's appropriate to take positive action to address the balance and achieve equity of outcome. Inclusion means removing cultural, physical and attitudinal barriers so that everyone is welcome and able to participate as equals.

The Enabling the VCSE Grant will:

- Take positive action to address systemic disadvantage and exclusion
- Remove barriers to participation, welcoming in the people who tend to be excluded and under-represented
- Support organisations to build on their practice and policies

Place-based

Bristol is one city with many neighbourhoods. Place based means working 'bottom-up' in a way which is appropriate to the unique dynamics, demographics and environment of the local area. It is about recognising the importance of supporting and nurturing neighbourhood communities in building a resilient city.

The Enabling the VCSE Grant will:
- Strengthen neighbourhood organisations and working
- Encourage connections and collaboration between VCSE organisations
- Contribute to a one city approach

Asset-based

Asset-based means recognising and building on the inherent assets of people and communities and making the best use of skills, experience, resources, positive relationships, things and physical assets that already exist. Asset-based is a counter to deficit-based which starts with everything that is wrong. Asset –based is not about denying there are challenges but starts with the enormous potential of citizens and communities to build their own solutions.

The Enabling the VCSE Grant will:
- Tap into the skills, knowledge, expertise and energy of the sector to build capacity and leadership
- Encourage exchange of assets e.g. skills and knowledge
- Enable VCSE organisations to make best use of the city's diverse resources

Citizen-led

Citizen-led means that the people of Bristol have the ability and desire to take action on the things they care about and we are supporting their lead. Citizen action is at the heart of most VCSE organisations through membership, trustees, volunteers and activists.

The Enabling the VCSE Grant will:
- Support organisations to encourage and enable citizen-led action
- Provide easily accessible support to community groups particularly those with no paid workers.

Relational

Relational is about building connections between people so they can take action on the things that matter to them – whether this is residents, community groups or paid workers. It is about building strong working relationships of trust within the sector, with the communities they are part of and with the council and other partners. It recognises that by investing in building connections we all benefit.

The Enabling the VCSE Grant will:
- Encourage organisations to build connections between neighbours and people with shared interests.
- Foster a culture of strong and collaborative relationships between groups and with partners.

1.2 Priorities for the Enabling the VCSE Sector Support Grant

i. Enable confident leadership and influence so that the VCSE sector, in all its diversity, can:
- play a full part in shaping and achieving the ambition of the city set out in the One City Plan
- influence and shape the Enabling the VCSE Grant so that it responds to the changing priorities of the sector and has maximum impact
- take positive action to address systemic disadvantage

ii. Create the conditions so that organisations are more able to share assets (time, skills, knowledge, experience, money, buildings etc.) and produce collective solutions to shared problems.

iii. Build on the existing business skills and capacity for enterprise. This includes supporting VCSE to access grant funding, find new sources of funding, earned income, income generation and management of assets.

iv. Build on the VCSE's capacity to develop, respond to change and problem-solve through a city offer which will include;
- organisations that are led by equalities groups ([1])
- neighbourhoods and places experiencing greatest disadvantage
- smaller and emerging community groups

v. Support the VCSE sector by accessing local, regional and national assets including; funding and investment opportunities, skills, knowledge, private sector support, data, policy and practice

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[1] women; Black, Asian, and minority ethnic people (BAME); young people and children; older people; disabled people; lesbians, gay men, bisexuals, and transgendered people (LGBT+); people from different faith groups

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1.3 Knowing the sector

Applicants will need to demonstrate they understand the priorities and concerns of the sector and have experience of delivering support to VCSE groups. This will inform proposals making the most effective use of the resources available.

Change for Good report sets out a case for investment in VCSE infrastructure support that requires that "Infrastructure must prove capable of 'redesigning' itself to meet changing demand".

Grant recipient(s) will need to demonstrate:

- What support is best delivered city wide, to enable maximum impact across the city and with minimal duplication.
- What support is best delivered at a more local level to enable support for organisations and communities of specific place and interest.
- How resources can be used to enable flexible, innovative and bespoke support that can adapt quickly to changing priorities.

1.4 Proposals

BCC grant investment is part of the picture in Bristol. There are other organisations supporting and investing in the development of the VCSE sector. Proposals will need to demonstrate how, through strategic and operational collaboration, they will deliver long term capacity building and sustainability and enable the sector to be effective leaders in the one city approach.

1.5. Additional social benefits

Grant recipients will be required to demonstrate additional social benefit from the grant investment.

1.6 Timetable

	From	To
Cabinet decision	3rd December 2019	
Grant opportunity published	16th December 2019	
Grant deadline		May '20
Grants evaluation	May '20	June '20
Grants decision communicated to applicants		June '20
Decommissioning protocol (if required)	July 2020	Sept 2020
Implementation phase	July 2020	Sept 2020
Commencement of new period of grant funding	1st October 2020	-

2. Commissioning options considered:

	Option	Advantages	Disadvantages
1.	Recommission as is (grant)	Recognises that expertise in VCSE support lies in the VCSE sector Consistent with the asset-based approach Assists the organisation to meet the organisation's objectives because these are aligned with the Council's aims and objectives Enables flexibility in shaping and amending how funding is used by negotiation Allows for claw back of un spent funds. Additional social benefits are created	Care needed to develop clear activities and targets with grant recipient(s) so that meaningful progress is described. Benefits from a close grant monitoring working relationship and so requires capacity to support ongoing relationship. Less control for BCC in determining activity
	Conclusion	**Recommended** – empowers the sector to develop proposals to address priorities in the context of the corporate plan	
2.	Specify a service to be commissioned (contract)	Allows for a detailed specification of expected performance Allows for remedies in event of non-performance Additional social benefits are created	Places council in position of 'purchasing' a set of services on behalf of VCSE. More difficult to lever in additional funds to add value
	Conclusion	**Not recommended** - Council not setting out to define the support VCSE needs but is looking to the expertise in the sector to propose against our principles and priorities	
3.	Rationalise	Savings Budget invested in VCSE in others ways	Approach is unsustainable. Impact of sustained investment and capacity building lost to city.

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	Option	Advantages	Disadvantages
		Could lead to new innovations & collaborations	Decline in capacity, sustainability, funding and influence of sector

Reduced additional social benefits are created. |
| | **Conclusion** | **Not recommended** - Unsustainable long term impact on resilience and development of the sector | |
| 4. | De-commission | Savings

Budget invested in VCSE in others ways | Significant decline in capacity, sustainability, funding and influence of sector.

Increasing pressure on statutory services

Mechanism for VCSE participation and representation lost.

VCSE organisations close due to lack of support at critical time

Impact of sustained investment and capacity building lost to city

Risk of decline in external income brought into city by effective VCSE groups |
| | **Conclusion** | Not proposed because disadvantages outweigh any advantage | |

3. Background

3.1 Changing landscape and strategic drivers

Council Corporate Strategy: The Council recognises the VCSE as a key partner in its 2018-2023 Corporate Strategy:
"Bristol's diverse and creative community and voluntary sector is one of the city's great assets....We need to work closely together in the spirit of constructive support and challenge, maintaining a sector which is strong and sustainable in its own right."' At the same time the strategy also sets out the need to deliver savings and to transform what the council is here to do. The council's relationship with community organisations is key to this.

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One City Plan: The Plan sets out ambitious targets for the future of Bristol, decade by decade up to 2050 to make Bristol fair, healthy and sustainable with reduced inequality. The City Office and plan reflects a new approach to city governance where the VCSE are a key partner.

City Fund: will be deploying £10 million in loan and equity capital to organisations using income-generating models to solve some of the most entrenched problems in our city. Applications for investment will be open in 2019.

VCSE Strategy: Into a New Era 2019-2029, led by Voscur. This sets out 6 key objectives for development of the VCSE sector: distributed Leadership; financial independence (commercial approach); improved data and information; independent voice; increased collaboration, partnership and cohesion; greater resilience and adaptability.

Technology: Technology is advancing at pace. Many VCSE organisations struggle to access know how and find the capacity to fully utilise the opportunities available or the innovation that is possible. The Institute of Voluntary Action Research Start Somewhere: '*Key findings from an exploratory study into making technology imaginable and usable for small voluntary organisations',* makes a number of suggestions for improving infrastructure support in this area.

BCC Social Value policy assesses all tenders for council contracts against the social value they are offering the city. Support to the VCSE is one way for them to demonstrate social value. In addition BCC has a target of 40% of all procurement being from VCSE/SME which opens up opportunities for the sector …

Community Development is the process of building thriving communities and is increasingly understood to be vital in transforming the relationships between citizens, communities and institutions. It is about growing the power of people. Asset Based Community Development reminds us that communities have inherent assets including people's skills, knowledge and ideas which are too often overlooked.

Community Anchor Organisations *'are community led, independent of the council and other bodies and tend to be multi-purpose, often managing community buildings and other assets, operating as social enterprises and surviving through generating a diversity of income streams'* (Quartet Community Foundation report, 2017). The report identifies CAO's as having an increasingly important role as a vehicle for investment, delivery of services and activities at a neighbourhood level.

Power to Change by Black South-West Network, September 2018 This report identifies *"the impact of austerity and the black, Asian, minority ethnic (BAME) sector's disconnect from power."* and *"a need for strategic investment and infrastructure support to effect positive change within the sector".* Recommendations include actions around equitable funding; supporting connectivity in the BAME sector; intensive capacity building and support for asset transfer.

Greater distance between VCSE and the public sector: a number of important parts of the public sector now have wider geographic footprints (e.g. West of England Combine Authority; Avon and Somerset Police and Crime Commissioner; the merger of three into one Bristol, North Somerset and South Glos. Clinical Commissioning Group. These changes make direct relationships through partnerships, contracts and grant investment less easy, particularly for smaller, community-based VCSE organisations.

The impact of austerity and pressure on public services: The reduction of services and support resulting from reduced public sector budget is felt in Bristol's most disadvantaged neighbourhoods and communities. This impact is increasingly felt by VCSE organisations. For example, organisations receiving Bristol Impact Fund reported seeing more people than expected with high support needs and in states of crisis.

Major funding programmes closing/reducing: Golden Key, Bristol Ageing Better, Building Better Opportunities, Social Enterprise Innovation Programme.

3.2 Background to the proposed approach to commissioning VCSE support

The council has taken note of the **Bristol VCSE Strategy: Into a New Era 2019-2029** and the '**Change for Good** Report of the Independent Commission on the future of local infrastructure (January 2015)'

Change for Good, a report commissioned by the National Association for Voluntary and Community Action (NAVCA) focused on how infrastructure support is funded and delivered in a landscape of recession and reduced local authority funding. The report recognises:

"The infrastructure of the future is likely to be a much leaner enabler, broker and catalyst rather than necessarily a deliverer." The Report recommends that 'future investment needs to deliver capacity by unlocking social capital and leverage'; and that 'Infrastructure bodies must be relationship builders and brokers capable of levering resources'.

We understand this to mean that our grant funding should be used to unlock resources of many kinds and deepen the supportive co-operation between the VCSE and other sectors within and outside the city.

The Value of Small June 2018 Institute for Voluntary Action Research (IVAR) report supports the focus on the community-building principles underpinning the Enabling the VCSE support grant. This research concluded that small and medium-sized charities ('SMC's' with annual incomes between £10,000 and £1 million) 'are a vital part of everyday life in communities across England and Wales'. They are identified as bringing distinctive contributions at a local level in terms of their:

- Service offer: as first responders to emerging needs; safe spaces to access services; promoting inclusion and belonging
- Approach: person-centred and responsive; trusted, long-term presence; having an open door; quick, responsive decision-making
- Position: within the wider ecosystem of providers, they support reach through their

networks and relationships; play a stabilising role at a local level and support people to navigate crises and pressing issues through their advocacy work

The report recommends strategic actions to support small and medium-sized charities by public sector bodies, including provision of grants; enabling SMCs to access public contracts flexibly and the social value that small and medium-sized charities bring needs to be better expressed and accounted for through commissioning processes.

This research notes 'Importantly, many stakeholders and SMCs spoke of the crucial role of an **effective local infrastructure organisation in facilitating** … area and organisational responses'

The Locality report **Powerful Communities, Strong Economies** (2017) emphasises how resilient economies in local deprived communities can be supported to thrive by embedding an Economic Resilience Framework organised around 7 characteristics.

4 principles guide this framework:

- It is citizen-centric
- It is place-based
- It is dynamic
- It is collaborative

4. Online Consultation, Consultation events and written feedback: Comments and responses and amendments made

	Comments/themes	categories	Proposal responses & amendments
1.	**Current landscape and strategic drivers**		
1.1	changes in the public sector has affected the operating environment for VCSE organisations, with many experiencing greater distance from previously connected public sector organisations. Several important parts of the public sector (examples: West of England Combined Authority; Avon and Somerset Police and Crime Commissioner; the merger of three into one (Bristol, North Somerset and South Glos) Clinical Commissioning Group) now have a wider geographic footprint than their predecessors and this impacts on relationships with the VCSE sector. These changes make direct relationships through partnerships, contracts and grant	Distance between VCSE and public sector services has increased	Comment noted and now included in this section in the Background paper as part of the current landscape and strategic drivers.

	Comments/themes	categories	Proposal responses & amendments
	investment less likely, particularly for our smaller, community-based VCSE organisations. We believe this important context needs to be considered in the commissioning plan		
1.2	Include in 'landscape' section changes in strategic influences should include Public Services are more distant and services have to cover wider areas. (public service shrinking) .	Distance between VCSE and public sector services has increased	
1.3	Are we accepting the Quartet definition of a community anchor organisation? What about key organisation who aren't defined as that?	Anchor organisations	Proposal uses the description in the Quartet Community Foundation report, 2017. We recognise that this is an evolving debate and remain open to new concepts from within the VCSE sector
1.4	How the council is held accountable for some of this. Looking at the priorities and principals. Voscur have tried to be involved in the One City plan and found that difficult. So is it a two way responsibility?	BCC needs to change	Background document amended to reflect this point: 'The City Council understands the VCSE is working within a whole city system with public and private sectors and citizens and communities. To get the best outcomes we aim to nurture respectful, trusting and collaborative working relationships where there is mutual encouragement and supportive challenge. 'And Relational principle expanded to include 'It is about building strong working relationships of trust within the sector, with the communities they are part of and with the council and other partners. It recognises that by investing in building connections we all benefit'
1.5	o Local political issues including upcoming whole council and mayoral election in May 2020	Political change	Comment noted
	Commissioning v Grants	Accessing	Comment noted. See
1.6	• The amount that is available to	contract	Priorities which have been

	Comments/themes	categories	Proposal responses & amendments
	VCSE's who can bid for council contracts dwarfs the amount given ion grants. e.g. MAPS, Targeted Youth Services. Because of this organisations make themselves more attractive to BCC and other commissioning bodies - this major driver in the city	opportunities	amended
	• Some organisations are more able to do this than other, which can lead to smaller VCSE's missing out		
1.7	the language we use: 'co-creating change' - not just volunteering, social engagement, participation – this term is less hierarchical and reflects the changing culture within the sector. people doing things	Language and terminology	Background document amended to reflect this point
1.8	Concerns raised over 'chronic' lack of funding and increasing costs for VCSE sector, especially grass-roots and equalities organisations. Concern over VCSE orgs having to pick up pieces from central services being hit by funding cuts but not having resources themselves. An increase in demand is being met with a cut in resources.	Funding pressure on VCSE	Comment noted
2.	**Ways of Working: 5 community-building principles**		
2.1	**Citizen-led**		
2.1.1	better VCS support itself doesn't try to deliver citizen-led, but support VCS orgs to be citizen-led	Role of VCSE in enabling citizen-led	Principle has been re-worded to clarify: 'Support organisations to encourage and enable citizen-led action '. Clarifies that the grant is about supporting VCSE organisations, not individual citizens
	Misplaced – VCSE support not about individual citizens		
	Good thing – how will council distribute power & resource to truly empower – participatory citizenship		
	Supporting peoples voice most important role of VCSE sector – making sure resident voices are the driver of what happens in locality		
	Re-think citizen led? Needs to be sharper, clearer and more appropriate, more directed at the context that we are discussing – too much of a focus on individuals		

	Comments/themes	categories	Proposal responses & amendments
	Individual v representation of the individual? Is citizen led practical?		
2.1.2	We would appreciate clarification on the intended beneficiaries of the 'Enabling the VCSE sector' such as which forms of organisation will be eligible for the new service?	Eligibility for 'Enabling the VCSE sector' support	
2.1.3	ABCD – this model relies on a lot of assumptions, which are then addressed in the bid, but ABCD is not always practical in terms of implementation and meaningful and long lasting outcomes.	Asset based approaches	
2.1.4	Only focusing on 'bottom-up' risks losing sight of bigger picture; VCSE needs strategic overview	VCSE strategic oversight	
2.1.5	Move towards communities supporting themselves, philosophy is supported but reality is that certain communities won't be able to do that - honest assessments of communities' ability and willingness to support themselves are not undertaken. The more ingrained poverty and deprivation is in a community the less able they are to develop ABCD – there are too many issues to deal with already - too complex, some people need professional support.	Impact of deprivation	
2.2	**Inclusive**		
2.2.1	better to support equalities-led organisations in collaboration with provider to work across the VCSE rather than this role only to sit with the grant recipient	Improving inclusivity	Comments noted. Grant proposal acknowledges 'Grant recipient(s) will need to demonstrate:
	Inclusion often needs city-wide approach as systemic disadvantage cross-cutting		• What support is best delivered city wide, to enable maximum impact across the city and with minimal duplication' (1.3)
	clarification about those that 'tend to be excluded'.		
2.2.2	Equity: include within this principle – equitable outcomes as focus, taking account of marginalisation and exclusion of deprived communities	Equity, not just inclusion	Comments noted. Principle amended to read: '**Equity & Inclusion** Equity means recognising systemic inequality – there is not a level playing field and so it's appropriate to take positive action to
	Equity: needs to be stated as a principle – recognises systematic nature of inequality and effort to achieve a level playing field		

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	Comments/themes	categories	Proposal responses & amendments
	This is problematic. Inclusion is unequitable and excludes those are disadvantaged and marginalised. Inclusivity is not nuanced. Equitable would be a more appropriate principle		address the balance and achieve equity of outcome. Inclusion means removing cultural, physical and attitudinal barriers so that everyone is welcome and able to participate as equal
	Equity allows for a focus on race; you can look at the development of communities and VCSE's, but on their own terms and in their own way.		
2.2.3	Yes, but don't exclude universality – wouldn't want to see only targeted provision	Eligibility for 'Enabling the VCSE sector' support	Comments noted: Proposal amended at 1.2 to read iv. Build on the VCSE's capacity to develop, respond to change and problem-solve **through a city offer which will include**; • organisations that are led by equalities groups ( ) • neighbourhoods and places experiencing greatest disadvantage • smaller and emerging community groups '
2.3	**Asset based**		
2.3.1	need to enable VCSE to increase the profitability of assets – income generation	Using physical assets	Comments noted. Will be shared with applicant organisation(s)
	Some organisations have an asset that is so underused it makes it a burden.		
2.3.2	Only using local assets risks excluding useful outside, external skills	Clarifying asset-based in VCSE context	Comments noted. See 2.1.1 above
	ABCD usually focused on individuals – VCSE support needs to work with organisations, not individuals		
2.3.3	the asset base in some areas and communities is limited and may present development challenges after decades of disadvantage and inequality. So, while the principle may apply in organisational settings, the wider context may present limiting factors that need to be taken into account.	Impact of deprivation	Comments noted. See Priority iv point: '• neighbourhoods and places experiencing greatest disadvantage'
2.3.4	Need better definition of 'collective	leadership	Comments noted

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	Comments/themes	categories	Proposal responses & amendments
	leadership'		
2.4	**Relational**		
2.4.1	access to public boards for VCSE representatives	Strong VCSE voice	Comments noted.
	Important VCSE support org(s) have strong voice at 'top table'		
	Collaboration between VCSE organisations needed to achieve collective strength and to deliver this – one organisation can't do this on their own effectively		
	Culture of collaboration with council: should be culture within the council and VCSE – but not VCSE support org(s) being VCSE rep but supporting the sector to collaborate and represent itself		
2.4.2	Relationship with BCC is fragmented	BCC needs to change	Comments noted. See 1.4 above
	Culture of collaboration with council: should be culture within the council and VCSE		
2.4.3	The 5 principles do not read like principles. They are skills. We should be focusing on relationships and trust. There is a lack of trust; BAME community does not trust BCC because of the lack of accountability. Voscur have lost trust because they have not delivered.	Trust issues	Comments noted. This principle sets out 'It is about building strong working relationships of trust within the sector, with the communities they are part of and with the council and other partners. It recognises that by investing in building connections we all benefit.'
2.4.4	there are challenges to fostering and developing collaboration and partnership which can make it resource intensive and we would suggest this needs taking into account within service expectations.	Collaboration issues	Comments noted.
2.5	**Place-based**		
2.5.1	If focused on specific geographies – place – how does strategic view of needs across city get seen?	VCSE strategic oversight	Comments noted. Priorities include: 'i. Enable confident leadership and influence so that the VCSE sector, in all its diversity, can:
	Inclusion often needs city-wide approach as systemic disadvantage cross-cutting		• play a full part in shaping and achieving the
	What about work that isn't placed-based but enhanced place-based approaches? Single point of delivery		ambition of the city set out

	Comments/themes	categories	Proposal responses & amendments
	can minimise waste and enhance quality assurance.		in the One City Plan . & 1.3 Grant recipient(s) will need to demonstrate:
	This emphasis risks losing a more strategic view. Organisations at local level need strategic, bigger picture and to have national/regional insights - and VCSE support needs to be informed to support policy influencing – resource this.		• What support is best delivered city wide, to enable maximum impact across the city and with minimal duplication.
	Vol groups need to have a wider view of community than your immediate 'patch '		
2.5.2	Whole neighbourhood approach to development by voluntary sector. Economic development and making sure communities benefit from employment	Improving place based approach	Comments noted.
	Communities beginning to take charge of what they want their neighbourhoods to look like.- people as drivers – what's the relationship between VCSE support and those kind of locality approaches where VCSE is an element in a more diverse shared approach?		
	Where does Vol sector infrastructure interface between resident power and more organised VCSE sector. How does VCSE sector support people as the driver.		
	These communities based support are required but they need to be community led.		
2.5.3	Replace this term with 'community-based' to include communities of interest, not just geographical communities	Place based – fit with communities of interest?	Comments noted. Amendments made to Priorities. See 1.2 above
	Some communities not place based but experience-based/culturally based – principles should recognise this		
	ensure that organisations serving and supporting communities of interest/practice are also included.		
	Concerns raised over 'place-based' principle being too geography centric; potential for freezing out equalities groups		
	Community Based as well as place		

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	Comments/themes	categories	Proposal responses & amendments
	based (well supported by the room) – doesn't reflect the fact that BAME populations exist outside of St Pauls		
2.5.4	Disconnect between what Voscur is doing and the funding it receives.	Comment on current Infrastructure service	Comments noted
	You would expect the cut in funding to be higher, given the significant decrease is support and visibility of Voscur.		
	Networks, which were of real value, have disappeared.		
2.6	**General comments**		
	Principle around evidence-based? National, international research and local research		Priority v amended (1.2): v.Support the VCSE sector by accessing local, regional and national assets including; funding and investment opportunities, skills, knowledge, private sector support, data, **policy and practice**
	Needs more focus on purpose of the infrastructure grant		
	Agree but hangs on which groups are empowered and how 'citizen-led' is interpreted		
	Poor presentation – jargon not plain English and too long		
	Well considered and concisely communicated		
	Agree in principle but just noble words, no substance – we've not had any real support from BCC in many years		
	Will have to be very different to the current model		
	Current grant doesn't do any of this		
	Agree – but time and effort to build resource in communities that are harder to engage: that effort should be considered		
	Delivering these principles will require a level of learning and development across the sector.		
	Jargon a big barrier – could VCSE be replaced by something like '3rd sector'		
3.	**The council's proposed priorities**		
3.1	**Maximise strong relationships between VCSE organisations so that VCSEs may share**		

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	Comments/themes	categories	Proposal responses & amendments
	each other's assets (time, skills, knowledge, experience , money, buildings etc.) and produce collective solutions to shared problems		
3.1.1	Facilitating and maximising good use of existing resources – doesn't add anything new	Resource sharing	Comments noted
	Sharing resources – orgs don't have spare resources they can share		
	Assumption of considerable assets to share – doubt this is actually the case		
	Strong relationships: needs to go beyond tokenistic networks: make sure diverse organisations are included and sharing is more effective		
	Ask of organisations needs to be proportionate – expect more of larger orgs and less of smaller ones		
	Larger VSCEs should engage with smaller VCSEs and community groups to co-produce policy, strategy and service provision		
	There is some of that already happening, Knowle West Alliance.		
	There is a move towards a consultancy model where smaller charities hire another organisations fund raiser for a couple of days to kick start it. A possible income generator.		
	It is a hard balance to ensure that by sharing skills you aren't losing out on funding. They do offer funding workshops. Collaboration is key		
3.1.2	Achieve change in how infrastructure support is organised by facilitating a collegiate approach, focusing on the strengths of each partner	Collaboration to build Enabling VCSE support	Comments noted
	BSWN would like to be a partner to deliver into a framework		
3.1.3	Most of VCSE not able to 'earn income' – should be more support to obtain grants. Focus on earned income for larger VCSE organisations and smaller ones with marketable provision that is a priority	Funding and sustainability	Comments noted. Priority iii amended to: 'Build on the existing business skills and capacity for enterprise. This includes supporting VCSE to access grant funding, find new sources of funding, earned income, income generation and management of assets.
	Enterprise not always possible as means of addressing poverty issues, for example; State support and charity support essential and needs to be supported.		

	Comments/themes	categories	Proposal responses & amendments
3.1.4	Council needs to understand how long **collaboration** takes to form and increased central costs of this; tension between working together and innate competition and desire of organisations to retain their identity; sensitive commercial information	Collaboration issues	Comments noted. Proposal amended to read: 1.4 'Proposals will need to demonstrate how, through strategic and operational collaboration, they will deliver long term capacity building and sustainability and deliver the leadership roles in the city
	Recognise costs and limitations of collaboration		
	Cost of collaboration can squeeze out smaller organisations		
	Collaboration has costs – needs to be resourced		
	Understand co-operative approach but ability to dedicate time to networks and speculatory partnerships is hard to achieve – clear objectives for collaboration needed to be effective		The commissioning process has been extended by 12 weeks so that relevant connections can be made
	Delivery in the context of a community assets agenda can attract multiple organisations into collaborative working arrangements that tackle multiple needs and achieve diverse outcomes with one key intervention		
	There is some of that already happening, Knowle West Alliance.		
	When VCSE's have no capacity they cannot be collaborative, don't have time or money to meet, often only 1 person. Initially collaboration means lost income.		
	when orgs collaborate there are number of risks – need to mitigate these as much as possible; time and trust but also firm commitment; Don't want to oversee/surrender uniqueness		
3.1.5	Community accountability – support orgs on how to achieve it	Community accountability	Comments noted.
3.1.6	Develop networks	Support networking	Comments noted.
	Support Peer networking		
3.2	**Strengthen the VCSE's capacity to be enterprising and business-like. This would include supporting VCSEs to find new sources of funding and earned income**		
3.2.1	Train new organisations in good practice – more emphasis governance	Increasing effectiveness	Comments noted.
	Support to VCSE to do business with		

	Comments/themes	categories	Proposal responses & amendments
	council to strengthen business models		
	Fundraising support: Good but not sure it's the role of VCSE support org(s)		
	Skills and resources to do VCSE work welcome		
	Most important priority is to support VSCE organisations to deliver benefits to their users		
	Quality of delivery should be key priority – scaled for smaller organisations so they're not disadvantaged. Problem some orgs can produce good-sounding bids but don't necessarily deliver; ?support good delivery orgs to be able to express their impact more effectively?		
	BAME VCSE: prioritise asset utilisation and maintenance and development of existing community assets, over asset transfer – build capacity to enable sustainable asset transfer in future		
	BSWN: strengthen this priority to include references to community assets to support financial sustainability		
	board members need to understand their role, how this differs from operational work		
3.2.2	Fantasy VCSE can earn income it needs. We're not businesses	Funding and sustainability	Priority amended to read: 'iii. Build on the existing business skills and capacity for enterprise. This includes supporting VCSE to access grant funding, find new sources of funding, earned income, income generation and management of assets.
	Aiming to get us all independent of grants hugely problematic – but we should all be improving how we operate the business aspects of our organisations		
	Lots of SMEs fail in first 5 years anyway – 70% in first 10 years, so operating as businesses in itself doesn't ensure sustainability. Grants are extremely important part of social aspects of VCSEs		
	Core funding is disappearing and smaller innovative groups with it		
	Loss of golden key and other funding streams mean we need large		

	Comments/themes	categories	Proposal responses & amendments
	organisations to leverage funding in to the city – focusing resource on enabling larger orgs to do this will support the ecosystem of the VCSE sector		
	Sustainability? Focus on this should be clearer		
	There is a focus on earned income, but most of the services we deliver do not, by their very nature, generate income.		
3.2.3	BAME VCSE: prioritise asset utilisation and maintenance and development of existing community assets, over asset transfer – build capacity to enable sustainable asset transfer in future	BAME needs	Comment noted
	BSWN: strengthen this priority to include references to community assets to support financial sustainability		
3.2.4	Enterprising and business-like – sounds competitive and about cost/benefit; undermines values-led ethos of VCSE; undermines collaboration and community and co-operation in sector	VCSE ethos	Comment noted. See 3.2.5 below
3.2.5	Patronising to those that are; business-like will not serve those people with support needs	Language and terminology	Comment noted. Priority amended to read: 'iii.Build on the existing business skills and capacity for enterprise. This includes supporting VCSE to access grant funding, find new sources of funding, earned income, income generation and management of assets.
3.2.6	Phone support of Voscur and Quartet has been invaluable this year to help identify where to put limited time into applications	Comment on current Infrastructure service	
3.3	**Strengthen the capacity of the VCSE sector to respond to change, with a clear focus on** • **organisations that are led by equalities groups** • **neighbourhoods and places experiencing greatest inequality** • **smaller and emerging community groups**		
3.3.1	Good to have this	Priorities for the grant	Priority now amended: iv.Build on the VCSE's capacity to develop,
	Potentially, the current eligibility criteria would mean that the service		

	Comments/themes	categories	Proposal responses & amendments
	would have to prioritise: equalities orgs (not high performers), orgs from disadvantaged neighbourhoods (often sparse or dysfunctional in areas with few assets) and start-ups. This would exclude: non-equalities led (99% of sector); organisations in 25 of the cities' wards (most of the sector); any orgs that are established (most of the sector). Clarifying the approach in relation to the intersections of these priorities, and the inverse relation between input to 'fragile' orgs and impact, would be helpful. Without this, the prioritisation has the potential to be a major and controversial challenge.		respond to change and problem-solve **through a city offer which will include**; • organisations that are led by equalities groups ( ) • neighbourhoods and places experiencing greatest disadvantage • smaller and emerging community groups A universal offer is understood. BCC is also asking for a clear element within the universal offer for the three categories set out. The term 'strongly-led' has been removed to eliminate the confusion highlighted
	strongly led' - does this mean 'led mostly by those from this equality group' or 'well led' as an assessment of quality? If the latter, we are unclear on the application of this as an eligibility criteria, given the fundamental focus on equalities groups		
	Priority 3 says that it should be targeted, but groups mentioned is about 90% of the voluntary sector		
	Feels like there is a strong push towards targeting resources to needs- that is spot on. Needs to about the most marginalised.		
	- Supportive of focus on equalities groups		
	Tension raised between supporting new charities to spring up to help support unreached people groups v supporting existing charities to do this.		
	Why smaller and emerging groups?		
3.3.2	Faith: different faith communities experience different levels of disadvantage; BAME led; Muslims; minority faith groups more than while-led Christian	BAME needs	Comments noted. BME organisations needs for bespoke, culturally appropriate service provision and emphasis on equity of outcome will be passed on to organisations applying for the grant and explored at application.
	Tackle disparity in obtaining funding for BAME groups from mainly white panels which don't understand BAME communities		

	Comments/themes	categories	Proposal responses & amendments
	Prioritise specific areas of inequality – communities of Black African descent to produce more equitable outcomes for these communities		
	BAME-led groups needs adequate resources and asset base to raise its own resources		
	BAME-led organisations need investment into a network to meet regularly and network with local funders towards common goals		
	Increase resource for BAME community outreach, community organising and capacity building/mentoring – prioritise BAME-led anchor-type organisations		
	Acknowledge unfairness in current funding and investment for BAME organisations and deliver level playing field for BAME –led organisations		
	Infrastructure bodies define outcomes for transformative change within BAME context – driven by what organisations need and want		
	Need for bespoke support delivered by an organisation that understands black culture, and the differences, distinctiveness and specific challenges that face black VCSE's.		
	We want someone to understand what it is like being a BAME organisation. Not just about being black, but its about understanding the black mandate.		
	A BAME VCSE reads and interprets a grant opportunity differently to the grant maker. The grant maker may have cultural assumptions which put barriers in the way of BAME VCSE's, meaning they are unable to access funds.		
	BCC & Voscur use language that conceals the different identities of BAME organisations and people, including using the word BAME. Not all BAME people are the same; different needs, challenges, identities.		

	Comments/themes	categories	Proposal responses & amendments
	Need for specific support for BAME organisations – a new approach is needed – Voscur's hasn't worked		
	Orgs should represent the communities they currently serve – board of trustee, staff members should have a deep understanding of what it is like to operate as a black VCSE		
3.3.3	Intersectionality needs to be covered	Supporting equality	Comments noted.
	Socio-economic disadvantage needs to be picked up and health inequalities		
	Prioritise race equality and systems change work – change leadership and social impact programmes		
	BCC & Voscur use language that conceals the different identities of BAME organisations and people, including using the word BAME. Not all BAME people are the same; different needs, challenges, identities.		
3.3.4	Need diverse range of VCSEs to support diverse communities – not single, large organisations alone	diversity of VCSE eco-system	Comments noted.
3.3.5	The focus on neighbourhoods/places may result in unintentional barriers for organisations serving communities of practice/interest who may, as a result, feel excluded. While that may be a justified prioritisation, it would be helpful if this could be supported with evidence of differing needs in the consultation plan.	Place based – fit with communities of interest?	Comments noted. Place-based is on principle; Equity & Inclusion also requires: 'Take positive action to address systemic disadvantage and exclusion'. A city-wide approach is part of that where required to take positive action
3.3.6	Support org needs to reflect community and be able to understand challenges – deliver bespoke package of support to that org	nature of support available	Comments noted.
	Level of support is not appropriate, not able to offer enough support (especially during the bid application process)		
	Need a broker – don't have time or capacity to be our own brokers		
	General feeling that VCSE's have to go to Voscur, rather than Voscur		

	Comments/themes	categories	Proposal responses & amendments
	reaching out to VCSE's.		
3.3.7	Support smaller grassroots organisations to compete for resources and grants which don't have capacity of larger organisations	Smaller organisation needs	Comments noted. This is addressed in • organisations that are led by equalities groups • neighbourhoods and places experiencing greatest disadvantage • smaller and emerging community groups
	Focus on training, capacity building information and networking for smaller group, grassroots groups		
3.3.8	but VOSCUR charge for these support services and small organisations can't afford it. They also charge small and large organisations the same fee.	Free support vs charges	Comments noted.
3.3.9	Promoting ability of VCSE to respond to change - ?patronising? VCSE is good at innovation & problem solving	Language and terminology	Comments noted. Priority wording amended to: iv.**Build on the VCSE's capacity to develop, respond to change and problem-solve** through a city offer
	Need to specify mental health, not easily identified under disability;		
	'neighbourhoods and places' and 'greatest inequality' – further clarification of these terms would be helpful		
3.4	**Facilitate confident leadership and influence so that the VCSE sector, in all its diversity, can:** • **play a full part in shaping and achieving the ambition of the city set out in the One City Plan** • **influence and shape the council's future Enabling the VCSE Grant so that it has maximum impact**		
3.4.1	Support feeding into national/international good practice	Influence, shaping policy and practice	Comments noted
	Support representation of the VCSE in decision-making structures		
	Good to have this		
	Resourcing participation on influencing One City Plan – lack of resources much bigger barrier than lack of confidence		
	Wider point about BAME organisations not having the ear of decision makers/funders		
	Funders are always looking for something new		
	Looking for new projects/innovative - sometimes you need continuation of current services, not everything needs to be new. Change in mood		

	Comments/themes	categories	Proposal responses & amendments
	amongst funders but still some work to be done.		
	If we give more voice and influence to VCSE we might see these changes		
3.4.2	Connection to grassroots base and member ship needed	Engaging the sector	Comments noted. Priority i. Enable confident leadership and influence so that the VCSE sector, in all its diversity, can:
	Small grassroots organisations need confidence involvement will lead to progress to invest their time		•play a full part in shaping and achieving the ambition of the city set out in the One City Plan
	Need investment and development funding to develop new ideas and projects with members' involvement		•influence and shape the Enabling the VCSE Grant so that it responds to the changing priorities of the sector and has maximum impact
	if we want/need strong leadership from the VCSE, larger organisations are needed to develop and provide a coordination point for this		
	There is a lack of accountability. Grant Recipient needs to be able to evidence the impact its services are having		
3.4.3	Strong leadership and guiding role needed	Leadership	Comments noted.
3.4.4	Wider point about BAME organisations not having the ear of decision makers/funders	BAME needs	Comments noted.
3.4.5	Statutory sector has to engage with VCSE sector meaningfully and actively	BCC needs to change	Comments noted. See 1.1 Relational principle above
3.5	**Support the VCSE sector by accessing local, regional and national wealth, such as funding and investment opportunities, and other assets, such as skills and knowledge.**		
3.5.1	Need investment and development funding to develop new ideas and projects with members' involvement	Influence, shaping policy and practice	v.Support the VCSE sector by accessing local, regional and national assets including; funding and investment opportunities, skills, knowledge, private sector support, data, policy and practice
3.6	**Other Priorities**		
	What isn't in the document at the moment is the concept of challenge as part of the role of infrastructure managing challenge- critical friend?! Possible in Priorities		Comments noted.
	- Focus on capacity building, leadership and collaboration within the sector		Comments noted.
3.7	**General comments**		
	Has air of BCC walking away from VCSE and merely being a		Comments noted. Intention is to for BCC to

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	Comments/themes	categories	Proposal responses & amendments
	facilitator/enabler.		play an active role in grant monitoring and be an active contributor
	Seems entrenched view of VCSE behind this strategy: as unenterprising; resistant to change; lacking the will to work together; reliant on local authority support. Want a more positive model that acknowledges sector's diversity and has a more asset-based approach to support sector		Comments noted. See amendments to Principles and Priorities above
	BSWN: maximum flexibility and clarity about performance is needed		Comments noted
	Current outcomes are flexible but vague: future funding proposals should request tangible outcomes which are known to be needed, measurable and will make a transformative difference		Online survey also identified specific support needs for different sized VCSE organisations
	Need to connect strategy and delivery in each priority:		Comments noted
	Take this opportunity to review to not repeat the past		Comments noted
	Enable infrastructure bodies to work strategically and become vehicles that can facilitate the investment into dynamic and capable delivery organisations		Comments noted
	Clarity		Comments noted
	What do we mean by equalities led groups?		Definitions set out in Background document
	What do we mean by collaboration?		
	Jargon a big barrier – could VCSE be replaced by something like '3rd sector'		Comments noted
4	**Our Funding Approach**		
4.1	We recognise the intention to enable bidders to develop their collaborative approaches by building time into the process. We noted during the consultation meetings that the council offered to provide facilitation of collaborations – and would be concerned about the impartiality and fairness of such an offer.	Collaboration issues	Comments noted Any facilitation of collaboration would be by an external, independent facilitator, if offered.
	Collaborative arrangements are more challenging. Could become more bureaucratic than delivery.		Proposal has been amended from 'We will require a collaborative approach' to 'Proposals will need to demonstrate

	Comments/themes	categories	Proposal responses & amendments
	BIF collaborations have shown that sometimes when collaboration is involved a lot of the focus can go into the collaboration rather than delivery. So it can effect capacity within the sector and reduce innovation.		how, through strategic and operational collaboration, they will deliver long term capacity building and sustainability and deliver the leadership roles in the city. Responses from grant applicants will be assessed for how they have built a collaborative approach.
	• Collaboration		
	concern raised over time being spent brokering collaboration that may well end up in further cuts and energy wasted. Reference to Youth Organisation contract; small organisations wasted a lot of time trying to be involved in conversation around collaboration.		3 month period in commissioning timetable to allow collaboration. Proposal has given notice from July 2019 of collaborative focus for this commissioning
	Can extra resources/finances will made available to help with collaboration brokering process.		
	VCSEs distinctive identity and ways of doing things We shouldn't force VCSE'S to collaborate where there is no natural synergy.		
	3rd sector may not want to collaborate, and they don't have to sing from the same hymn sheet		
	Struggle to get meaningful collaboration. Collaboration in name only, people just playing the game to get funding.		
	3 months not long enough for focused, principled partnership working		
	Partnerships sometimes work the other way and orgs drag each other down		
	Collaboration and partnership are not the same thing		
	vast majority of small organisations do not have paid staff to manage functions meaning merging/partnering with other organisations becomes difficult.		
	- Need to be clear about tender award process – will points be awarded to bids which are collaborative?		
	need to ensure that any partnership agreements are not tokenistic and we		

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	Comments/themes	categories	Proposal responses & amendments
	need to ensure that any partner organisations are sharing resources fairly.		
4.2	Always advocate getting people out into community anchor organisations – support often central and actually having it based in the community so that the approach is more collaborative in the beginning then its more empowering to communities.	Community based support	Comments noted
	Not all groups want to be constituted formally, but some do. Need a locally based hub that will take the groups that do want to constitute through that process.		
	A local offer plugged into a central view.		
	Funding info best delivered at a local level. As the resources in terms of knowledge and experience (staff) and need will be different at a local level. However more corporate offer would be best done more centrally and co-ordinated.		
4.3	Community Anchor organisations: During the consultation process for the development of the VCSE Strategy for Bristol, we learned of the concerns of some of those organisations (considered as CAO's) regarding what they felt was the imposition of 'others agendas' and pressure to conform to a model or concept which further stretches their resources. There is no doubt that there are key and very effective organisations sitting within a number of communities across Bristol whose 'community reach', knowledge and service delivery will play an important role in the future delivery of the service. However, we believe that a more co-design approach to working with 'CAO's' will not only embed support for a new, collaborative delivery model, but will also enable a more strategic approach through which the VCSE sector can more effectively contribute to citywide	Community Anchor organisations	Comments noted

	Comments/themes	categories	Proposal responses & amendments
	challenges. Without putting 'all the eggs in one basket' the recommissioned service has an opportunity to implement a new approach to increase capacity by unlocking the social capital and leverage ability of CAO's in a way that does not unduly challenge or compete with their existing business.		
4.3	Why not then just give the grant back to VOSCUR and clarify changes?	Funding Approach	BCC wishes to commission a new approach; CCG is a fund contributor into the grant
	- Tension within approach which needs to be addressed:		
	How are the priorities and principles linked in with the CCG and its wider footprint		
4.4	One size fits all approach is problematic. It invisibles and homogenises people. No attempt is made to meet the needs of individual communities.		
4.5	Quality of provision needs to be measured.	Quality Assurance	
4.6	Shared view that word infrastructure adds recognition of what VCSE do (rather than a rather 'fluffy' word like enabling)	Language and terminology	
4.7	We recommend that the final commissioning plan includes the standard consideration of TUPE and for commissioners to make available existing workforce information to bidders.	TUPE	Comments noted. It will include this information
4.8	We recommend that the final commissioning plan includes more details on the assessment method for grant applications and that the process includes an interview as part of the assessment.	Grant Assessment methods	Comments noted.
4.9	We note from the consultation document that the council intends to run a grant process. If the chosen process results in contracts through procurement, it would include a post-notification standstill (Alcatel) minimum period of 10 days. We would ask that a similar appeal period be incorporated into the grant process	Post notification stand-still	Comments noted.

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		Comments/themes	categories	Proposal responses & amendments
	4.10	However, UK economy and society in general, and the sector particularly, has undergone unprecedented change in the years since publication as a result of austerity and the consequent pressure (reducing) public services. This has led to a disproportionately negative impact on the lives of many of our most vulnerable citizens and communities. This, together with the unstable political environment (Brexit) and a rise in the complexity of needs for individuals and communities, demands not only a dynamic and innovative response from the sector but also a wider view of its challenges, needs and opportunities. For example, we believe that the IVAR research report - 'The Value of Small' (June 2018) – provides up to date insight and analysis from the important perspective of small and medium sized charities, which would add to the evidence base for the recommissioning of the service. Additionally, Locality reports and briefings under the 'Keep It Local' campaign such as 'Powerful Communities, Strong Economies' (Nov 2017) also provide more up to date insight, knowledge and information relevant to supporting asset based development and locality based infrastructure support.	Background research suggestions	Comments noted. Background information included in revised proposal.
5.		**Centralised delivery ideas**		
	5.1	Job opportunities and vol opportunities	Centralised service provision	Comments noted.
		Networking, communication.		
		Policy briefing's		
		Knowledge sharing		
		Some role for a central for funding		
		National decision making		
		Horizon scanning, strategy/leadership.		
		As funding pots get done at a city wide level – eg youth funding there is a central role for brokering those so smaller ones don't lose out		

	Comments/themes	categories	Proposal responses & amendments
	Brokering in business support: Voscur are enablers for that or would be useful for someone to have that role centrally.		
	Pro bono would be useful at a corporate level.		
	City voice and leadership (although this needs to be distributed amongst localities as well)		
5.2	One size fits all approach is problematic. It invisibles and homogenises people. No attempt is made to meet the needs of individual communities.	BAME needs	Comments noted.
	The mainstreaming of support offered to BAME orgs led to loss of focus on racial equity, which has had significant negatives impacts on BAME VCSE's.		
	Mainstreaming of support = mainstreaming of gatekeepers to support who aren't willing to be different. They hold the glass ceiling in place.		
5.3	Online might also be difficult as it assumes that people have those skills when they don't	Digital offer	Comments noted. Digital provision and technology is the focus of VCSE development – see 'Start Somewhere' report
6.	**Local delivery**		
6.1	Voice for each locality/wards	Localised service provision	Comments noted.
	Need to recognise the differences in the support that is required to meet the needs of different localities		
7	**Internal Stakeholders comments**		
	Need to be careful about conflict around one organisation being funded to fund other organisations who might be in competition for funding; we should be thinking about an 'ethical wall' / enabling partnerships to avoid competition.		Comments noted.
	Important to work together and have a body which is going to facilitate discussions and opportunities with the VCSE sector.		Comments noted.
	Need to think about how we boost the conversation between		Comments noted.

	Comments/themes	categories	Proposal responses & amendments
	stakeholders		
	Important to be explicit about prospective bid winners and how they will engage in conversations with commissioners and other key areas of BCC.		Comments noted.
	Having an interview helps to add more accountability and robustness to the process		Comments noted.
8	**Councillors comments**		
	Too many organisations might make a partnership unmanageable – but this will be for the sector to work out when putting together a bid		Comments noted.
	There does need to be clarity as to what needs to be city wide and what can be done in certain patches – clarity should help avoid duplication. This will be up for the sector to work out during bid design phase		Comments noted.
	There is an element of additionality: • What the city gets for BCC funding money • What city gets for funding that Grant recipient has leveraged in to the city		Comments noted.
	Role of the Grant Recipient to broker those relationships to ensure that skills and expertise (the offer) is spread across the city • E.g. community plans, which started in one patch of north Bristol spread across the north of the city. • Sharing of learning of work that is currently being done across communities by creating opportunites for relationships to be built		Comments noted.

Enabling the Voluntary, Community and Social Enterprise Sector Grant Consultation

Final report

October 2019

1 Contents

2 Summary of consultation findings

We Asked:

- for comment, feedback and amendments on the following:
    - our assessment of the current landscape and strategic drivers impacting the VCSE in the city
    - Proposed Principles underpinning commissioning of Enabling the VCSE sector grant
    - Proposed Priorities for this grant
    - VCSE organisations to tell us their own top support priorities over the coming period and the top support priorities for other VCSE organisations doing similar work
    - comments on our proposed grant funding approach
- We ran an online survey from 18th July to 15th September 2019. We had 77 partial and 60 complete responses.
- We held 7 engagement events for VCSE organisations; attended an event organised by Black South West Network; held an event for internal BCC stakeholders and for councillors: 63 people attended in total.

You Said:

- **current landscape and strategic drivers**: in addition to our assessment, that public sector changes have created more distance between VCSE and public sector services
- **Proposed principles**: 91% strongly agreed or agreed with our proposed principles; comments included: that Equity should be included as a principle as well as Inclusive; that an emphasis on Place-Based community building shouldn't detract from non-place-based work with communities of interest and of practice; that Asset-based should be clear this grant is about VCSE organisations, not work with individual citizens
- **Proposed priorities**: 88% strongly agreed or agreed with our proposed priorities; comments included: that collaboration between VCSEs is time-consuming and takes a lot of capacity and has risks for organisations; that grants are needed as lots of VCSE can't earn income from their activities; BME-led groups want to get best use of their current assets; that a focus on more hard-pressed, disadvantaged VCSE groups could exclude the wider VCSE sector from getting support; that BME-led groups need bespoke support to redress impacts of disadvantage and to achieve equity of outcome; that grant-recipients need to be accountable to the sector; need to bring in good practice and resources from national sources; that public sector needs to change how they work with VSCE to build successful relationships of trust
- **VSCE support needs**:
    - Groups with less than £250k a year turnover prioritise:
        - making the most of your assets;
        - looking to the future
        - governance, policies and systems
    - Groups with more than £250k a year turnover prioritise:
        - support around money and funding;
        - voice and influence;
        - looking to the future
        - sharing skills and working together
- VCSEs working with disabled people, BME people; with new migrants, refugees or asylum seekers and in specific neighbourhoods prioritised support as follows:

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	working with disabled people	working with BME people	working with new migrants, refugees or asylum seekers	Working in specific neighbourhoods
money and funding	1	1	1	1
making the most of your assets	3	2	2	
governance, policies and systems			2	
Looking to the future		2	1	
Voice and influence	2			2
Equalities			2	
sharing skills and working together				3

- **Our funding approach**: comments included more issues on collaboration and risks it could be bureaucratic or reduce resources for delivery of support; that 3 months period offered to build collaborative proposals wasn't enough time; risk of 'collaboration in name-only' if we require a collaboration; support for co-design with neighbourhood-based and community anchor organisations to create a collaborative delivery model; suggestions made about what support should be city-wide and centralised; what should/could be a more local offer;

3 Introduction: Enabling the Voluntary, community & social enterprise sector grant consultation

Bristol's voluntary, community and social enterprise (VCSE) sector plays a vital role in the city. They are key partners in meeting the challenges and realising the opportunities set out in the BCC Corporate Strategy and One City Plan. The sector in all its diversity is a reflection of Bristol citizens' drive and determination to improve their own communities. The VCSE sector in Bristol plays a key role in:

- Addressing disadvantage and inequality
- Finding new ways to address the priorities and concerns of communities
- Strengthening the voice and influence of communities and citizens
- Promoting inclusion
- Enabling citizens to take action
- Growing social, economic and democratic wellbeing

The council funds the VCSE Infrastructure Support Grant, which is designed to provide support to the VCSE sector to enable it to thrive and to fulfil its role in the city. The current recipient of the VCSE Infrastructure Support Grant is Voscur, the Bristol-based charity.

Voscur use this grant to support the VCSE sector in Bristol. This funding is coming to an end in March 2020.

2.1 The proposed approach to the Enabling the Voluntary, community & social enterprise sector grant

The council's investment in the Enabling the VCSE sector grant will contribute to:

- Powerful, thriving communities
- Strong, long term vision and leadership of the sector
- A city plan and approach that reflects the diversity and creativity of the city

Ways of Working

The council is proposing five community-building principles that would inform its approach to re-commissioning the VCSE Infrastructure Support Grant:

- Place based
- Asset based
- Inclusive
- Citizen-led
- Relational

Place based

Place based means working in a 'bottom-up approach' to meet the unique needs of people in one given location by working together to use the best available resources, local knowledge and insight.

The Enabling the VCSE Grant would:

- Strengthen neighbourhood organisations, prioritising places where there is greatest inequality
- Encourage connections and collaboration between VCSE organisations
- Contribute to a one city approach, working collaboratively with the council to find long term sustainable solutions

Asset based

Asset-based community development means making the best use of the strengths that already exist in the local community. These strengths may include skills, 5 experience and resources. The Enabling the VCSE Grant would:

- Tap into and build on the existing skills, knowledge, expertise and energy of the VCSE sector
- Enable the VCSE sector to make best use of the city's diverse resources
- Encourage the exchange of skills and knowledge within the sector
- Grow capacity, skills and collective leadership within the VCSE sector

Inclusive

Inclusive means working to create communities which are open, tolerant and welcoming to all, particular to people from sections of society who are disadvantaged and at risk of isolation.

The Enabling the VCSE Grant would:

- Welcome in the people who tend to be excluded
- Take positive action to nurture the self-organisation and self-determination of communities who experience systemic disadvantage and exclusion
- Foster attitudes and actions that deepen inclusive behaviours and ways of working

Citizen-led

Citizen-led means that the people of Bristol have the ability, and desire, to improve the lives of the people of the city, and we are supporting their lead.

The Enabling the VCSE Grant would:

- Strengthen the confidence and capacities to support citizens to take action on the things that are important to them
- Provide easily accessible support to community groups, particularly those with no paid workers

Relational

Relational means facilitating the creation of strong working relationships between members of the VCSE sector, their wider communities, the council, public sector and business sector

The Enabling the VCSE Grant would:

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- Build strong and collaborative relationships
- Foster a culture of collaboration with the council, other public sector organisations and business to address the challenges of the city
- Build cohesion and understanding between communities

2.2 The council's proposed priorities for the Enabling the VCSE Sector Support Grant

The council has taken note of the Bristol VCSE Strategy: Into a New Era 2019-2029 and the 'Change for Good Report of the Independent Commission on the future of local infrastructure (January 2015)' (at https://www.bristol.gov.uk/vcseconsultation) in developing our priorities.

Change for Good, a report commissioned by the National Association for Voluntary and Community Action (NAVCA) was published in 2015. The report focused on how infrastructure support is funded and delivered in a landscape of recession and reduced local authority funding. The report recognises that

"The infrastructure of the future is likely to be a much leaner enabler, broker and catalyst rather than necessarily a deliverer." What this means is that VCSE support organisations need to shift from straightforward service delivery to more activities which help VCSE groups help themselves and each other and to pull in support from different sources.

The Report recommends that 'future investment needs to deliver capacity by unlocking social capital and leverage'; and that 'Infrastructure bodies must be relationship builders and brokers capable of levering resources'. We understand this to mean that our grant funding should be used to unlock resources of many kinds and deepen the supportive co-operation between the VCSE and other sectors within and outside the city.

The council therefore proposes that the priorities of the Enabling the VCSE Sector Grant would be:

1. Maximise strong relationships between VCSE organisations so that VCSEs may share each other's assets (time, skills, knowledge, experience, money, buildings etc.) and produce collective solutions to shared problems

2. Strengthen the VCSE's capacity to be enterprising and business-like. This would include supporting VCSEs to find new sources of funding and earned income.

3. Strengthen the capacity of the VCSE sector to respond to change, with a clear focus on

- organisations that are led by equalities groups
- neighbourhoods and places experiencing greatest inequality
- smaller and emerging community groups

4. Facilitate confident leadership and influence so that the VCSE sector, in all its diversity, can:

- play a full part in shaping and achieving the ambition of the city set out in the One City Plan
- influence and shape the council's future Enabling the VCSE Grant so that it has maximum impact

5. Support the VCSE sector by accessing local, regional and national wealth, such as funding and investment opportunities, and other assets, such as skills and knowledge.

The Change for Good report sets out a case for investment in VCSE infrastructure support that requires that "Infrastructure must prove capable of 'redesigning' itself to meet changing demand".

In order to deliver support within the council's proposed principles and priorities, Enabling the VCSE Sector grant recipients would be required to adopt an approach that considers:

- What support is best delivered city wide, to enable maximum impact across the city and with minimal duplication.
- What support is best delivered at a more local level to enable support for organisations and communities of specific place and interest.
- How resources can be used to enable flexible, innovative and bespoke support that can adapt quickly to changing priorities.

2.3   Our Funding approach

We will require a collaborative approach to delivery of infrastructure support to the sector. Collaboration between VCSEs is a key element in sustaining the city's VCSE sector in the coming years. To enable this we propose to build in a 12-week period to allow collaboration and partnership working to be explored by potential delivery organisations.

3 Methodology

3.1 Online survey

An online survey was published on the council's consultation hub (https://bristol.citizenspace.com/). The survey included links to:

- The Bristol Council Corporate Strategy
- The One City Plan
- The Bristol VCSE Strategy: Into a New Era 2019-2029 (https://www.voscur.org/services/influence/strategy-and-relationships)
- A background document that included further information on the background to the proposals such as the current landscape and strategic drivers

The survey questions included four sections:

- The proposed priorities of the Enabling the VCSE Support Grant
- The proposed principles of the Enabling the VCSE Support Grant
- VCSE organisations' top three priorities and a free textbox for respondents to make suggestions for additional priorities
- Questions that asked for information about the responding organisation
- VCSE organisations' top support priorities, both for their own organisation and their wider VCSE community
- Standard 'about you' questions, however the majority of respondents completed the survey on behalf of an organisation

Respondents could choose to answer some or all of the questions in any order and save and return to the survey later.

3.2 Engagement events

- 7 consultation events for VCSE organisations were held; 5 generic, open to any VCSE organisation; 1 for equalities organisations; 1 for community anchor organisations.
- We also attended a consultation event for BME-led organisations organised by the Black South West Network
- We held 1 consultation for internal, BCC stakeholders and 1 for councillors
- 50 people attended the external consultation events; 7 attended the BCC stakeholder event and 6 attended the councillor event: 63 in total

4 Survey results

4.1 Characteristics of respondents

Respondents were asked whether they were responding as an individual, on behalf of a VCSE organisation, as a councillor or in any other capacity. 58 respondents answered the question, of which:

- 44 (76%) responded on behalf of a VCSE organisation
- 11 (19%) responded as an individual
- 1 (2%) responded as a trustee/ VCSE consultant
- 1 (2%) responded as an individual on behalf of a VCSE organisation and
- 1 (2%) responded as a commissioner

See figure 5.1.1 below.
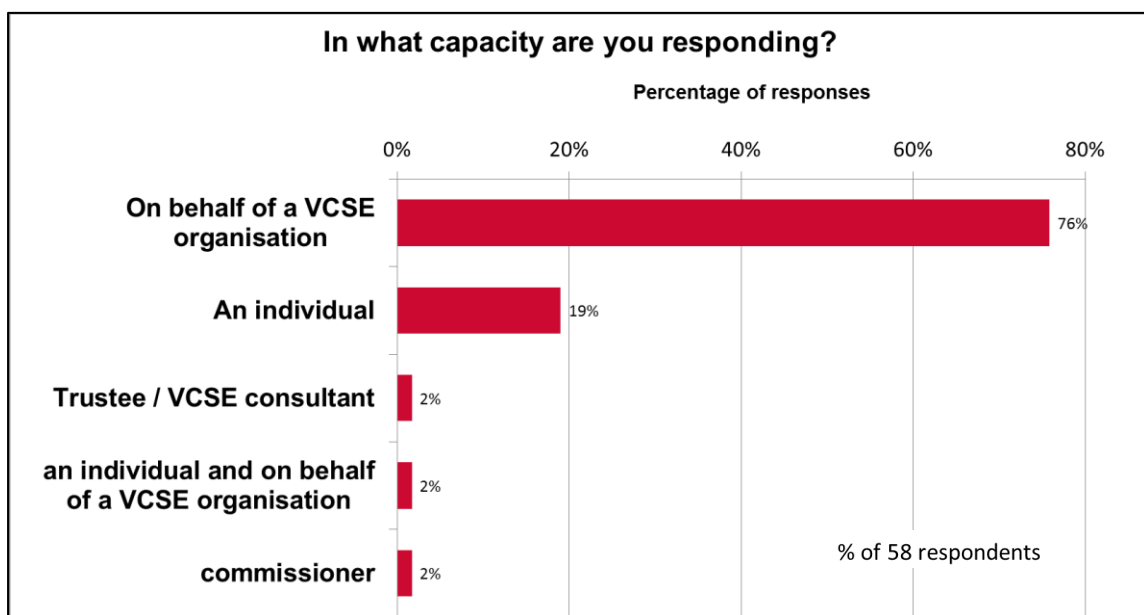
Figure 4.1.1

Respondents were asked which areas of interest their VCSE organisations work in. Respondents selected 235 areas of interest, the most common of which were:

- Health and wellbeing, 28 respondents selected this area
- Community development, 26 respondents selected this area
- Information advice and guidance, 23 respondents selected this area
- Equalities, 21 respondents selected this area
- Neighbourhood, 21 respondents selected this area

See figure 5.1.2 below.

Which of the following areas of interest does your VCSE organisation work in?

Area of interest	Number of responses
Health and Well Being	28
Community development	26
Information, Advice & Guidance	23
Equalities	21
Neighbourhood	21
Children's and Families	17
Arts and Culture	14
Adult Social Care	14
Jobs and Skills	13
Sport and Leisure	10
Campaigning	9
Environmental	9
Community Safety	7
Economy	7
Regeneration	6
Transport	5
Research	1
Disabilities	1
Planning	1
Young People and Community Building Management	1
Local authority	1

Of 235 areas of interest selected

Figure 4.1.2

Respondents were asked which groups their VCSE organisations primarily work with. Respondents selected 127 groups that their organisations work with, the most common of which were:

- Disabled people, 17 respondents selected this group
- Older people, 16 respondents selected this group
- Black Minority Ethnic (BME), 15 organisations selected this group

See figure 5.1.3 below.
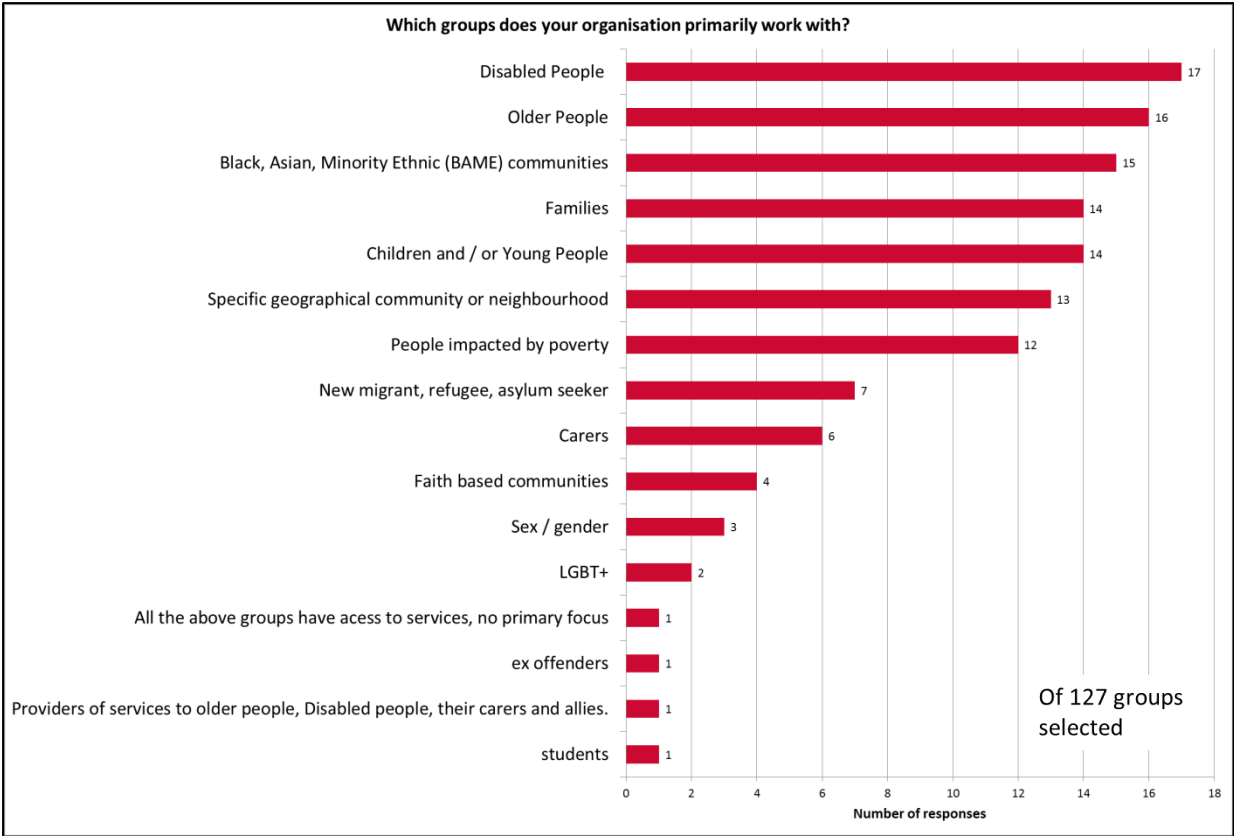
Figure 4.1.3

Respondents were asked which areas of Bristol their VCSE organisations works in. 88 areas were selected by respondents, the most common of which was city wide, this area was selected by 29 respondents. See figure 5.1.4 below.

Which areas of Bristol does your organisation work in?

Area	Number of responses
City wide	29
Lawrence Hill	5
Easton	5
Central	5
Ashley	5
Lockleaze	4
Bedminster	4
Avonmouth and Lawrence Weston	4
Windmill Hill	3
Knowle	3
Filwood	3
Brislington West	3
Brislington East	3
Stockwood	2
Southville	2
Hengrove and Whitchurch Park	2
Henbury and Brentry	2
Hartcliffe and Withywood	2
Southmead	1
Horfield	1
Bishopsworth	1

Of 88 areas selected

Number of responses

Figure 4.1.4

Respondents were asked what their VCSE organisation's annual turnover is. 41 respondents selected their organisation's annual turnover, of which:

- 8 (20%) respondents selected below £20k
- 5 (12%) respondents selected £20k to £50k

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- 15 (37%) respondents selected £50k to £250k
- 8 (20%) respondents selected £250k to £1m
- 5 (12%) respondents selected over £1m

See figure 5.1.5 below.

VCSE organisation's annual turnover

Category	Percentage
£50k to £250k	37%
Below £20k	20%
£250k to £1m	20%
Over £1m	12%
£20k to 50K	12%

% of 41 responses

Percentage of responses
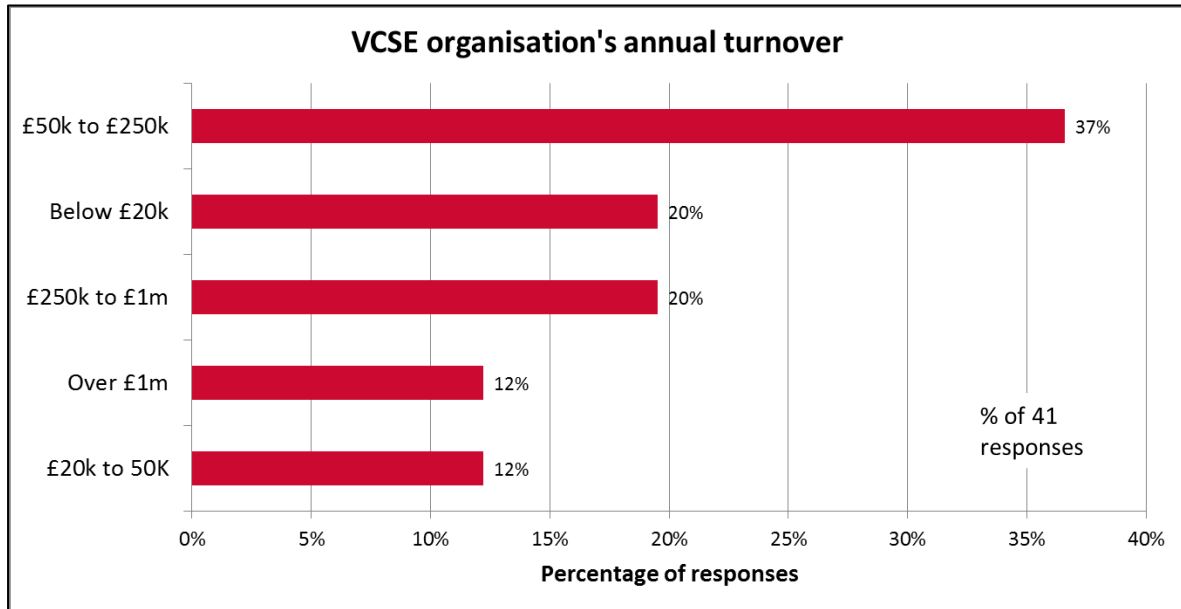
Figure 4.1.5

4.2 Principles of the Enabling the VCSE support grant

Respondent were asked the extent to which they agreed or disagreed with the proposed principles of the Enabling the VCSE Infrastructure Grant.

58 respondents expressed a view, of which:

- 53 (91%) agreed or strongly agreed with the proposed principles
- 1 (2%) neither agreed or disagreed and
- 4 (7%) agreed or strongly disagreed

See figure 5.2.1 below.

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To what extent do you agree or disagree with the principles of the Enabling the VCSE Grant?

Percentage of responses

Response	Percentage
Strongly agree	52%
Agree	40%
Neither agree nor disagree	2%
Disagree	5%
Strongly disagree	2%

% of 58 respondents who expressed a view
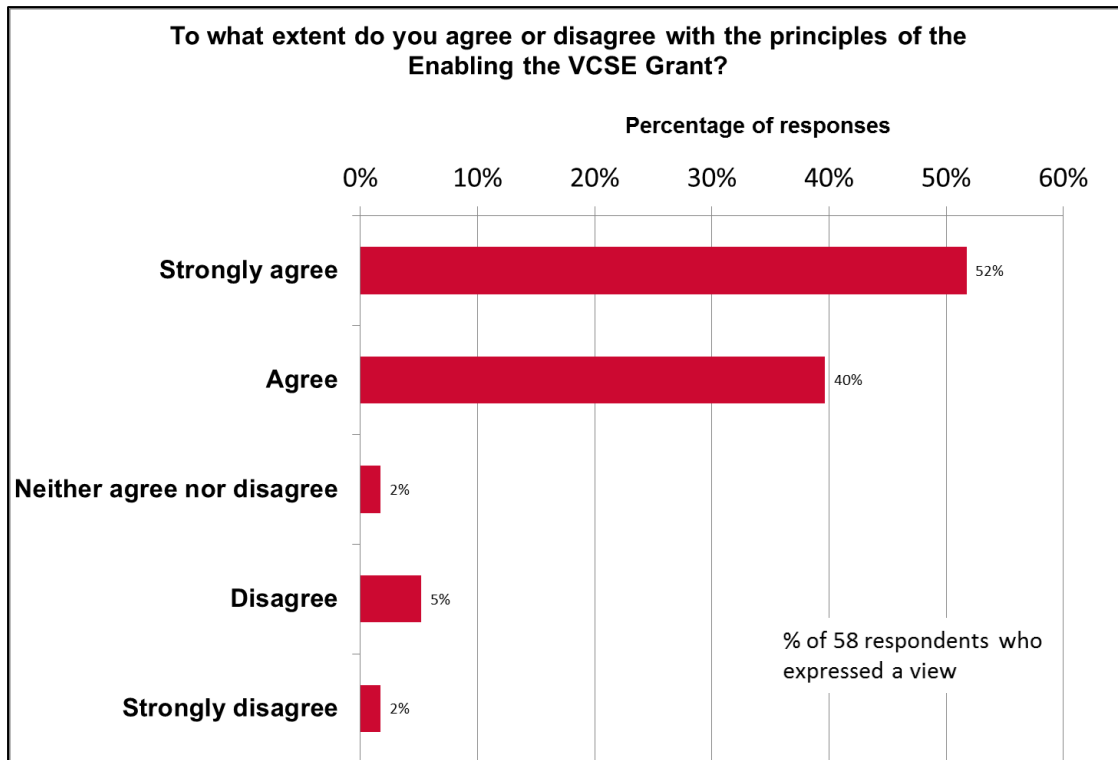
Figure 4.2.1

41 respondents expressed a view of this proposal and stated the annual turnover of their VCSE organisation. The following graph shows the extent to which these organisations agreed or disagreed with the proposed principles, broken down by organisations with less than £250k annual turnover (n=28) and more than £250k annual turnover (n=13).

- Of the VCSEs with less than £250k annual turnover, 27 (96%) agreed or strongly agreed with the proposed principles, none neither agreed nor disagreed and 1 (4%) disagreed or strongly disagreed.
- Of the VCSEs with more than £250k annual turnover, 12 (92%) agreed or strongly agreed with the proposed principles, none neither agreed nor disagreed and 1 (8%) disagreed or strongly disagreed.

See figure 5.2.2 below.

Agreement with VCSE grant principles by annual turnover

Legend:
- Strongly Agree
- Agree
- Neither agree nor disagree
- Disagree
- Strongly disagree

All %
- Strongly Agree: 52%
- Agree: 40%
- Neither agree nor disagree: 2%
- Disagree: 5%
- Strongly disagree: 2%

More than £250k
- Strongly Agree: 54%
- Agree: 38%
- Neither agree nor disagree: 0%
- Disagree: 8%
- Strongly disagree: 0%

% of 58 total respondents

% of 13 VCSE organisation with more than £250k turnover

% of 28 VCSE organisations

Less than £250k
- Strongly Agree: 61%
- Agree: 36%
- Neither agree nor disagree: 0%
- Disagree: 4%
- Strongly disagree: 0%

Figure 4.2.2

4.3   Priorities of the Enabling the VCSE support grant

Respondents were asked the extent to which they agree or disagree with the proposed priorities of Enabling the VCSE Infrastructure Grant.

56 respondents expressed a view of which:

- 49 (88%) respondents agreed or strongly agreed with the proposed priorities
- 3 (5%) respondents neither agreed nor disagreed and
- 4 (7%) respondents disagreed with the proposed priorities

See figure 5.3.1 below.

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To what extent do you agree or disagree with the priorities of the Enabling the VCSE Grant

Percentage of responses

Strongly agree	54%
Agree	34%
Neither agree nor disagree	5%
Disagree	7%

% of 56 respondents who expressed a view
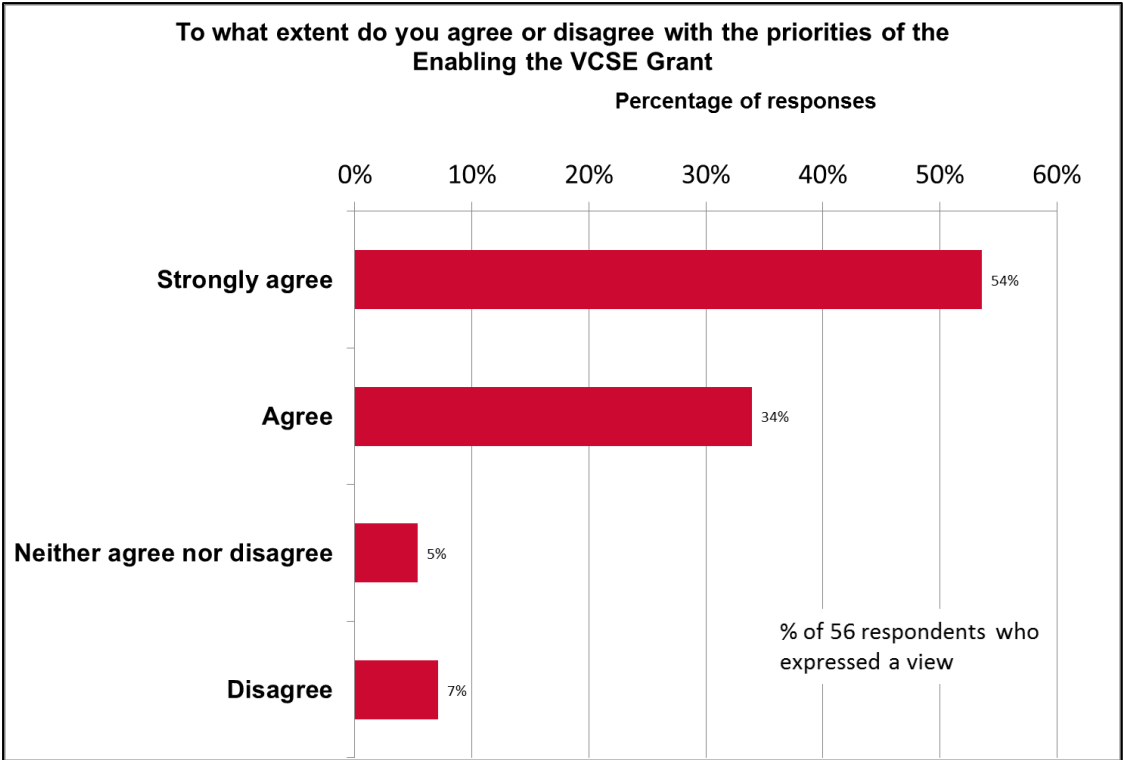
Figure 4.3.1

39 respondents expressed a view of this proposal and stated the annual turnover of their VCSE organisation. The following graph shows the extent to which these organisations agreed or disagreed with the proposed priorities, broken down by organisations with less than £250k annual turnover (n=26) and more than £250k annual turnover (n=13).

- Of the VCSEs with less than £250k annual turnover, 25 (96%) agreed or strongly agreed with the proposed priorities, 1 (4%) neither agreed nor disagreed and none disagreed nor strongly disagreed.
- Of the VCSEs with more than £250k annual turnover, 25 (96%) agreed or strongly agreed with the proposed priorities, 1 (4%) neither agreed nor disagreed and none disagreed nor strongly disagreed.

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See figure 5.3.2 below

Agreement with VCSE grant priorities by annual turnover
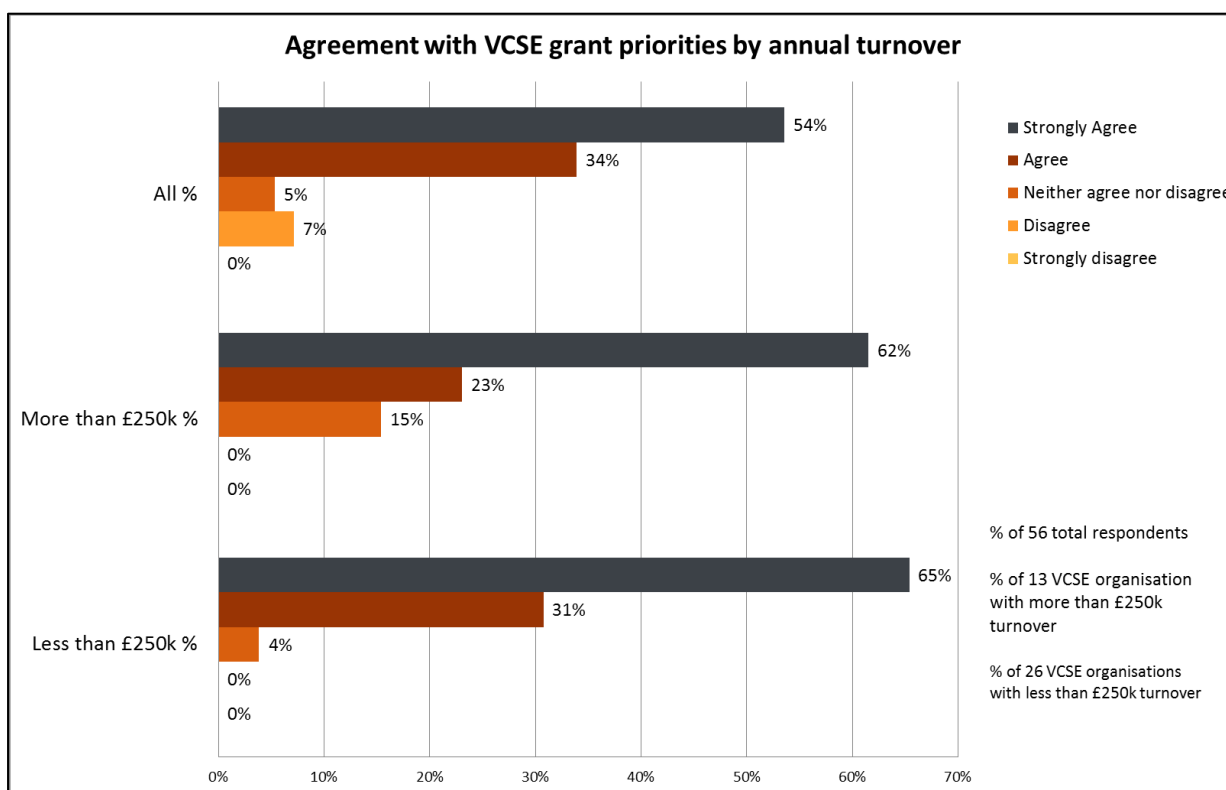
.**Figure 4.3.2**

4.4 Top three priorities most important to VCSE organisations

Respondents were asked to rank in order of importance five priorities that are most important to their VCSE organisation. 50 respondents ranked the following priorities:

- Priority 1: Support the VCSE sector by accessing local, regional and national wealth (n=39)
- Priority 2: Facilitate confident leadership and influence (n=29)
- Priority 3: Strengthen the capacity of the VCSE sector to respond to change. (n=39)
- Priority 4: To support the financial sustainability of the VCSE sector by strengthening the VCSE's capacity to be enterprising and business-like (n=33).
- Priority 5: Maximise strong relationships between VCSE organisations so that VCSEs may share each other's assets and produce collective solutions to shared problems (n=36).

The following graph shows the number of respondents that selected each priority as most important, of medium importance and as least important. Respondents most commonly ranked:

Page 60

- As most important - Priority 5: Maximise strong relationships between VCSE organisations so that VCSEs may share each other's assets and produce collective solutions to shared problems (n=18)
- As of medium importance - Priority 1: Support the VCSE sector by accessing local, regional and national wealth (n=10)
- As least important – Priority 3: Strengthen the capacity of the VCSE sector to respond to change (n=13)

See figure 5.4.1 below.
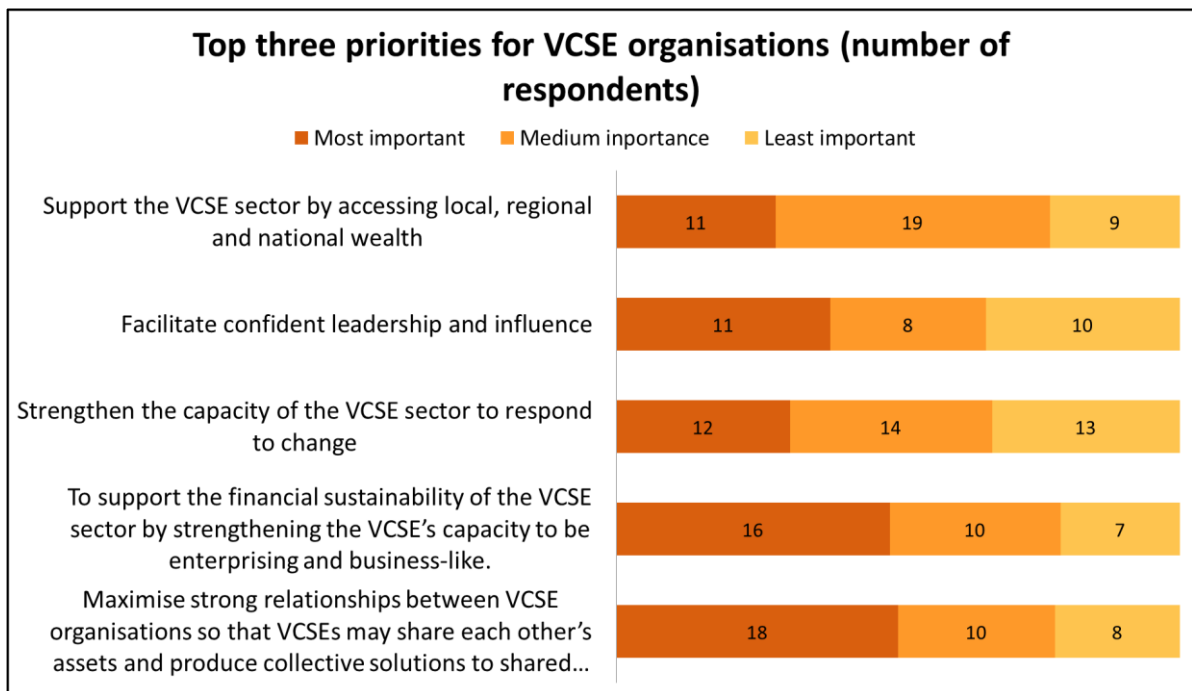
Figure 4.4.1

4.5 Top three priorities most important to VCSE organisations by annual turnover

Of the 50 respondents who ranked the top three priorities for their VCSE organisations, 43 also stated their organisation's annual turnover. The following graph shows number of respondents that selected each priority as most important, of medium importance and as least important from VCSE organisations with an annual turnover of less than £250k and with an annual turnover of more than £250k.

Organisations with an annual turnover of less than £250k most commonly ranked:

- As most important - Priority 4: To support the financial sustainability of the VCSE sector by strengthening the VCSE's capacity to be enterprising and business-like (n=8)
- As of medium importance - Priority 1: Support the VCSE sector by accessing local, regional and national wealth (n=10)
- As least important – Priority 3: Strengthen the capacity of the VCSE sector to respond to change (n=8)

Organisations with an annual turnover of more than £250k most commonly ranked:

- As most important - Priority 1: Support the VCSE sector by accessing local, regional and national wealth (n=5)
- As of medium importance - Priority 3: Strengthen the capacity of the VCSE sector to respond to change.
- As least important - Priority 2: Facilitate confident leadership and influence

See figure 5.5.1 below.

Top three priorities for VCSE organisations by annual turnover (number of respondents)

■ Most important priority ■ Medium importance priority ■ Least important priority

> £250k Support the VCSE sector by accessing local, regional and national wealth — 5, 4, 2

< £250k Support the VCSE sector by accessing local, regional and national wealth — 6, 10, 4

> £250k Facilitate confident leadership and influence — 3, 1, 4

< £250k Facilitate confident leadership and influence — 6, 4, 5

> £250k Strengthen the capacity of the VCSE sector to respond to change — 2, 6, 2

< £250k Strengthen the capacity of the VCSE sector to respond to change — 7, 5, 8

> £250k To support the financial sustainability of the VCSE sector by strengthening the VCSE's capacity to be enterprising and business-like. — 4, 0, 3

< £250k To support the financial sustainability of the VCSE sector by strengthening the VCSE's capacity to be enterprising and business-like. — 10, 8, 2

> £250k Maximise strong relationships between VCSE organisations, share each other's assets and produce collective solutions to shared problems — 4, 2, 1

< £250k Maximise strong relationships between VCSE organisations, share each other's assets and produce collective solutions to shared problems — 9, 6, 7

Figure 4.5.1

4.6   Organisational support needs for VCSEs

Respondents were asked to select three support needs that were most important to their VCSE organisation. 126 support needs were selected, the most common of which were:

- Money, 28 (22%) organisations selected this as one of their top three support needs
- Understanding and making the most of your organisation's assets, 19 (15%) organisations selected this as one of their top three support needs
- Voice and influence, 18 (14%) organisations selected this as one of their top three support needs

The least commonly selected support need was accessing information sharing as this was selected by 1 (1%) respondent. See figure 5.6.1 below.

Top three support needs for your VCSE organisation

Support need	%
Money	22%
Understanding and making the most of your organisation's assets	15%
Voice and influence	14%
Looking to the future	10%
Community development	10%
The right governance, policies, systems and procedures	9%
Sharing skills and working together	6%
Equalities	6%
Communications and marketing	5%
Roles and responsibilities of trustees/management committees…	4%
Accessing information sharing	1%

% of 126 support needs selected

Percentage of responses

Figure 4.6.1

4.7 Organisational support needs by annual turnover

Of the 126 top three organisation support needs selected by VCSEs, 81 support needs were selected by organisations with an annual turnover of less than £250k and 37 support needs were selected by organisations with an annual turnover of more than £250k.

The support needs most commonly selected by VCSE organisations with an annual turnover of less than £250k were:

- Money, which was selected by 17 (21%) respondents
- Understanding and making the most of your organisation's assets, which was selected by 14 (17%) respondents
- Looking to the future, which was selected by 8 (10%) respondents and
- The right governance, policies, systems and procedures, which was selected by 8 (10%) respondents

The support needs most commonly selected by VCSE organisations with an annual turnover of more than £250k were:

- Money, which was selected by 10 (27%) respondents
- Voice and influence, which was selected by 10 (27%) respondents
- Looking to the future, which was selected by 4 (11%) respondents and
- Sharing skills and working together, which was selected by 4 (11%) respondents

See figure 5.7.1 below.

VCSE organisation's top three support needs by annual turnover

Support need	More than £250k	Less than £250k
Money	27%	21%
Voice and influence	27%	7%
Understanding and making the most of your organisation's assets	8%	17%
Looking to the future	11%	10%
The right governance, policies, systems and procedures	5%	10%
Sharing skills and working together	11%	4%
Community development	8%	9%
Equalities	0%	9%
Communications and marketing	0%	7%
Roles and responsibilities of trustees/management committees members and paid staff	3%	5%
Accessing information sharing	0%	1%

% of 81 top support needs for VCSE organisations with an annual turnover of less than £250k

% of 37 top support needs for VCSE organisations with an annual turnover of more than £250k

Figure 4.7.1

4.8 Organisational support needs for VCSEs that work with certain groups

Of the 126 top three organisational support needs selected by VCSEs;

- 49 support needs were selected by organisations that work with disabled people,
- 42 support needs were selected by organisations that work with BME communities,
- 21 support needs were selected by organisations that work with new migrants, refugees or asylum seekers and
- 37 support needs were selected by organisations that work with a specific geographical community or neighbourhood

The top three organisational support needs selected by VCSEs that work with disabled people were:

- Money, selected by 10 (20%) respondents

24

- Voice and influence, selected by 9 (18%) respondents
- Understanding and making the most of your organisation's assets, selected by 6 (12%) respondents

See figure 5.8.1 below.

Support priorities for VCSEs that work with disabled people

Support priority	%
Money	20%
Voice and influence	18%
Understanding and making the most of your organisation's assets	12%
Community development	10%
Looking to the future	10%
Sharing skills and working together	10%
Equalities	8%
Communications and marketing	6%
The right governance, policies, systems and procedures	2%
Roles and responsibilities of trustees/management committees members and paid staff	2%
Accessing information sharing	0%

% of 49 support priorities for VCSE organisations that work with disabled people

Figure 4.8.1

The top three organisational support needs selected by VCSEs that work with BME communities were:

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25

- Money, selected by 10 (24%) respondents
- Understanding and making the most of your organisation's assets, selected by 6 (14%) respondents
- Looking to the future, selected by 6 (14%) respondents

See figure 5.8.2 below.

Support priorities for VCSEs that work with BAME

Category	%
Money	24%
Understanding and making the most of your organisation's assets	14%
Looking to the future	14%
Community development	10%
Communications and marketing	10%
The right governance, policies, systems and procedures	7%
Equalities	7%
Voice and influence	7%
Sharing skills and working together	7%
Roles and responsibilities of trustees/management committees members and paid staff	0%
Accessing information sharing	0%

% of 42 support priorities for VCSE organisations that work with BAME

Figure 4.8.2

The top organisational support needs selected by VCSEs that work with new migrants, refugees or asylum seekers were:

26

- Money, selected by 4 (19%) respondents
- Looking to the future, selected by 4 (19%) respondents
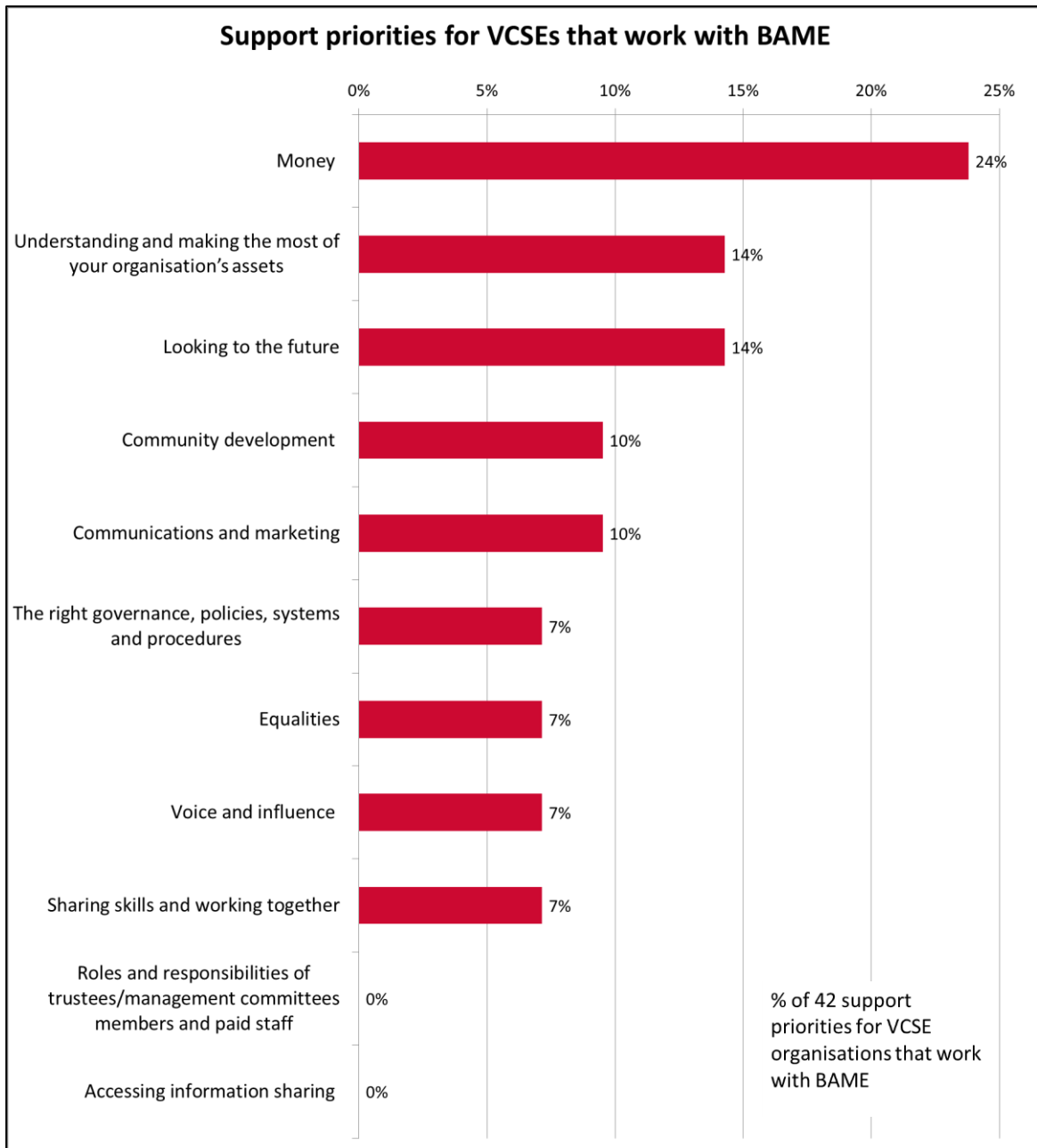- Understanding and making the most of your organisation's assets, selected by 3 (14%) respondents
- The right governance, policies, systems and procedures, selected by 3 (14%) respondents

See figure 5.8.3 below.

Support priorities for VCSEs that work with new migrants, refugees or asylum seekers

Priority	%
Money	19%
Looking to the future	19%
Understanding and making the most of your organisation's asset	14%
The right governance, policies, systems and procedures	14%
Equalities	14%
Community development	5%
Voice and influence	5%
Communications and marketing	5%
Sharing skills and working together	5%
Roles and responsibilities of trustees/management committees members and paid staff	0%
Accessing information sharing	0%

% of 21 support priorities for VCSE organisations that work with new migrants, refugees or asylum seekers
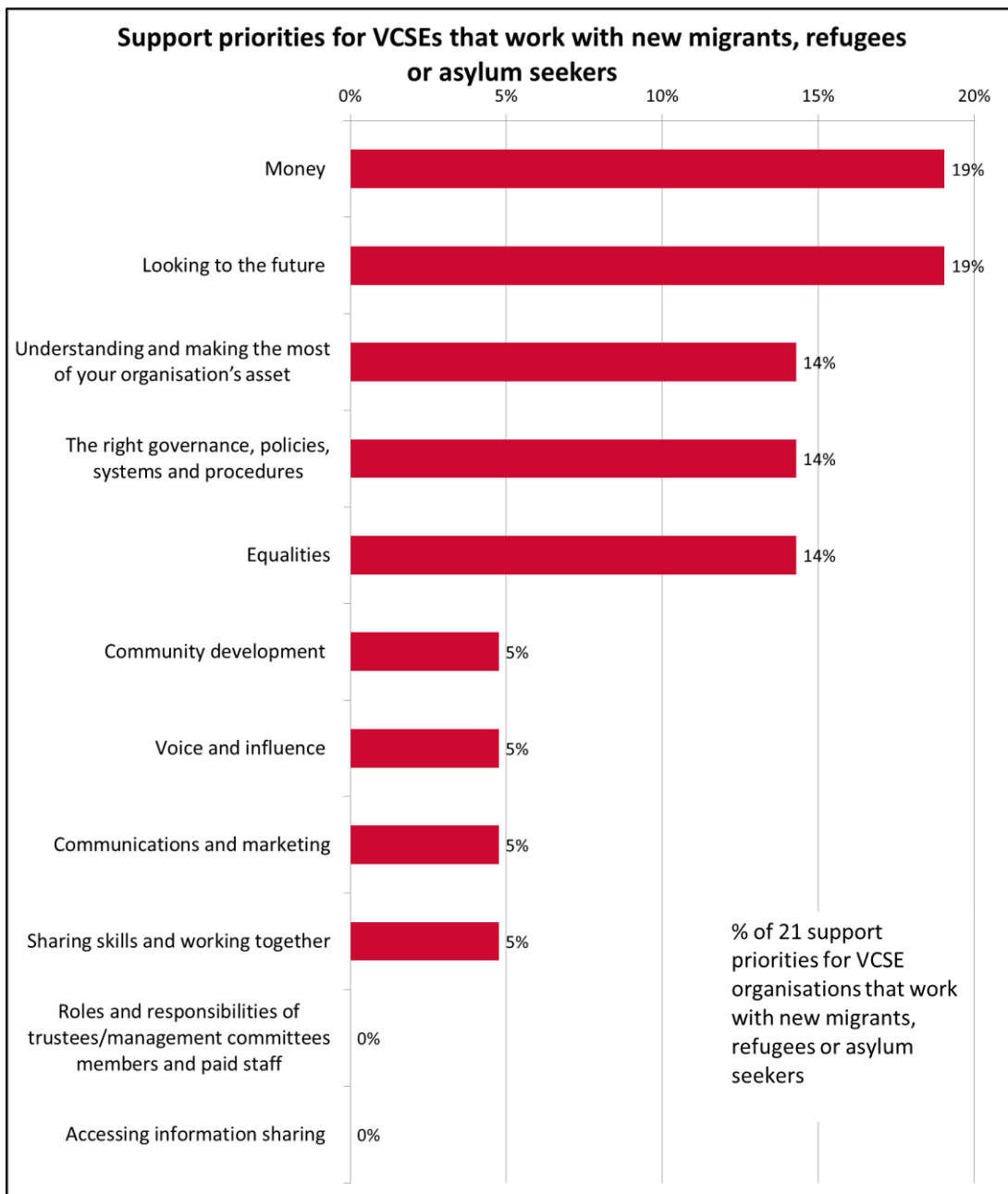
Figure 4.8.3

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The top three organisational support needs selected by VCSEs that work with a specific geographical community or neighbourhood were:

- Money, selected by 7 (19%) respondents
- Voice and influence, selected by 6 (16%) respondents
- Sharing skills and working together, selected by 5 (14%) respondents

See figure 5.8.4 below.

Support priorities for VCSEs that work with a specific geographical community or neighbourhood

Category	%
Money	19%
Voice and influence	16%
Sharing skills and working together	14%
The right governance, policies, systems and procedures	11%
Community development	11%
Understanding and making the most of your organisation's assets	8%
Looking to the future	8%
Roles and responsibilities of trustees/management committees members and paid staff	5%
Equalities	3%
Accessing information sharing	3%
Communications and marketing	3%

% of 37 support priorities for VCSE organisations that work with a specific geographical community or
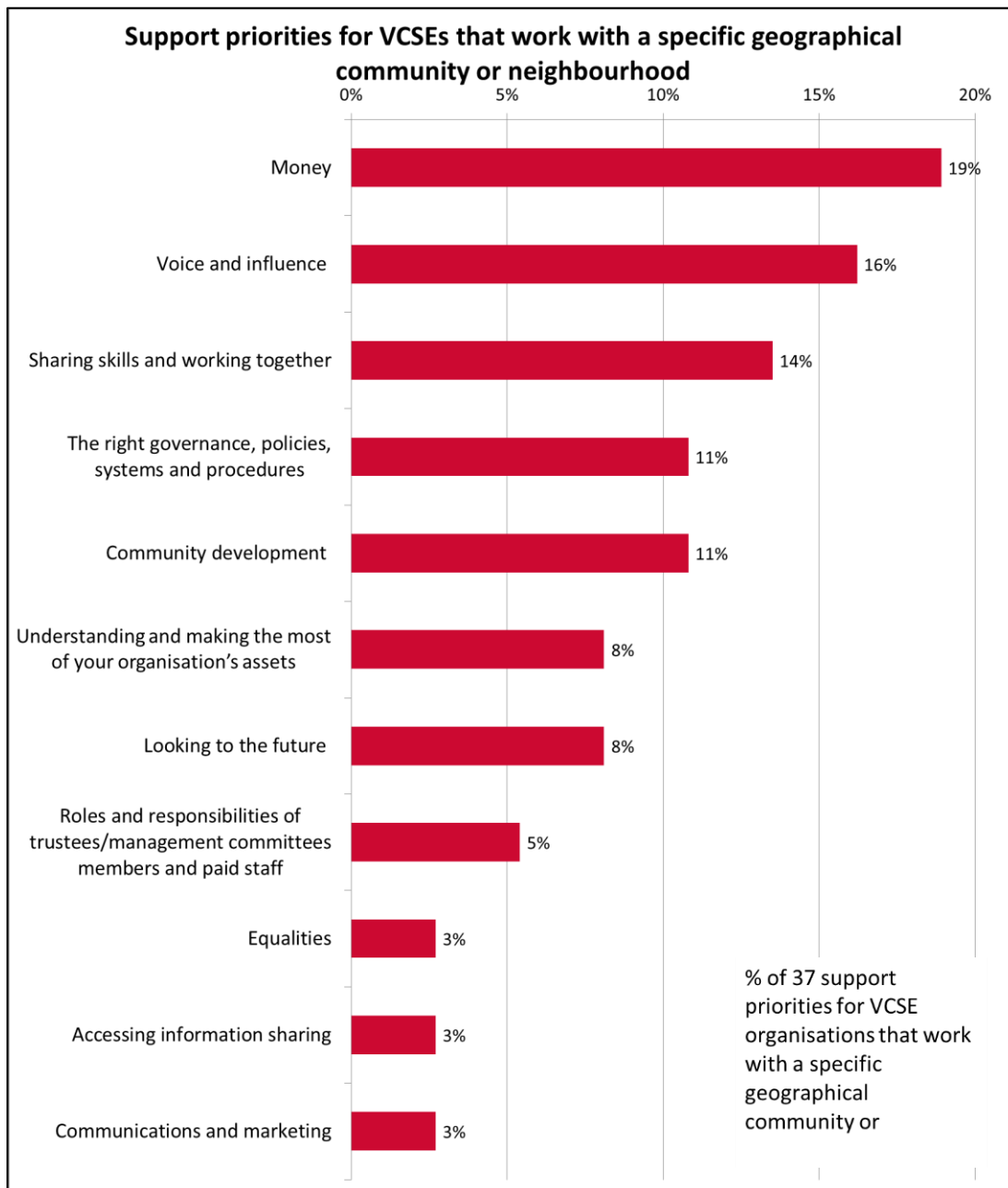
Figure 4.8.4

4.9 Top organisational priorities for VCSEs within the understanding and making the most of your organisation's assets area of support

The respondents who selected "understanding and making the most of your organisation's assets" were asked to select their top two support priorities within this area of support. 36 respondents expressed a view. The support priorities in this area that were most commonly selected were:

- Understanding how to use assets to generate funds (where appropriate), selected by 13 (36%) respondents
- Understanding how to get the best out of our assets and their practical use, selected by 12 (33%) respondents

See figure 5.9.1 below.

Figure 4.9.1

4.10 Top organisational priorities for VCSEs within the right governance, policies, systems and practices area of support

The respondents who selected "right governance, policies, systems and practices" were asked to select their top two support priorities within this area of support. 20 respondents expressed a view. The support priorities in this area that were most commonly selected were:

- Updating our policies and practices, selected by 5 (20%) respondents
- Help and guidance to make the right decisions for our organisation, selected by 5 (20%) respondents

See figure 5.10.1 below.

The right governance, policies, systems and procedures

Figure 4.10.1

4.11 Top organisational priorities for VCSEs within the roles and responsibilities of trustees/management, committees, members and paid staff area of support

The respondents who selected "roles and responsibilities of trustees/management, committees, members and paid staff" were asked to select their top two support priorities within this area of support. 10 respondents expressed a view. The support priorities in this area that were most commonly selected were:

- Improving how we manage staff and/or volunteers, selected by 4 (40%) respondents
- Recruiting people with the right skills, selected by 3 (30%) respondents

See figure 5.11.1 below.

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Roles and responsibilities of trustees/management committees members and paid staff

Category	Number of respondents
Improving how we manage staff and/or volunteers	4
Recruiting people with the right skills	3
Upskilling our key organisational leaders	2
Resolving crises and conflicts	1

Figure 4.11.1

4.12 Top organisational priorities for VCSEs within money area of support

The respondents who selected "money e.g. generating income, managing money, contracting" were asked to select their top two support priorities within this area of support. 56 respondents expressed a view. The support priorities in this area that were most commonly selected were:

- Getting better at fundraising, selected by 12 (21%) respondents
- Diversifying income, selected by 11 (20%) respondents
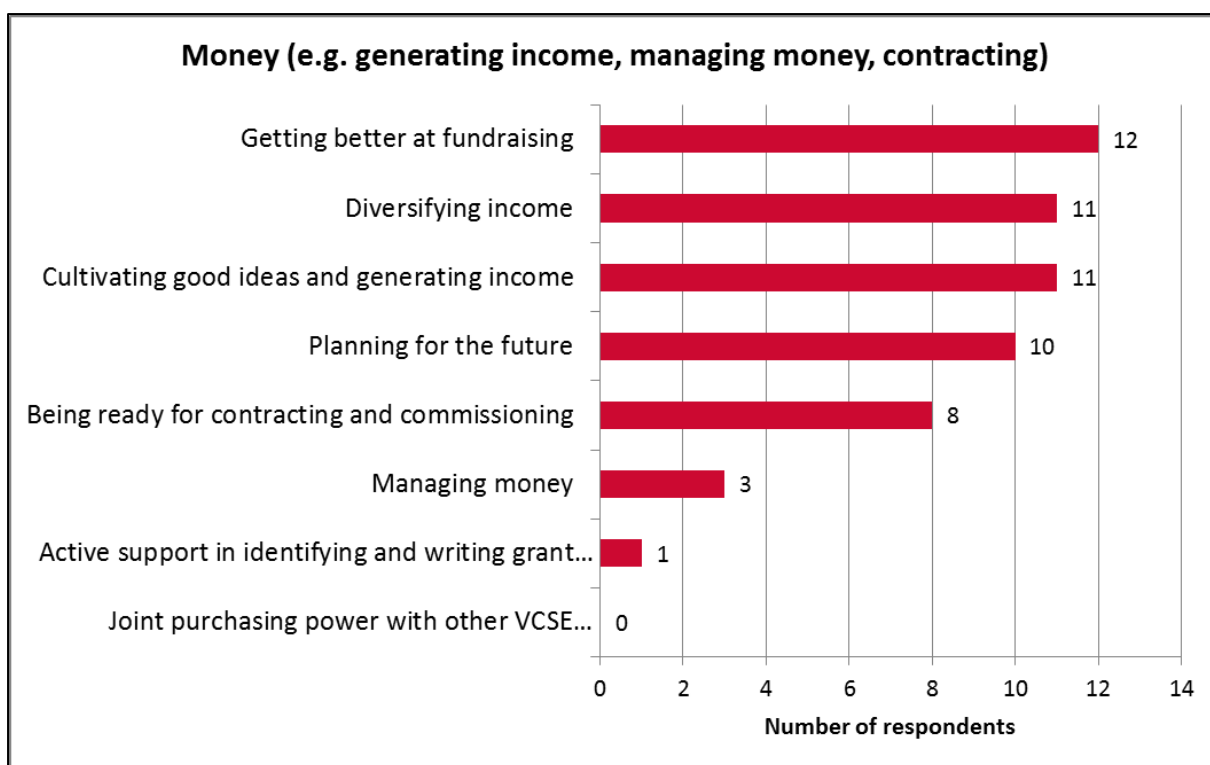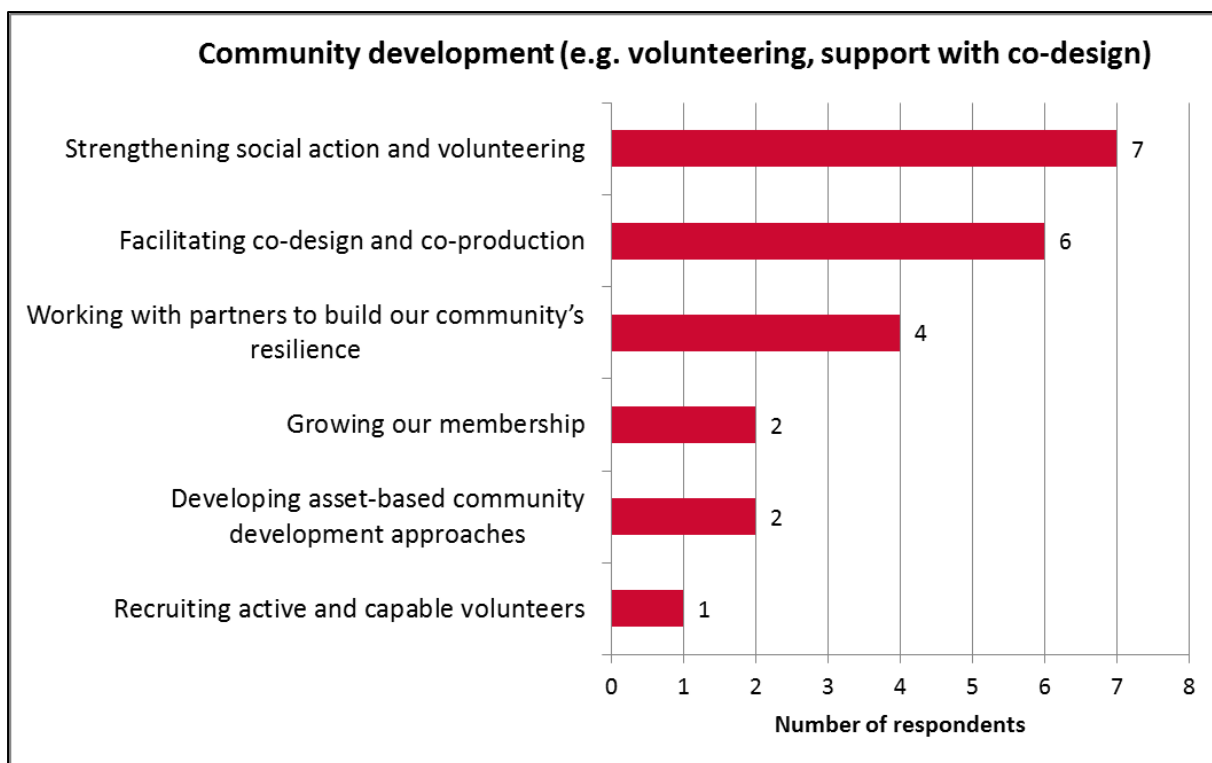
See figure 5.12.1 below.

Money (e.g. generating income, managing money, contracting)

Priority	Number of respondents
Getting better at fundraising	12
Diversifying income	11
Cultivating good ideas and generating income	11
Planning for the future	10
Being ready for contracting and commissioning	8
Managing money	3
Active support in identifying and writing grant…	1
Joint purchasing power with other VCSE…	0

Figure 4.12.1

4.13 Top organisational priorities for VCSEs within community development area of support

The respondents who selected "community development e.g. volunteering, support with co-design" were asked to select their top two support priorities within this area of support. 22 respondents expressed a view. The support priorities in this area that were most commonly selected were:

- Strengthening social action and volunteering, selected by 7 (32%) respondents
- Facilitating co-design and co-production, selected by 6 (27%) respondents

See figure 5.13.1 below.

Community development (e.g. volunteering, support with co-design)

Strengthening social action and volunteering — 7
Facilitating co-design and co-production — 6
Working with partners to build our community's resilience — 4
Growing our membership — 2
Developing asset-based community development approaches — 2
Recruiting active and capable volunteers — 1

Number of respondents

Figure 4.13.1

4.14 Top organisational priorities for VCSEs within equalities area of support

The respondents who selected "equalities" were asked to select their top two support priorities within this area of support. 11 respondents expressed a view. The support priorities in this area that were most commonly selected were:

- Speeding up our progress in addressing inequality, selected by 5 (45%) respondents
- Deepening our understanding to equalities, diversity, inclusion and anti-discriminatory practice, selected by 6 (55%) respondents
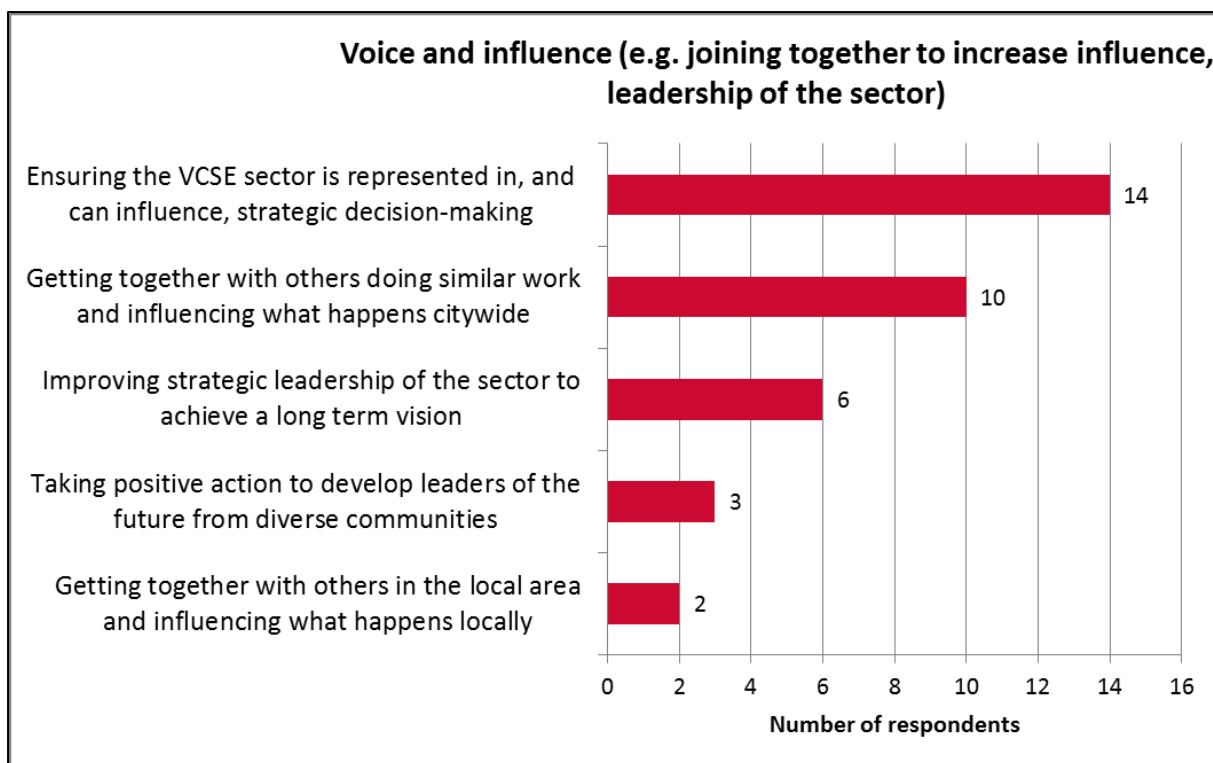
See figure 5.14.1 below.

Equalities
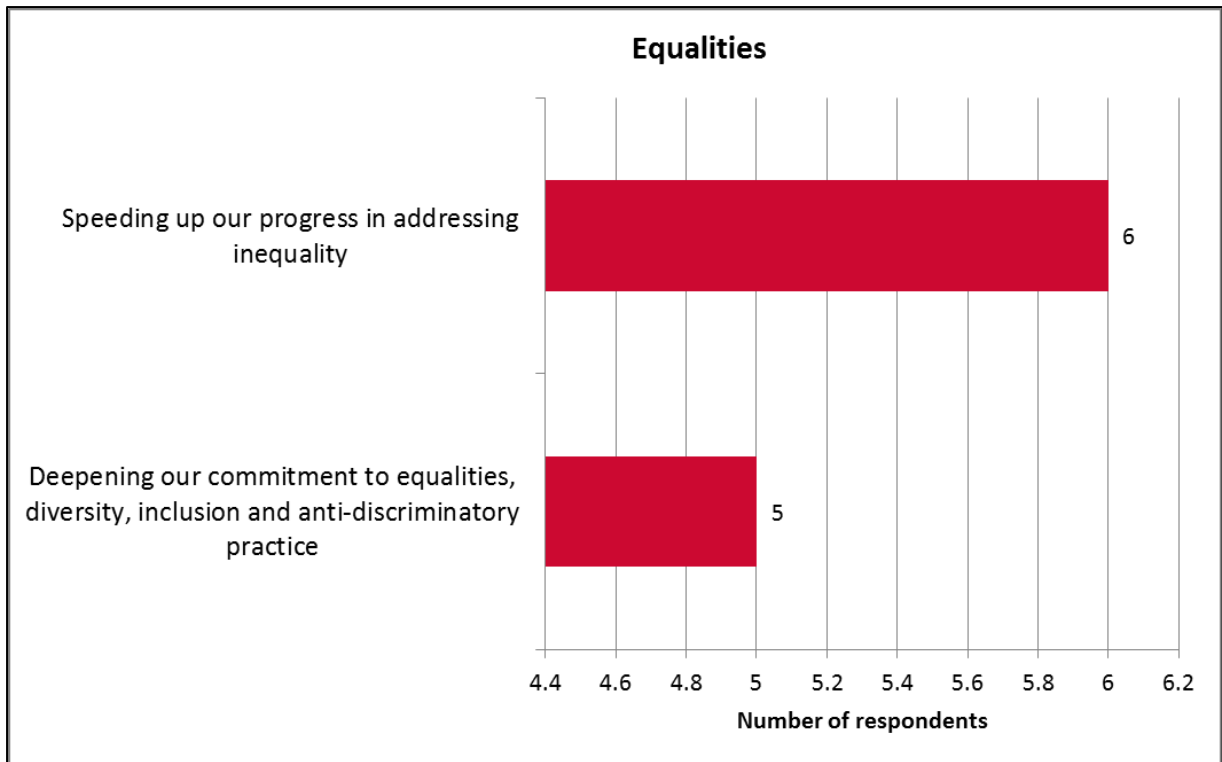
Figure 4.14.1

4.15 Top organisational priorities for VCSEs within the voice and influence area of support

The respondents who selected "voice and influence" were asked to select their top two support priorities within this area of support. 35 respondents expressed a view. The support priorities in this area that were most commonly selected were:

- Ensuring the VCSE sector is represented in, and can influence, strategic decision-making, selected by 14 (40%) respondents
- Getting together with others doing similar work and influencing what happens citywide, selected by 10 (29%) respondents
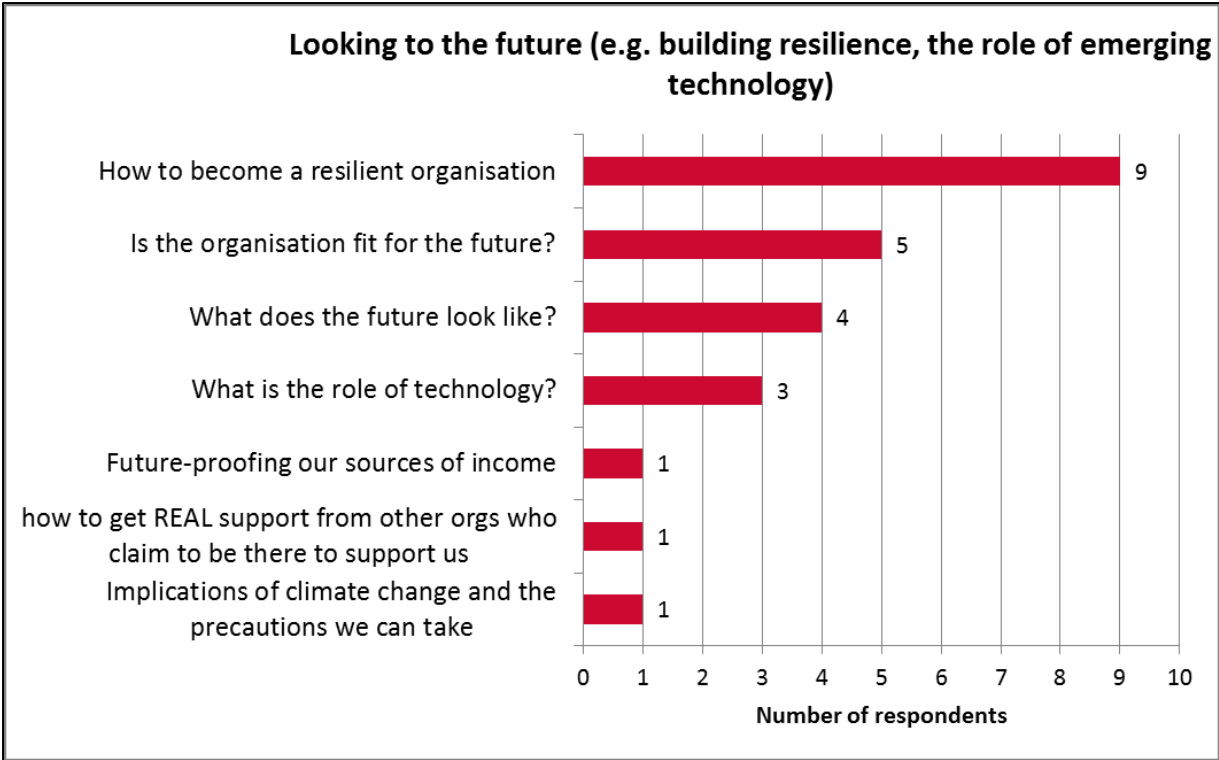
See figure 5.15.1 below.

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Voice and influence (e.g. joining together to increase influence, leadership of the sector)

Category	Number of respondents
Ensuring the VCSE sector is represented in, and can influence, strategic decision-making	14
Getting together with others doing similar work and influencing what happens citywide	10
Improving strategic leadership of the sector to achieve a long term vision	6
Taking positive action to develop leaders of the future from diverse communities	3
Getting together with others in the local area and influencing what happens locally	2

Figure 4.15.1

4.16 Top organisational priorities for VCSEs within the looking to the future area of support

The respondents who selected "looking to the future e.g. building resilience, the role of emerging technology" were asked to select their top two support priorities within this area of support. 24 respondents expressed a view. The support priorities in this area that were most commonly selected were:

- How to become a resilient organisation, selected by 9 (38%) respondents
- Is the organisation fit for the future? Selected by 5 (21%) respondents

See figure 5.16.1 below.

Looking to the future (e.g. building resilience, the role of emerging technology)

Category	Number of respondents
How to become a resilient organisation	9
Is the organisation fit for the future?	5
What does the future look like?	4
What is the role of technology?	3
Future-proofing our sources of income	1
how to get REAL support from other orgs who claim to be there to support us	1
Implications of climate change and the precautions we can take	1

Figure 4.16.1

4.17 Top organisational priorities for VCSEs within the communications and marketing area of support

The respondents who selected "communications and marketing" were asked to select their top two support priorities within this area of support. 12 respondents expressed a view. The support priorities in this area that were most commonly selected were:

- Improving how we use different communications and marketing tools, selected by 5 (42%) respondents
- Communicating the impact of our work: telling our story, selected by 3 (25%) respondents
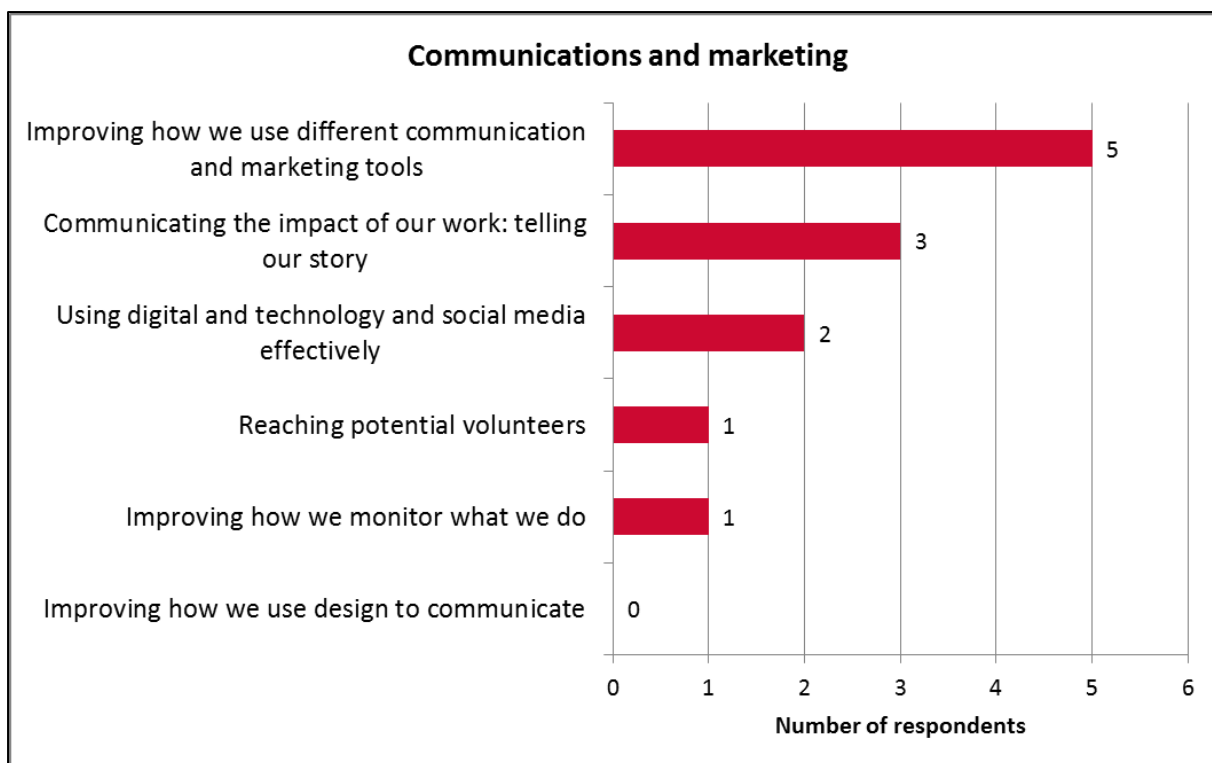
See figure 5.17.1 below.

Communications and marketing

- Improving how we use different communication and marketing tools: 5
- Communicating the impact of our work: telling our story: 3
- Using digital and technology and social media effectively: 2
- Reaching potential volunteers: 1
- Improving how we monitor what we do: 1
- Improving how we use design to communicate: 0

Number of respondents

Figure 4.17.1

4.18 Top organisational priorities for VCSEs within the sharing skills and working together area of support

The respondents who selected "sharing skills and working together e.g. sharing practice, peer support" were asked to select their top two support priorities within this area of support. 14 respondents expressed a view. The support priorities in this area that were most commonly selected were:

- Building collaboration, partnerships and shared working, selected by 4 (29%) respondents
- Networking/ practice sharing, selected by 4 (29%) respondents

See figure 5.18.1 below.

Sharing skills and working together (e.g. sharing practice, peer support)

Building collaboration, partnerships and shared working — 4
Networking / practice sharing — 4
Peer support — 2
Action learning (problem solving by taking action and learning with others) — 1
Formal training — 1
Mentoring — 1
Independent facilitation — 1

Number of respondents

Figure 4.18.1

4.19 VCSE community support needs

Respondents were asked to select three support needs that were most important to their organisation's VCSE community. "VCSE community" means the neighbourhood area, interest area or client group that an organisation works in. 161 VCSE community support needs were selected, the most common of which were:

- Money, 35 (22%) organisations selected this as one of their top three VCSE community support needs
- Voice and influence, 20 (12%) organisations selected this as one of their top three VCSE community support needs
- Looking to the future, 19 (12%) organisations selected this as one of their top three VCSE community support needs

The least commonly selected support need was accessing information sharing as this was selected by 3 (2%) respondents.

See figure 5.19.1 below.

Top three support priorities for your VCSE community

Support priority	Percentage
Money	22%
Voice and influence	12%
Looking to the future	12%
Community development	11%
Understanding and making the most of your organisation's assets	11%
Equalities	10%
Sharing skills and working together (e.g. sharing practice, peer support)	6%
The right governance, policies, systems and procedures	6%
Communications and marketing	6%
Roles and responsibilities of trustees/management committees…	3%
Accessing information sharing	2%

% of 161 VCSE community support needs selected

Percentage of responses

Figure 4.19.1

4.20 VCSE community support needs by annual turnover

Of the 161 top three VCSE community support needs selected, 80 support needs were selected by organisations with an annual turnover of less than £250k and 37 support needs were selected by organisations with an annual turnover of more than £250k.

The support needs most commonly selected by VCSE organisations with an annual turnover of less than £250k were:

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- Money, which was selected by 15 (19%) respondents

- Equalities, which was selected by 12 (15%) respondents and

- Understanding and making the most of your organisation's assets, which was selected by 11 (14%) respondents

The support needs most commonly selected by VCSE organisations with an annual turnover of more than £250k were:

- Money, which was selected by 12 (32%) respondents

- Voice and influence, which was selected by 7 (19%) respondents and

- Looking to the future, which was selected by 6 (16%) respondents

See figure 5.20.1 below.

VCSE community's top three support needs by annual turnover

Support need	More than £250k	Less than £250k
Money	32%	19%
Voice and influence	19%	9%
Looking to the future	16%	8%
Equalities	0%	15%
Understanding and making the most of your organisation's assets	5%	14%
Community development	8%	10%
Communications and marketing	0%	10%
Sharing skills and working together	8%	6%
The right governance, policies, systems and procedures	5%	6%
Roles and responsibilities of trustees/management committees members and paid staff	3%	3%
Accessing information sharing	3%	1%

% of 80 top VCSE community support needs for organisations with an annual turnover of less than £250k

% of 37 top VCSE community support needs for organisations with an annual turnover of more than £250k

Figure 4.20.1

4.21 Community support needs for VCSEs that work with certain groups

Of the 161 top three VCSE community support needs selected;

40

- 48 support needs were selected by organisations that work with disabled people,
- 41 support needs were selected by organisations that work with BME communities,
- 21 support needs were selected by organisations that work with new migrants, refugees or asylum seekers and
- 38 support needs were selected by organisations that work with a specific geographical community or neighbourhood

The top three VCSE community support needs selected by organisations that work with disabled people were:

- Money, selected by 11 (23%) respondents
- Voice and influence, selected by 8 (17%) respondents
- Looking to the future, selected by 7 (15%) respondents

See figure 5.21.1 below.

Support priorities for VCSE community - organisations that work with disabled people

Priority	% of 48 support priorities
Money	23%
Voice and influence	17%
Looking to the future	15%
Understanding and making the most of your organisation's assets	10%
Equalities	10%
Community development	8%
Communications and marketing	6%
Sharing skills and working together	6%
The right governance, policies, systems and procedures	4%
Roles and responsibilities of trustees/management committees members and paid staff	0%
Accessing information sharing	0%

% of 48 support priorities for VCSE organisations that work with disabled people

Figure 4.21.1

The top three VCSE community support needs selected by organisations that work with BME communities were:

- Money, selected by 8 (20%) respondents
- Understanding and making the most of your organisation's assets, selected by 6 (15%) respondents

- Looking to the future, selected by 6 (15%) respondents

See figure 5.21.2 below.

Support priorities for VCSE community - organisations that work with BAME

Priority	%
Money	20%
Understanding and making the most of your organisation's assets	15%
Looking to the future	15%
Equalities	12%
Voice and influence	10%
Community development	7%
Communications and marketing	7%
The right governance, policies, systems and procedures	5%
Roles and responsibilities of trustees/management committees members and paid staff	5%
Sharing skills and working together	5%
Accessing information sharing	0%

% of 41 support priorities for VCSE organisations that work with BAME

Figure 4.21.2

The top three VCSE community support needs selected by organisations that work with new migrants, refugees or asylum seekers were:

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- Understanding and making the most of your organisation's assets, selected by 4 (19%) respondents
- Money, selected by 4 (19%) respondents
- Looking to the future, selected by 4 (19%) respondents

See figure 5.21.3 below.

Support priorities for VCSE community - organisations that work with new migrants, refugees or asylum seekers

Category	%
Understanding and making the most of your organisation's assets	19%
Money	19%
Looking to the future	19%
Equalities	14%
The right governance, policies, systems and procedures	5%
Roles and responsibilities of trustees/management committees members and paid staff	5%
Community development	5%
Voice and influence	5%
Communications and marketing	5%
Sharing skills and working together	5%
Accessing information sharing	0%

% of 21 support priorities for VCSE organisations that work with new migrants, refugees or asylum seekers

Figure 4.21.3

The top three VCSE community support needs selected by organisations that work with a specific geographical community or neighbourhood were:

- Voice and influence, selected by 8 (21%) respondents
- Money, selected by 7 (18%) respondents
- Looking to the future, selected by 5 (13%) respondents

See figure 5.21.4 below.

Figure 4.21.4

45
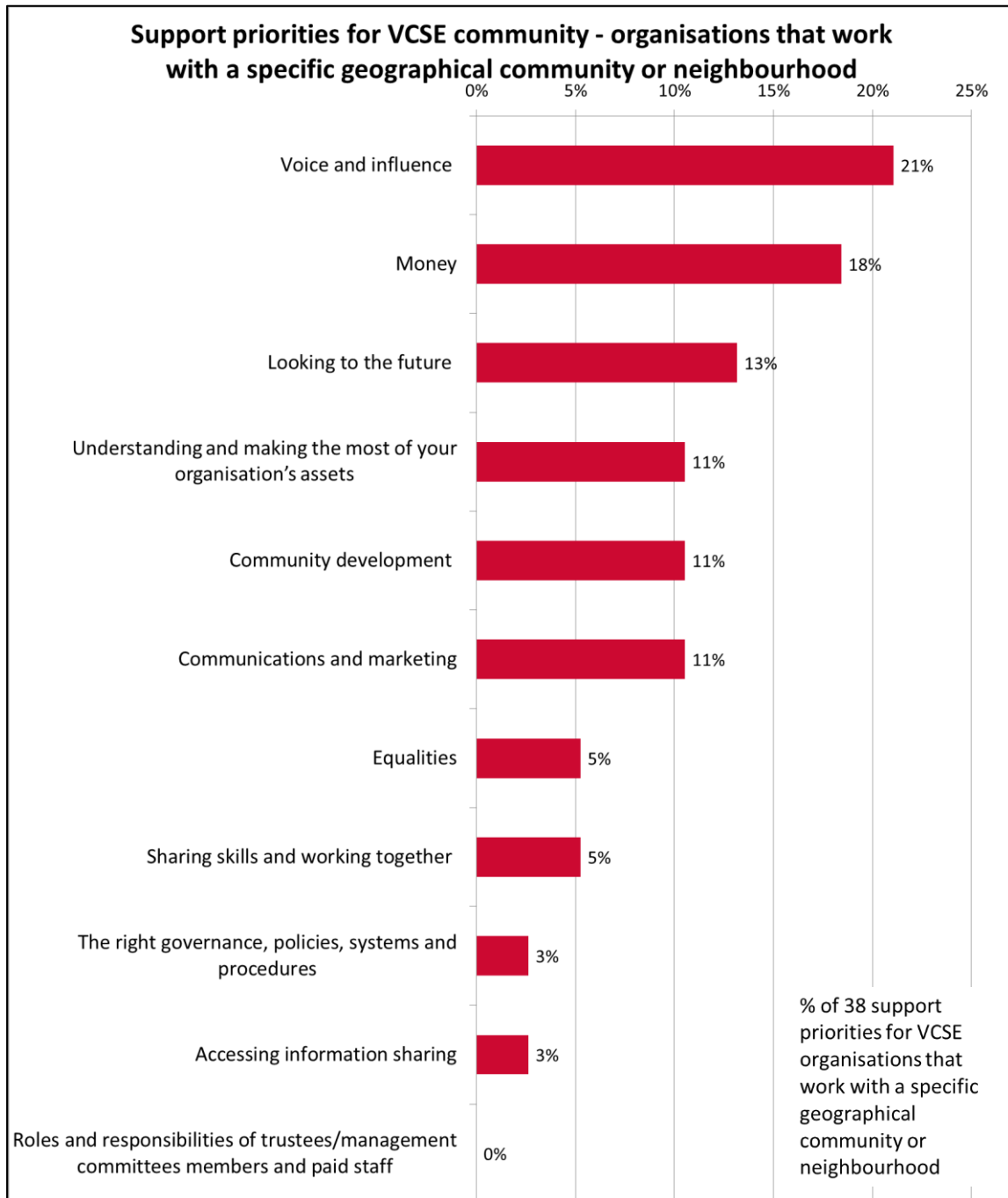
5 Qualitative survey feedback and engagement

Qualitative feedback was gathered through 10 engagement events and two free text boxes in the survey. See paragraph 3.2 for attendance at the engagement events. See section 6 to see how the feedback has been used to amend and revise the proposal.

The following areas of interest were represented by VCSE organisations at these events (some work in more than one):

VCSE areas of interest/operation	Numbers
Neighbourhood	8
Community Development	4
Environmental	1
Health & Well Being	6
Adult Social Care	6
Children and Families	4
Regeneration	1
Jobs and Skills	3
Arts and Culture	2
Sport and Leisure	0
Equalities	20
Campaigning	3
Economy	0
Community Safety	0
Information, Advice and Guidance	1
Transport	1

Other (VCSE Infrastructure)	1

Internal BCC consultation was undertaken with:

- Children's Services
- Adult Social Care
- Public Health

During the engagement events, respondents were asked the following questions:

- Current landscape and strategic drivers: does this ring true? Anything we've missed?
- The Principles: do they sound right? Will they drive the right sort of support?
- The Priorities: do they cover the range of support? Is there anything you'd want to see?
- A collaborative approach to delivery?: comments
- What support is best delivered city wide?
- What support is best delivered at a more local level
- How resources can be used to enable flexible support
- Anything else?

In the survey, respondents were asked if they would like to comment further on the principles of the VCSE infrastructure grant and whether respondents had any suggestions for other priorities that the grant should focus on.

The themes from the engagement events and free text from the survey have been analysed together as both qualitative data gathering activities have generated many of the same themes. These themes are based on 244 comments across both the survey and engagement events.

5.1 General comments

Some of the general feedback from the engagement events and survey included

- Proposals have an air of BCC walking away from VCSE and merely being a facilitator/enabler.
- Behind this strategy there seems an entrenched view of VCSE as unenterprising; resistant to change; lacking the will to work together; reliant on local authority support. Want a more positive model that acknowledges sector's diversity and has a more asset-based approach to support sector

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- BSWN (Black South West Network): maximum flexibility and clarity about performance is needed
- Current outcomes are flexible but vague: future funding proposals should request tangible outcomes which are known to be needed, measurable and will make a transformative difference
- Need to connect strategy and delivery in each priority:
- Take this opportunity to review to not repeat the past
- Enable infrastructure bodies to work strategically and become vehicles that can facilitate the investment into dynamic and capable delivery organisations
- Clarity
- What do we mean by equalities led groups?
- What do we mean by collaboration?
- Jargon a big barrier – could VCSE be replaced by something like '3rd sector'

5.2 Current landscape and strategic drivers

Respondents fed back on the topic of the general VCSE landscape and strategic drivers, the themes within this topic included:

- 3 (1%) comments pointed to the difference between commissioning and grants; that council contracts are much larger than grants, which can lead to smaller VCSEs missing out
- 2 (1%) comments stated that the distance between the VCSE sector and public sector services has increased
- 2 (1%) comments discussed the language and terminology that the council uses, particularly that "co-creating change" is less hierarchical than social engagement and participation
- 1 (0%) respondent questioned the definition of a community anchor organisation because some key organisations aren't defined as that
- 1 (0%) respondent stated that BCC needs to change the way it takes responsibility for involving VCSEs in decision making
- 1 (0%) respondent described the pressure on VCSEs and raised concerns about the chronic lack of funding and increase costs for the VCSE sector
- 1 (0%) respondent pointed to political change and local political issues that affect the VCSE sector

5.3 Principles of the Enabling the VCSE support grant

68 (26%) comments discussed the five proposed principles these included 12 (5%) general comments on:

- Suggestion that there should be a principle around providing an evidence base
- Suggestion that more focus is needed on the purpose of the infrastructure grant
- Question as to how "citizen led" is interpreted
- The principles are poorly presented, includes jargon, is too long and not in plain English
- Principles are well considered and concisely communicated
- Principles are more words than substance, BCC is unsupportive
- New grant must be different to the current model, current grant does not work to these principles
- More time and effort needed to engage certain communities
- Learning and development is needed across the VCSE sector to implement these principles

56 (22%) comments centred on the specific proposed principles, such as:

- 18 (7%) comments on the place-based principle including how the strategic view of needs across the cities is seen, the need for a city-wide approach, suggestion to replace the term with "community based", cultural/experiential rather than place based communities, the value of networks and the need for communities to be community-led
- 6 (2%) comments on the asset based principle including the need for better use of non-local assets and for a better definition of "collective leadership", the need for VCSEs to increased profitability of assets, the need to work with organisations and not just individuals, the limiting factors of some areas and communities and under used of assets
- 9 (3%) comments on the inclusive principle including improving inclusivity, the eligibility for support and the suggestion to replace the term "inclusion" with "equity"
- 13 (5%) comments on the citizen-led principle, including the need for specific support for VCSEs to be citizen-led, the important role of the VCSE sector in supporting people's voices and the suggestion that VCSE support is not about individual citizens
- 10 (4%) comments on the relational principle including the need for access to public boards for VCSE representatives, the need for a strong VCSE voice at the top table,

the need for a change in the culture of collaboration at the council and clarification on the meaning of this principle

5.4 Priorities of the Enabling the VCSE support grant

120 (46%) comments discussed the specific priorities of the VCSE Infrastructure Grant.

Priority 1: Maximise strong relationships between VCSE organisations so that VCSEs may share each other's assets (time, skills, knowledge, experience , money, buildings etc.) and produce collective solutions to shared problems

- 11 (4%) comments on this priority centred on collaboration issues, such as the cost of collaboration that needs to be resources and the length of time collaboration can take
- 10 (4%) comments centred on resource sharing, such as VCSEs not having resources to share and building strong relationships that go beyond tokenistic networks
- 2 (1%) comments centred on collaboration to build Enabling VCSE support
- 2 (1%) comments centred on support networking
- 2 (1%) comments centred on funding and sustainability of VCSEs
- 1 (0%) comments centred on community accountability

Priority 2. Strengthen the VCSE's capacity to be enterprising and business-like. This would include supporting VCSEs to find new sources of funding and earned income

- 9 (3%) comments centred on funding as sustainability
- 12 (5%) comments centred on increasing effectiveness
- 1 (0%) respondent viewed the wording of this priority as patronising to VCSEs that are business like
- 2 (1%) comments centred on BME needs
- 1 (0%) comment centred on the current infrastructure service
- 1 (0%) comment centred on the VCSE ethos
- 1 (0%) comment centred on language and terminology

Priority 3: Strengthen the capacity of the VCSE sector to respond to change, with a clear focus on, organisations that are led by equalities groups, neighbourhoods and places experiencing greatest inequality and smaller and emerging community groups

- 15 (6%) comments centred on BME needs - to deliver equity of outcome; more bespoke support which acknowledges the inequal starting point for many equalities-led and, specifically, BME-led organisations
- 8 (3%) comments centred on priorities for the grant
- 6 (2%) comments centred on supporting equality
- 2 (1%) comments centred on free support vs charges
- 2 (1%) comments centred on smaller organisations' needs
- 4 (2%) comments centred on language and terminology
- 5 (2%) comments centred on the nature of support available
- 1 (0%) comment said the wording of this priority was also seen as patronising as the VCSE sector is good at innovation and problem-solving.
- 1 (0%) comment cited the need to specify mental health as not always identified as a disability
- 1 (0%) comment pointed out that different faith communities experience different levels of disadvantage
- 1 (0%) comment cited the need for further clarification on the terms 'neighbourhoods and places' and 'greatest inequality'

Priority 4. Facilitate confident leadership and influence so that the VCSE sector, in all its diversity, can: play a full part in shaping and achieving the ambition of the city set out in the One City Plan, influence and shape the council's future Enabling the VCSE Grant so that it has maximum impact

- 1 (0%) comment centred on BME needs to influence decision makers
- 1 (0%) comment said BCC needs to change
- 5 (2%) comments centred on engaging the sector at grassroots level and need to evidence impact
- 9 (3%) comments centred on influence, shaping policy and practice
- 1 (0%) comment centred on leadership

Priority 5: Support the VCSE sector by accessing local, regional and national wealth, such as funding and investment opportunities, and other assets, such as skills and knowledge.

- 3 (1%) comments centred on influence, shaping policy and practice

Other priorities were also suggested by 2 (1%) of respondents:

- The concept of challenge and managing challenge as part of the role of infrastructure
- Focus on capacity building, leadership and collaboration within the sector

Funding approach:

48 (19%) comments discussed the Enabling the VCSE support grant's funding approach. The comments within this theme included:

- Recommendation that the final commissioning plan includes the standard consideration of TUPE and for commissioners to make available existing workforce information to bidders.
- Recommendation that the final commissioning plan includes more details on the assessment method for grant applications and that the process includes an interview as part of the assessment.
- Recommendation that if the chosen grant process results in contracts through procurement, it would include a post-notification standstill (Alcatel) minimum period of 10 days and that a similar appeal period be incorporated into the grant process
- IVAR research report - 'The Value of Small' (June 2018), locality reports and briefings under the 'Keep It Local' campaign such as 'Powerful Communities, Strong Economies' (Nov 2017) provides to date insight, knowledge and information relevant to supporting asset based development and locality based infrastructure support.
- A more co-design approach to working with community anchor organisation will embed support for a new, collaborative delivery model and enable a more strategic approach through which the VCSE sector can more effectively contribute to citywide challenges.
- The shift to an enabling model is one which necessitates new thinking which we support given our work locally and regionally to update the old/existing CVS delivery model for infrastructure support and development.
- Need to ensure that any partnership agreements are not tokenistic and we need to ensure that any partner organisations are sharing resources fairly.
- Always advocate getting people out into community anchor organisations – support often central and actually having it based in the community so that the approach is more collaborative in the beginning then its more empowering to communities.
- Not all groups want to be constituted formally, but some do. Need a locally based hub that will take the groups that do want to constitute through that process.
- Using the relationships that already exist in the community to build citizens confidence to accessing funds and become stronger voices in community.

- A local offer plugged into a central view.
- Funding info best delivered at a local level. As the resources in terms of knowledge and experience (staff) and need will be different at a local level. However more corporate offer would be best done more centrally and co-ordinated.
- Push for orgs to be ready to deliver BCC contracts v push for orgs to be bottom up and driven by communities
- Push to make orgs more business-like v push for orgs to collaborate and share assets
- Need to be clear on what the focus is – the current ask is not sustainable with the level of resource. This will lead to reduced quality. Better to be upfront about lack of resource
- Leadership – anchor orgs do this 'in their spare time' – not something they expect to be paid for
- Quality of provision needs to be measured.
- Shared view that word infrastructure adds recognition of what VCSE do (rather than a rather 'fluffy' word like enabling)

5.5 Needs of the sector

65 (25%) comments were on the topic of the needs of the VCSE sector. The themes within this topic include:

Collaboration issues: 26 (11%) comments were on the theme of collaboration issues. The comments within this theme included:

- Building enough time into processes to enable collaboration,
- The cost of larger VCSEs collaborating with smaller VCSEs,
- The bureaucracy involved in collaboration,
- Focus and capacity on collaboration detracting from service delivery,
- Survival of smaller VCSEs as a barrier to collaboration,
- Lack of awareness of other organisation to collaborate with
- Transparency, openness and trust being key to collaboration
- Commitment of time and resources for collaboration
- The needs for partnerships to exist before contracts go out to tender
- Not forcing VCSEs to collaborate if they don't want to
- Providing money to enable collaboration
- Uneven commitments from partners

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- The difference between collaboration and partnership not always being clear
- The council being clear on the benefits of collaboration e.g. more points being awarded at tender
- More evidence of the benefits of collaboration is needed

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Enabling the VSCE sector grant Risk Register

Negative Risks that offer a threat to Enabling the VSCE sector grant and its Aims (Aim - Reduce Level of Risk)

Ref	Risk Description	Key Causes	Key Consequence	Status Open / Closed	Strategic Theme	Risk Category	Risk Owner	Key Mitigations	Direction of travel	Current Risk Level			Monetary Impact of Risk £k	Risk Tolerance			Date
										Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating	
EVCSE 1	Re-commissioning disrupts VCSE support in city	Grant agreement awarded to different provider	Established, known support routes disrupted resulting in period of reduced access to support, voice and influence and data	open	Empowering and Caring	operational	N'hoods & Communities Service Manager	Well-planned three-month implementation period, clarity about the initial six months of delivery and clear communication with the sector.				0				0	
EVCSE 2	Process doesn't result in strategic and operational collaboration	Relevant organisations not able to reach agreement to work together	Richness of experience and skills available to the sector not deployed. Fragmentation and duplication of resources Fragmentation of strategy and leadership	open	Empowering and Caring	operational	N'hoods & Communities Service Manager	Option to make available independent facilitation during commissioning process				0				0	
EVCSE 3	Unable to award funding agreement	Poor quality applications Process and criteria unclear	Significantly reduced capacity and support to the VCSE sector No strategic leadership of the sector. No clear route to work with sector for BCC No clear communication channels	open	Empowering and Caring	operational	N'hoods & Communities Service Manager	Process allows time for collaboration Sector has been consulted and strong support for the approach Deliver quality pre-application engagement events for clarify expectations and process Consider options to extend current grant agreement and/or develop new model/s.				0				0	

Bristol City Council Equality Impact Assessment Form

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

Name of proposal	Enabling the Voluntary, Community & Social Enterprise Sector Grant
Directorate and Service Area	Commercialisation & Citizen; Neighbourhoods & Communities Service
Name of Lead Officer	Keith Houghton, Community Resources 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?

1. To re-commission capacity building and infrastructure support services to enable the voluntary, community and social enterprise sector through a grant process for a period of four years.
 	
2. We are calling this grant the Enabling the Voluntary, Community and Social Enterprise sector grant ('Enabling the VCSE grant'). The grant will contribute to: Powerful, thriving communities; Strong, long term vision and leadership of the sector; A city plan and approach that reflects the diversity and creativity of the city.
 	
3. Five community-building principles underpin the approach and there are 5 priorities for support.
 	
4. The grant will build on the VCSE's capacity to develop, respond to change and problem-solve through a city offer, and will also deliver specific benefit to build the capacity of:
    • organisations that are led by equalities groups
    • neighbourhoods and places experiencing greatest disadvantage
    • smaller and emerging community groups
5. The proposal is for a 4 year funding agreement, with a budget of £338,118 (BCC contribution) £316,608 per year from October 2020 – September 2024

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?

. Data held for 2018-19 for the current service demonstrates the following take up support by equalities groups:

977 individuals participated in training sessions, completed a startup programme or attended briefings or peer support/learning events. Of the 977 individuals noted above, 512 provided equalities monitoring information (55%).

Race and Ethnicity:	% of Bristol population*	% of monitored users**		Number
(a) Asian or Asian British	5.5%	6%	Bangladeshi	1
			Chinese	1
			Indian	1
			Pakistani	1
			Any other Asian background	26
(b) Black or Black British	6%	5.4%	African	5
			Caribbean	8
			Somali	4
			Any other Black background	10
(c) Any other ethnic groups	1%	1.8%	Arab	3
			Iranian	0
			Iraqi	0
			Kurdish	0
			Turkish	0

			Any other ethnic background	6
(d) Mixed/multiple ethnic groups	3.6%	4.8%	White and Asian	6
			White and Black African	1
			White and Black Caribbean	9
			Any other mixed/multiple background	8
(e) White	78%	75.4%	British	377
	5%	6.8%	Eastern European	9
			Gypsy	1
			Irish	5
			Irish or Scottish Traveller	1
			Roma	0
			Any other white background	18
(f) Preferred not to say			Preferred not to say	6
			No response	5

Gender:	% of Bristol population*	% of monitored users**	Number
Men	50%	28%	141
Women	50%	63%	322
Gender Fluid/Non Binary/Other/No response	Not known	8.5%	44
Preferred not to say			5

Age:	% of Bristol population*	% of monitored users**	Number
16 – 24	15.8	3%	14
25 - 49	38.5	52%	269
50 - 64	14.4	27%	137
65 - 74	13%	2%	30
75 or over			9
Preferred not to say			6
No response			47

Disabled people: (people who considered themselves to be disabled)	% of Bristol population*	% of monitored users**	Number
Yes	17%	11%	58
No	83%	76%	390
Preferred not to say			18
No response			46

Sexual Orientation:	% of Bristol population*	% of monitored users**	Number
Bisexual	4% (estimate from QoL survey)	8%	22
Gay			10
Lesbian			11
Heterosexual			354
Other/no response			56

Preferred not to say			59	

Gender Identify: people who have said they are transgender *(a question your org. may have asked people: is your gender identity different to that assigned at birth?)*	Number
Yes	61
No	360
Preferred not to say	20
No response	71

Voscur notes they have followed the standard wording of this question, but feel it could be misinterpreted, leading to a higher than expected number of people answering yes. They will phrase the question differently to minimise this potential misunderstanding in future years.

People of Faith:		% of Bristol population*	% of monitored users**	Number
	Buddhist	0.6	1.4	7
	Christian	46.8	27.7	142
	Hindu	0.6	0	0
	Jewish	0.2	0	0
	Muslim	5.1	1.4	7
	Sikh	0.5	0	0
	None	37.4	43.8	224
	Don't know / not sure			18
belief	Other faith, religion or	0.7	3.7	19
	Preferred not to say			41

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No response			54

- 63% of beneficiaries were women.
- 8% were lesbian, gay or bisexual.
- 26% were non-white British.
- 11% were disabled people.
- 26% were from priority neighbourhoods (wards with high levels of multiple deprivation).

There are at least 187 countries represented in Bristol, with people who are not White British making up 22% of the total population (as of 2011 census). 91 languages are spoken in the city, and over 45 religions followed. As Bristol grows, this diversity will continue to flourish. Recent data on school pupils show 37% are not White British.

Bristol continues to have increasing levels of multiple deprivation, with 16% of citizens living in the most deprived areas in England, including 19,400 children and 7,700 older people. The VCSE sector is to draw on the capacity of citizens to support their own communities and enables social action. This is a difficult thing to measure. The Quality of Life survey suggests there are some differences in the extent to which people from equalities groups in Bristol volunteer or help out in their community (e.g. higher for LGB, BME and young people; lower for disabled people).

Indicator	% who volunteer or help out in their community at least 3 times a year

Equalities Group	Percentage
16 to 24 years	72.9%
50 years and older	68.4%
65 years and older	69.0%
Female	70.1%
Male	67.6%
BME (Black and Minority Ethnicity)	77.4%
WME (White Minority Ethnicity)	69.8%
Carer	76.1%
Disabled	57.7%
LGB (Lesbian Gay Bisexual)	78.5%
No religion or faith	69.8%
Religion or faith	67.8%

Bristol Average	67.8%

2.2 Who is missing? Are there any gaps in the data?
a. Gaps in population data for gender re-assignment and transgender populations and there is an estimate for lesbian, gay and bisexual populations drawn from QOL.; b. There is no city data on the number of VCSE organisations led by equality groups or 'of equality groups' against which to assess the match of beneficiaries
2.3 How have we involved, or will we involve, communities and groups that could be affected?
An online consultation with the VCSE ran from 19th July to 15th September 2019. 137 responses were received, of which 60 completed the survey. Of these completed responses the following breakdown of equalities groups was received:

Ethnic group	% of Bristol population	% of completed surveys	
(a) Asian/Asian British	5.5%	8.77%	
(b) Black/African/Caribbean/ Black British	6%	10.53%	
(c) Any other ethnic background	1%	1.75%	Self-described: Indo hispanic

(d) Mixed/Multi ethnic group	3.6%	0%	
(e) White	78%	72%	White British
		0%	White Irish
		0%	Gypsy/Roma/Irish Traveller
	5%	5.26%	White other
(f) Preferred not to say		1.75%	Prefer not to say

The survey achieved higher participation from most BAME populations than their presence in the Bristol population, with the exception of Mixed/multiple ethnic groups

What is your sex?	% of Bristol population	% of completed surveys
Male	50%	47.3%
Female	50%	51%
Preferred not to say		1.7%

The survey achieved participation from men and women close to proportionate with their presence in the Bristol population

What is your age?	% of Bristol	% of completed

	population*	surveys
15 – 24	16.7%	0%
25 - 34	19.9%%	10.53%
35 - 44	13.1%	21.05%
45 - 54	9.9%	21.05%
55 - 64	8.9%	33.33%
65 - 74	6.8%	7.00%
75 or over	6.0%	5.3%
Preferred not to say		1.75%
No response		

The survey achieved higher levels of participation from 35-64 age categories than their representation in the Bristol population; proportionate participation from 65+ ages and fewer 25-34 than the Bristol population and poor participation in the 15-24 age group

*source: 2018 Mid Year Population Estimates for Bristol Local Authority

Do you consider yourself to be a disabled person?	% of Bristol population	% of completed surveys
Yes	17%	14.3%
No	83%	85.7%
Preferred not to say		0
No response		

The survey achieved slightly lower levels of participation from disabled people proportionate to their representation in the Bristol population; and reasonably accurate participation from non-disabled people

What is your sexual orientation?	% of Bristol population	% of completed surveys	% of completed surveys
Bisexual	4% (estimate		14.3%

Gay	from QoL survey)	14.3%		
Lesbian				
Heterosexual	No estimate			80.4%
Other/no response				
Preferred not to say				5.3%

The survey achieved considerably higher levels of participation from LGB people over their representation in the Bristol population

Have you gone through any part of a gender reassignment process or do you intend to?	% of Bristol population	% of completed surv surveys
Yes	No estimate	0%
No		100%
Preferred not to say		0%
No response		

The survey did not achieve any representation of transgender people, which is a missing demographic in the survey

Religion/faith:	% of Bristol population	% of completed surveys
Buddhist	0.6%	5.25%
Christian	46.8%	22.8%
Hindu	0.6%	0
Jewish	0.2%	0
Muslim	5.1%	8.8%
Sikh	0.5%	0
None	37.4%	52.6%
Don't know / not sure		

Other faith, religion or belief	0.7%	8.8%
Preferred not to say		1.75%
No response		

The survey achieved higher levels of representation from Muslim, Buddhist, other faiths or beliefs and people with no faith than their presence in the Bristol population; lower representation was achieved from Christians, Hindus, Jews and Sikhs.

In addition to the survey VCSE organisations were invited to 7 consultation events. One was for equality groups. Officers also attended a meeting of the BAME Voluntary & Community Sector Network hosted by Black South West Network which is explicitly for BAME VCSE organisations.
In total 50 individuals attended, of which 19 represented BAME-led VCSE groups; 2 Disabled people -led groups; 1 young people's service; and the BCC funded Equalities Voice and Influence Partnership.

Information was sent out about the consultation through:

•   the Voscur website;
•   All funded VCS organisations linked to BCC ;
•   All groups applying for Bristol Impact Fund Small Grants
•   targeted direct emails at equalities groups;
•   BAME organisations via Black South West Network
•   via Quartet, Locality and identified anchor organisations
•   Consultation Finder;
•   all community groups in receipt of community meeting grants, supporting the work of Area Committees
•   BCC Community Development Team.

60 people who completed the online survey. The organisations they represented work with the following groups

Equalities Group	Primary focus of work	% of groups*
Older People	16	38%
Children and/or Young People	14	33%
Disabled People	17	40%
Carers	6	14%

LGBT+	2	5%
Sex/gender	3	7%
BAME communities	15	36%
Faith-based communities	4	9.5%
New migrant, refugee, asylum seekers	7	16.5%
People impacted by poverty	12	28.5%
* figures add up to more than 100% because groups work with more than one demographic as their primary focus		

81% of survey respondents work in those wards which contain the 10% most deprived areas in the city in terms of multiple deprivation.

Step 3: Who might the proposal impact?

Analysis of impacts on people with protected characteristics must be rigourous. 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?
a. As our proposals currently stand, there is no clear negative impact.

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

3.3 Does the proposal create any benefits for people with protected characteristics?
a. Yes. Annual work planning for use of the grant by the successful grant recipients will identify the priorities for the year ahead and evidence for this. An equalities action plan will be required.   b. The successful grant recipient(s) will be expected to take positive action to facilitate the inclusion of equalities-led organisations. Equity of outcome, has been included in the underpinning principles behind this commissioning to reflect feedback from the consultation. This will contribute to redressing the historic disadvantage for communities that experience systemic inequality.   c. the council will include a specific assessment of the proposed benefits to equalities communities and proposed plans to deliver benefits to them as part

of the grant application process.
3.4 Can they be maximised? If so, how?
a. We have received specific feedback from our online consultation and our consultation events about equalities issues and from the background research we have conducted. We will make this available to all grant applicants and ask them to address in their application.   b. We will require an analysis of the impact of systemic inequality and a theory of change and a delivery approach which can make plausible impacts on the capacity and sustainability of equalities-led organisations as part of the assessment of grant applications.

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?
a. The proposal will now include and emphasise the concept of Equity as well as Inclusion in the Community Building principles which underpin the grant offer. This has been taken directly both from the online survey and from the consultation events – in particular with BAME-led organisations.   b. The consultation report will be shared with applicants so it can inform their proposal   c. The proposal emphasises positive action to address systemic disadvantage and inequality. The consultation surfaced some concerns that a focus on place-based could undermine support for equalities communities which organise city wide and this emphasis meets those concerns.   d. The emphasis on Equity from the consultation will be reflected in the grant application and assessment process for applicants. to present a clear understanding of historic and current inequity and present a clear theory of change to deliver equitable outcomes to equalities-led VCSE groups. This will mean that appropriate kinds of support are in place to improve equity of outcome for these VCSE groups.
4.2 What actions have been identified going forward?
a. Annual work planning will include a positive-action plan

b. The grant funding plan will emphasise the desirability of a collaborative approach to delivery of the Enabling VCSE grant to achieve stated outcomes. We have built in a three month period into our commissioning plan to allow for this.
4.3 How will the impact of your proposal and actions be measured moving forward?
Delivery of the annual Equity & Inclusion action plan will be monitored. Outcome indicators will be agreed with the successful grant organisation(s) to track progress.

Service Director Sign-Off:	Equalities Officer Sign Off: *Reviewed by Equalities and Community Cohesion Team*
Date: 10/10/2019	Date: 4/10/2019

Eco Impact Checklist

Title of report: Enabling the VCSE sector support grant				
Report author: Keith Houghton				
Anticipated date of key decision: 3rd December 2019				
Summary of proposals: The proposal is to extend the rough sleepers encampment process currently in place in Bristol parks to other public spaces.				
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	+ive	Proposal aims to support VCSE organisations in the city in their work. Many voluntary, community and social enterprise organisations explicitly deliver work to enhance the physical appearance of the city; increase tree cover; reduce climate change; raise awareness of recycling, ecology and to promote energy efficiency in the city.	
Bristol's resilience to the effects of climate change?	yes	+ive		
Consumption of non-renewable resources?	yes	+ive		
Production, recycling or disposal of waste	yes	+ive		
The appearance of the city?	Yes	+ive		
Pollution to land, water, or air?	no			
Wildlife and habitats?	Yes	+ive		

Consulted with:
Public consultation 19th July- 15th September 2019; online survey; 7 events for VCSE, 1 consultation at Black South West Network event; 1 internal stakeholders event; 1 councillor event

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

The significant impacts of this proposal are:
The proposal has an indirect impact on the ecology of the city. It's a proposal to fund support to strengthen the effectiveness of the Voluntary, community and social enterprise sector in the city. As such it contributes to the impact that VCSE organisations can have in addressing One City Plan 2050 Environment Vision. Many groups within the VCSE sector have explicitly undertake work around mitigating climate change; addressing fuel poverty; food growing; recycling; habitat restoration and green energy and energy efficiency. The proposal explicitly seeks to increase the influence and participation of the VCSE sector in delivering into the One City Plan, which includes the Environment Vision.

Checklist completed by:

Name:	Keith Houghton
Dept.:	Neighbourhoods & Communities; Commercialisation & Citizen
Extension:	22135
Date:	02 October 2019
Verified by Environmental Performance Team	Nicola Hares – Environmental Project Manager

Decision Pathway – Report Template

PURPOSE: Key decision

MEETING: Cabinet

DATE: 03 December 2019

TITLE	Adult Social Care - Re-commissioning of Advocacy Services contracts	
Ward(s)	All	
Author: Lucia Dorrington		**Job title:** Strategic Commissioning Manager, Adult Social Care
Cabinet lead: Cllr Helen Holland		**Executive Director lead:** Jacqui Jensen
Proposal origin: Councillor		
Decision maker: Cabinet Member **Decision forum:** Cabinet		

Purpose of Report:

Firstly, to seek approval for the strategic re-commissioning of Adult Social Care Advocacy Services (Lot 2) to align with a locality based approach to Adult Social Care.

This replaces the commissioning model and route to market previously approved by Cabinet in March 2019 where the services listed below consisted of Lot 2 of Advocacy re-commissioning.

1. Independent Mental Capacity Advocacy Deprivation of Liberty Safeguards (IMCA DoLS) From October 2020 this will be Liberty Protection Safeguards (LPS)
2. Independent Mental Capacity Advocacy (IMCA)
3. Independent Mental Health Advocacy (IMHA)
4. BME Advocacy
5. In-patient Advocacy
6. Community Outreach Advocacy
7. Citizen Advocacy (formerly Care Management Advocacy)

Secondly, to request of Cabinet a further extension to the existing contracts for these Adult Social Care Advocacy services from 1 January 2020 to 31 December 2020 to enable this strategic re-commissioning to take place.

Evidence Base:

At its March 2019 meeting, Cabinet approved the re-commissioning of Adult Social Care Advocacy Services for the period 1/10/19 to 31/09/24 and authorised existing contracts to continue from 1/4/19 to 31/12/19 to enable a re-commissioning process to be undertaken across three Lots (Lots 1, 2 and 3). Cabinet authorised the Executive Director, People Directorate, in consultation with the Cabinet Member for Adult Social Care, to take all necessary steps to commission these advocacy services.

The Council is moving towards commissioning its services on a more devolved locality basis. This means that BCC will be focusing the approach towards localised models of provision where organisations can demonstrate high social value and a significant community presence. The Directorate is particularly interested in new models of provision with a high user focus and where use of local assets is integral to the offer, and where there may be different provision for each locality specifically focused upon the needs of that community.

BCC therefore now wants to align the list of advocacy services listed above to this approach.

The Service Director for Adult Social Care made the decision not to award a Contract for IMCA DoLS, IMCA, IMHA, BME Advocacy, In-patient Advocacy, Outreach Advocacy and Citizen Advocacy (Lot 2) in September 2019 in order for these services to be re-commissioned alongside emerging locality principles.

BCC now seeks to extend existing services in order to allow the completion of the Lot 2 strategic re-commissioning process on the basis of the new locality model. The estimated cost of extensions 1 January 2020 to 31 December 2020 is £358,677. Estimated cumulative cost of extensions from 1 April 2019 to 31 December 2020 is £627,684.

The value of the re-commissioning exercise for Lot 2 will be higher than this. This will be determined through the strategic re-commissioning exercise. In developing this, there will be engagement with the market and other stakeholders such as the BNSSG CCG (Clinical Commissioning Group) to develop a model that aligns with strengths based, locality and community based approaches to social care, and includes the perspectives of people with lived experience, and the role of specialist expertise.

Cabinet Member / Officer Recommendations:
That Cabinet:

1. Approves the strategic re-commissioning of Lot 2 Adult Social Care Services under a locality based model.
2. Authorises the Executive Director People in consultation with the Cabinet Member for Adult Social Care to take all steps necessary to extend the existing contracts for Lot 2 Adult Social Care Advocacy Services for the period 1/01/20 to 31/12/20 at a cost of £358,677.

Corporate Strategy alignment:

There are clear local strategic drivers and values that underpin the recommissioning of these services. They are:
1. The BCC Market Position Statement for Adult Social Care: The MPS sets the context for adult social care services in Bristol and outlines strategic commissioning intentions. The current MPS is due for review in light of the focus on locality working. The MPS acting as a steer for discussions between BCC and service/ support providers, in particular voluntary and community sector organisations, small and medium sized enterprises (SMEs), and entrepreneurs.

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. Better Lives programme: Maintain quality services with people at the heart of what we do and make cost savings whilst holding our ambition to improve outcomes

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 advocacy services, some of which the Council has a statutory responsibility to provide.

Consultation Details:

Consultation has not yet been undertaken for the re-commissioning of Lot 2 under the new locality model. This will commence in the next two months with the service redesign.

Background Documents: Information about the re-commissioning and review of Advocacy and HealthWatch services
https://www.bristol.gov.uk/tenders-contracts/advocacy-and-healthwatch-recommissioning

Revenue Cost Contract cost per annum	£358,677 per annum	Source of Revenue Funding	Adult Social Care, General Fund
Capital Cost	£0	Source of Capital Funding	N/A
One off cost ☒	Ongoing cost ☐	Saving Proposal ☐	Income generation proposal ☐

Required information to be completed by Financial/Legal/ICT/ HR partners:
1. Finance Advice: The annual costs of the contracts that are proposed to be extended and those that will form the basis of future re-commissioning will be contained within existing budget provision.   Monitoring of in year expenditure will ensure that expenditure is contained within funding available.
Finance Business Partner: Neil Sinclair, 24ᵗʰ October 2019
2. Legal Advice: The procurement of the new contracts must comply with the Public Contracts Regulations 2015 (or there equivalent) and the Council's own procurement rules. (It is recognised however that in this case the contracts may fall within the "light touch regime" under the Regulations). Contract extensions to existing contracts will be required until the re-commissioning has concluded. Legal services will advise and assist officers with regard to the conduct of the procurement process and the resulting contractual arrangements.   Consultation has taken place in relation to the decision to be taken. Cabinet should be satisfied that a proper consultation exercise has taken place in that (i) proposals were consulted on are at a formative stage (ii) sufficient reasons have been given for the proposals and (iii) adequate time has been allowed for consideration and response. The responses to the consultation must be taken into account by Cabinet when reaching its decision.   Appendix B of the report clearly sets out the process that was undertaken and how responses have been taken in to consideration by officers when developing their proposals.   Cabinet must also have regard to the Public Sector Equality Duty which 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 assist with compliance with this duty. The decision maker must take into consideration the information in the check/assessment alongside the general public sector equality duty when taking the decision.
Legal Team Leader: Eric Andrews, Team Leader, Legal Services, October 3ʳᵈ 2019.
3. Implications on IT: No immediate concerns in regards to IT Services, however consideration will need to be made if there are any plans to share systems or data in relation to the delivery of this service.
IT Team Leader: Simon Oliver, October 4ᵗʰ 2019
4. HR Advice: This is a commissioned service. There are no implications for BCC staff arising from the proposal. However, there will be implications for the commissioned provider workforce if the contract extension is not approved or the provider changes as result of the re-commissioning.

HR Partner: Mark Williams, HR Manager, October 3rd 2019.		
EDM Sign-off	Jacqui Jensen	23rd October 2019
Cabinet Member sign-off	Cllr Helen Holland	28th October 2019
For Key Decisions - Mayor's Office sign-off	Mayor's Office	4th November 2019

Appendix A – Further essential background / detail on the proposal	**NO**
Appendix B – Details of consultation carried out - internal and external	**NO**
Appendix C – Summary of any engagement with scrutiny	**NO**
Appendix D – Risk assessment	**NO**
Appendix E – Equalities screening / impact assessment of proposal	**YES**
Appendix F – Eco-impact screening/ impact assessment of proposal	**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 Equality Impact Assessment Form

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

Name of proposal	Strategic Commissioning - Adult Social Care Advocacy Services
Directorate and Service Area	People Directorate
Name of Lead Officer	Lucia Dorrington – Strategic Commissioning 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?
We want to consult on plans and detail about the re-commissioning of statutory and non-statutory advocacy services.

Step 2: What information do we have?

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

2.1 What data or evidence is there which tells us who is, or could be affected?
A mixture of quantitative and qualitative evidence has been collected and reviewed for a full needs analysis which included: • Statistical evidence has been gathered through a through desktop review of available reports and data sets including Provider monitoring, Liquidlogic Adults' Social Care System (LAS), ONS, JSNA, POPPI and other sources. • Online questionnaires generated by BCC and commissioned services. • Interviews have carried out with staff, local experts and key partners in the CCG.

- Stakeholder workshops with internal experts and current providers.
- 1-2-1 sessions with service users as well as group sessions

The needs analysis illustrates the demand forecast for the service. The Commissioning Plan identifies no gaps in statutory advocacy provision but anticipates an increased demand for all advocacy services over the next five years.

Age: The IMCA service typically sees a referral age of 80+, followed by 66-79yrs which would correlate with the main primary need of service users being Dementia. The IMHA service & Inpatient Advocacy has a lower age demographic of 33-45 being the most prevalent age group. Individuals receiving Care Act advocacy are typically in the 65+age group followed by 55-64yrs, which is a similar range to the Care Management Advocacy service.

Religion: The most common religion recorded was Christian, followed by Muslim

Disability: All services reported that nearly all individuals accessing services had a disability, where this was not the case this was often because the person receiving support was a Carer.

Gender: IMHA & IMCA services received slightly more referrals for females that for males. There was a 50/50 split for Care Act advocacy. The CMAP service received significantly more referrals for women than for men.

Transgender: There were few referrals for individuals who were Transgender, typically 1 or 2 per service over a 12 month period. There were a significant number of no response/data not recorded.

Sexual orientation: Most individuals stated that they were Heterosexual; however there were a significant amount of no responses/data not recorded. LGBT were under-represented as a group in comparison with the Bristol demographic.

2.2 Who is missing? Are there any gaps in the data?
We know that data captured by commissioned services in scope do not capture ethnicity, sexual orientation, transgender and age recording in a consistent way due to poor monitoring. Therefore the data for individuals with these protected characteristics is poor. There is an under-representation of

individuals in prison accessing these services, which will require further engagement with this population and experts as part of the strategic re-commissioning exercise.
2.3 How have we involved, or will we involve, communities and groups that could be affected?
We have engaged with VCS/SME industry experts, VOSCUR our local VCS support provider through 2 workshops, developed a service user participation process and will be conducting a full public consultation process that is compliant with our VCSE compact.

Step 3: Who might the proposal impact?

Analysis of impacts on people with protected characteristics must be rigourous. 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 have not identified any potentially adverse impacts at this stage. However because of the nature of the service, disabled people including those with Mental Health, Physical Disability and Learning Disability are particularly affected by the proposal, and some protected characteristics are over-represented within individual services.

We will need to ensure that the needs of all equalities groups are met within new services and that there is no indirect discrimination or adverse impact as a result of the re-commissioning of Lot 2 advocacy services.

The Commissioning Plan does not indicate any reduction in investment, and forecasts an increased demand for advocacy. It seeks to make better use of existing resources through improved contract management. We are interested in developing common reporting systems, and looking at potential for an Advocacy Forum led by providers that is focused on system improvement and system throughput. We also want to promote everyone's access to resources for self-advocacy.

Impacts on current service users could occur through longer term casework transition in the event of a change of provider. We have worked with existing providers to understand the expertise of the local offer. |
| 3.2 Can these impacts be mitigated or justified? If so, how? |

We are confident that any existing and new providers will mitigate disruption wherever possible. This may include casework handover meetings to be led by the client wherever possible and minimising any delays in mobilisation of new services. As part of our consultation on the proposals in this commissioning plan we will seek to further understand the needs of service users with protected characteristics.
3.3 Does the proposal create any benefits for people with protected characteristics?
We want to promote greater awareness of access to services and resources for all groups. We recognise the BME Advocacy service as a valuable role and propose to learn as much as we can about the role of culturally specific advocacy and how to ensure all our services provide effectively for the diversity of our population. There is evident value of User Led Organisations (ULOs), both in additional social value and in giving service users, a voice.
3.4 Can they be maximised? If so, how?
We want to increase our understanding of how to promote culturally sensitive advocacy and locality based provision throughout our service provision. We aim to maximise the value of ULO's through the consultation phase we will explore how commissioning services from ULO's can further inform and shape services. We will continue to work interdependently with the development of the Information Advice and Guidance platform to ensure that advocacy services are clearly signposted. Post-award we will co-produce mechanisms to share information and good practice, such as a provider-led forum and sharing relevant reporting information.

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?
In a climate of a reduction of non-statutory services it is important to evidence and articulate the value of BME and ULO organisations to inform a specification that will give the council good value for money. The EqIA helps

demonstrate that this provision is highly valued. It prompted us to question whether a wider emphasis on culturally sensitive advocacy could be developed and how to achieve the maximum benefit from ULO's.
4.2 What actions have been identified going forward?
We will respond to any ideas or actions identified through consultation. We will continue with look at ways that a provider led forum could challenge each service to demonstrate what it is doing to improve its equalities led performance.
4.3 How will the impact of your proposal and actions be measured moving forward?
Through replies to consultation; development of service specifications; revised contract management and common reporting requirements. We wish to develop an active provider forum or advocacy "hub" that makes best use of its monitoring information to identify system improvement targets. We will update the equalities impact assessment in the event of any shift in this approach, and when a summary of replies to consultation is available.

Service Director Sign-Off: Terry Dafter	Equalities Officer Sign Off: Duncan Fleming
Date: October 2019	Date: 9/8/2019

Decision Pathway – Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 03 December 2019

TITLE	2019/20 Period 7 Forecast Outturn Report	
Ward(s)	n/a	
Author: Tian Ze Hao	**Job title:** Senior Finance Business Partner	
Cabinet lead: Cllr Craig Cheney	**Statutory Officer lead:** Denise Murray	
Proposal origin: Other		
Decision maker: Cabinet Member **Decision forum:** Cabinet		
Purpose of Report: This report provides the update on the Council's financial performance and forecast use of resources for the financial year 2019/20 at Period 6. The Council's budget for 2019/20 was agreed by Council on 26th February 2019 and this report focuses on the forecast position against the latest budget. The Council operates Directorate cash limited budgets and Executive Directors are responsible for ensuring that appropriate action is taken to contain both revenue and capital spending within the directorate's overall budget limit. Budget holders forecasting a risk of overspend should in the first instance set out in-service options for mitigation. Where these are considered undeliverable or pressures cannot be contained across the directorate the budget scrutiny process will be triggered and a request may be made for the Executive to consider granting a supplementary estimate redirecting funds from an alternative source. At this stage of the year Directors are anticipating that a range of management actions being proposed will enable key service requirements to be delivered and a balance budget position achieved. This position and proposed mitigations will be closely monitored and reported.		
Evidence Base: The Council's overall annual revenue spend for 2019/20 covers a number of areas: • The General Fund net budget of £376.3m (a forecast variation at P7 of £4.3m), providing revenue funding for the majority of the Council services. Ring Fenced Accounts: • The Housing Revenue Account (HRA) of £160.0m gross spend (£1.7m underspend forecast at P7), is ring-fenced, money received in rent in order to plan and provide services to current and future tenants, and the balanced will be managed through the HRA ring fenced reserves. • DGS is a ring-fenced grant that must be used in support of the schools budget and is managed within the People Directorate. The total Dedicated Schools Grant (DSG) budget, including amounts recouped by the Education and Skills Funding Agency for Academies is £357.1m for 2019/20 and this includes accelerated funding of £ 2.407m from 2020/21. The DSG is currently forecasting an £1.1m in year overspend against this approved budget (consists of £0.6m underspend in Early Years and £1.7 overspend in High Needs), this net overspend is proposed to be managed through the ring-fenced reserves. • Public Health, a ring-fenced grant of £31.6m (with a forecast variation of £0.13m at P7), must be spent to support the delivery of the Public Health Outcomes Framework exclusively for all ages and is managed within the People Directorate. Full detail for each of these areas is provided in the main monitoring report, Appendix A.		

Capital Programme:
- Revised capital Programme budget of £170.9m fully funded through the use of external funding, capital receipts and borrowing.

Recommendations:

That Cabinet to approve,
1. Additional Capital programme budget added since P6 (£0.7m in total, individual schemes less than £0.5m, details listed under Appendix B).

That Cabinet note,
2. A risk of overspend on General fund services of £4.3m for 19/20 representing 1.1% of the approved budget (Appendix A).
3. A forecast £1.7m underspend position with regard to the Housing Revenue Account.
4. A forecasted £1.1m overspend for the Dedicated Schools Grant against approved budget.
5. A risk of overspend of £0.13m for Public health, which is being monitored.
6. The Sundry Debt position of £20.9m over 90days as at Period 7, reduced from £24.2m since P6. Individual directorate detail included under Appendix A1-6.

Corporate Strategy alignment: This report sets out progress against our budget, part of delivering the financial plan described in the Corporate Strategy 2018-23 (p4) and acting in line with our organisational priority to 'Be responsible financial managers' (p11).

City Benefits: Cross priority report that covers whole of Council's business.

Consultation Details: n/a

Revenue Cost	See Above	Source of Revenue Funding	Various
Capital Cost	See Above	Source of Capital Funding	Various
One off cost ☐	Ongoing cost ☐	Saving Proposal ☐	Income generation proposal ☐

Required information to be completed by Financial/Legal/ICT/ HR partners:
1. Finance Advice: The resource and financial implications are set out in the report.
Finance Business Partner: Michael Pilcher (Chief Accountant)
2. Legal Advice: The report, including the detail in Appendix A&B, will assist the Cabinet to monitor the budget position with a view to meeting the Council's legal obligation to deliver a balanced budget.
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 : Simon Oliver, ICT
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 2019/20.
HR Partner: Mark Williams, Head of Human Resources

EDM Sign-off	Denise Murray	23/09/2019
Cabinet Member sign-off	Cllr Cheney	23/09/2019
For Key Decisions - Mayor's Office sign-off	Mayor's Office	23/09/2019

Appendix A – P6 Revenue Budget Monitoring Report	YES

Appendix B – P6 Capital Budget Monitoring Report	YES
Appendix C – Summary of any engagement with scrutiny	NO
Appendix D – Risk assessment	NO
Appendix E – Equalities screening / impact assessment of proposal	NO
Appendix F – Eco-impact screening/ impact assessment of proposal	NO
Appendix G – Financial Advice	NO
Appendix H – Legal Advice	NO
Appendix I – Combined Background papers	NO
Appendix J – Exempt Information	NO
Appendix K – HR advice	NO
Appendix L – ICT	NO

1. General Fund

1.1. The Council is currently forecasting a £4.3m overspend on the approved general fund budget (£376.3m). At this point of the financial year any immitigable risks of overspend may trigger supplementary estimate prior to year-end. The level of any overspend in 2019/20 will need to be considering when setting the budget for 2020/21 to replace any additional drawdowns from reserves.

1.2. The table below provides a summary of the current forecast position by directorate for 2019/20. Additional service details are provided for each Directorate in individual appendices.

Figure 1: General Fund Forecast Net Expenditure

Approved Budget*	Directorate	Revised Budget	Outturn	Variance	Variance as % of Net Budget
£m		£m	£m	£m	
226.4	People	226.7	229.8	3.1	1.4%
53.9	Resources	53.6	55.1	1.5	2.8%
61.0	Growth and Regeneration	59.8	59.7	-0.1	(0.1%)
341.3	**Sub-total**	**340.1**	**344.6**	**4.5**	1.3%
35.0	Other Budgets**	36.2	36.0	-0.2	-0.6%
376.3	**Net Expenditure Total**	**376.3**	**381.8**	**4.3**	1.1%

*Other Budgets includes capital financing and borrowing costs, and nun-apportioned central overheads.

1.3. The forecast overspend in People is predominantly within Adult Social Care (£2.4m) meanwhile assuming a level of the planned efficiency initiatives will be delivered in the service against the c£4m target. This is an increase of £0.26m from P6 and reflects additional costs in Working Age Adults (£0.91m) reflecting a number of high cost placements offset by staff and other savings (£0.4m) and further savings in the other services (£0.3m). These are detailed in Appendix A1.

1.4. The Education improvement budget forecast remains at risk of overspend of £0.6m, and principally relating to Home-School Transport. This is a recurrent issue and was addressed by a temporary supplementary estimate in 2018/19. For 2019/20, the service is pursuing a range of initiatives to manage demand and cost, including: procuring a new software system to get better management information and to improve route planning; participating in a Department for Education project looking at good practice in Home-School Transport; and considering how the SEN Capital Strategy can help minimise the need for transport by having provision where it is needed.

1.5. The remaining forecast overspend is within Commercialisation and Citizens in the Resources Directorate where the forecast overspend of £1.7m in P6 has decreased to £1.5m. This pressure relates to Facilities management services and the Resource Directorate as whole is continuing the effort in identifying mitigations to balance the budget for 2019/20. The current review of Facilities Management has highlighted pressures on savings which could be improved if the service is successful with a current bid plus forecast mitigations for security, salary and software costs.

1.6. Figure 2 below illustrates that the difference between the budget holders' forecast on employees spend and the extrapolated current monthly averages are moving closer. There could be scope to make further savings through salaries however there are factors such as turnover provision that also need to be accounted for.

Figure 2: Employee cost run-rate comparison to management forecast

Legend	
■ Budget	■ Forecast based on last period's expenditure
■ Current Forecast	■ Prev Year's Outturn
■ Forecast based on monthly average	
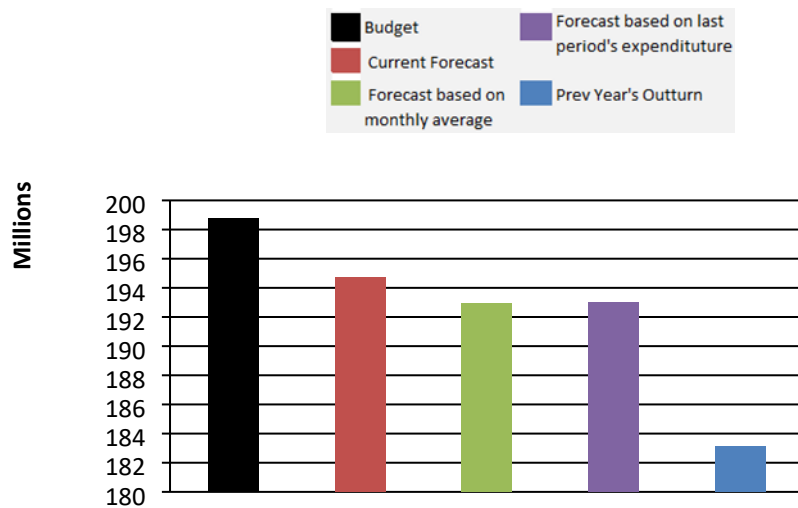
2. Ring-Fenced Accounts

Housing Revenue Account

2.1. The HRA is has increased its forecast underspend to £1.7m (£1.4m P6) against the budget set and this relates to the recruitment and retention issues in the Construction industry generally, and the service is seeking to fill vacancies and over programme where possible in order to ensure maximum deliverability of the planned programme. Any underspend at year-end will be built into the future programme.

Dedicated Schools Grant

2.1. The total Dedicated Schools Grant (DSG) budget, including amounts recouped by the Education and Skills Funding Agency (ESFA) for Academies is £357.1m for 2019/20 and this includes accelerated funding of £ 2.407m from 2020/21. The DSG is currently forecasting an in year overspend of £1.060m which is proposed to be managed by the carried forward £1.9m balance in the DSG ring-fenced reserve.

2.2. The High Needs budget includes transfers from other blocks of £2.566m and the accelerated funding of £2.407m from 2020/21, giving a total budget of £58.904m. The current forecast has increased by £1.5m from last month due to increased pressures in Out of Area Placements and Alternative Provision, the total forecast overspend in this block is £1.682m. The ESFA have announced that funding for this block will increase in 2020/21 and Schools Forum will be asked to support any movement between blocks required to ensure enough funding is available to meet demand.

2.3. Early years DSG income is based on actual take up of places and measured at 4 census points during the year. The first 2 of these are available and the forecast is based on these participation levels, along with an estimate of future levels, giving an underspend of £0.622m. As actual levels are notified both the income and forecast will vary during the year.

Public Health

2.4. Public Health is forecasting to deliver a balance budget in 2019/20 which remains consistent with P6. The total grant receipt of £31.6m included a 2.5% reduction (£0.9m) this year. There is a risk that the agreed 2019/20 budget may be overspent to a value of £0.127m (£0.14m P6) but steps are underway to reduce this figure.

3. Savings Programme

3.1. The savings / efficiency programme agreed by Council in 2018 included savings totalling £11.7m for 2019/20. In addition, £6.1m of savings were carried forward from 2018/19 to 2019/20 which still

requires recurrent delivery and mitigation in 2019/20. Therefore the total savings delivery target for 2019/20 is £17.8m.

3.2. At P7 £3.65m of £17.8m savings are reported to be at risk where further work / mitigating actions may be required in order to deliver (consistent with P6), of which £2.0m relates to the Adult Social Care Better Lives Programme and the remainder relates to Council-wide cross-cutting savings initiatives and schemes.

Figure 3: Summary of Delivery of Savings by Directorate

Directorate	2019/20 Savings £m	2019/20 Savings reported as safe	2019/20 Savings reported as at risk	
		£m	£m	%
People	8.98	6.90	2.09	23%
Resources & Cross-Cutting	4.39	3.49	0.90	20%
Growth and Regeneration	4.41	3.75	0.66	15%
Total	17.79	14.14	3.65	21%

Period 7 Budget Monitoring - Summary

	2019/20 - Full Year				Previous Period Forecast	
	Approved Budget	Revised Budget	Forecast Outturn	Outturn Variance	Movement in Forecast	Forecast Outturn
	£000s				£000s	
People						
Adult Social Care	148,805	148,998	151,423	2,425	266	151,157
Children and Family Services	62,439	62,699	62,764	66	259	62,505
Educational Improvement	11,915	11,814	12,391	577	(468)	12,859
Public Health - General Fund	3,237	3,237	3,237	0	(0)	3,237
Total Adults, Children and Education	**226,396**	**226,746**	**229,815**	**3,067**	**57**	**229,759**
Resources						
Digital Transformation	11,528	11,668	11,668	0	(499)	12,168
Legal and Democratic Services	6,898	6,808	6,884	76	(44)	6,928
Finance	11,500	11,591	11,627	36	665	10,962
HR, Workplace & Organisational Design	10,568	10,364	9,888	(476)	(266)	10,154
Policy, Strategy and Partnerships	2,939	3,037	3,021	(16)	(107)	3,128
Commercialisation and Citizens	10,446	10,101	11,997	1,896	481	11,516
Total Resources	**53,879**	**53,569**	**55,085**	**1,516**	**229**	**54,856**
Growth & Regeneration						
Housing & Landlord Services	11,649	11,602	11,305	(297)	3	11,302
Development of Place	1,277	1,287	1,228	(58)	(64)	1,292
Economy of Place	2,678	3,410	3,719	309	23	3,696
Management of Place	45,389	43,497	43,485	(12)	97	43,388
Total Growth & Regeneration	**60,993**	**59,796**	**59,738**	**(58)**	**60**	**59,678**
SERVICE NET EXPENDITURE	**341,268**	**340,111**	**344,638**	**4,524**	**347**	**344,293**
Levies	857	857	860	3	0	860
Corporate Expenditure	34,174	34,925	34,710	(215)	(375)	35,085
Capital Financing	0	405	405	(0)	(0)	405
Insurance Fund	0	0	0	0	0	0
Corporate Revenue Funding	(376,299)	(376,299)	(376,299)	0	(0)	(376,299)
RELEASED FROM RESERVES	0	0	0	0	0	0
TOTAL REVENUE NET EXPENDITURE	**(0)**	**(1)**	**4,313**	**4,313**	**(28)**	**4,344**

a: 2019/20 Summary Headlines

Revised Budget	Forecast Outturn	Outturn Variance	
P7 **£226.7m**	**£229.8m**	**£3.1m**	**Overspend**

b: Budget Monitor
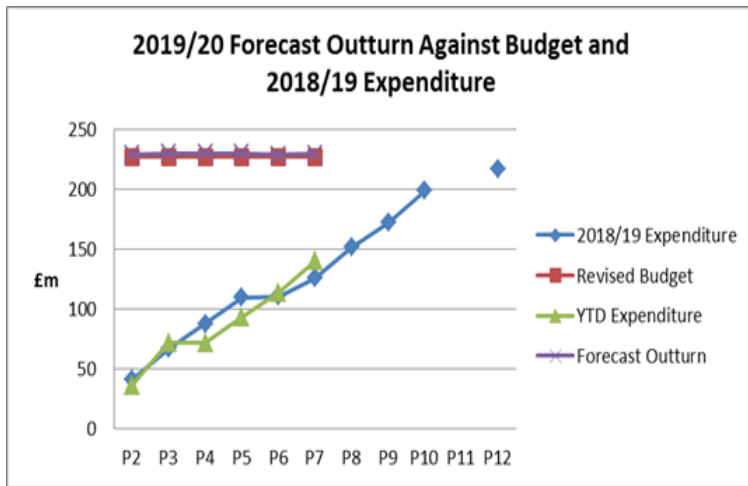
1. Overall Position and Move

2019/20 Forecast Outturn Against Budget and 2018/19 Expenditure

Forecast Outturn Variance 2019/20											
				£000							
Revised budget	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
£226.7m	2.3	2.8	2.8	2.7	2.8	3.1					
	▲	▲	▲	▼	▲	▲					

2. Revenue Position by Division

Revenue Position by Division	2019/20 - Full Year			
	Approved Budget	Revised Budget	Forecast Outturn	Outturn Variance
	£000s			
Adult Social Care	148.8	149.0	151.4	2.4
Children and Family Services	62.4	62.7	62.8	0.1
Educational Improvement	11.9	11.8	12.4	0.6
Public Health - General Fund	3.2	3.2	3.2	0.0
Total	**226.4**	**226.7**	**229.8**	**3.1**

3. Aged Debt Analysis
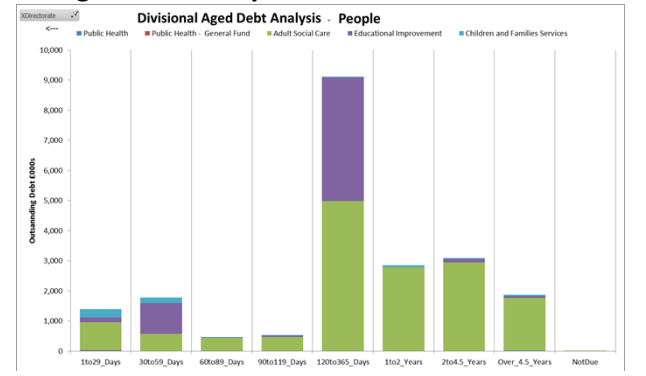
Divisional Aged Debt Analysis - People

4. Payment Statistics

Division	Amount Paid (£)	Number of invoices paid	Average days to pay	Late Payment (>30 days)		Invoices paid without order		Retrospective order	
1 - People									
14 Adult Social Care	4,552,309	3,526	34	756	21%	22	1%	590	17%
15 Children and Families Services	17,562,636	5,749	41	1,826	32%	11	0%	2,306	40%
16 Educational Improvement	22,699,950	1,953	30	267	14%	16	1%	268	14%
1Y Capital - People	6,243,551	178	38	49	28%	0	0%	31	17%
36 Public Health - General Fund	7,744,334	271	34	62	23%	0	0%	42	15%
1 - PeopleTotal	**58,802,780**	**11,677**	**37**	**2,960**	**25%**	**49**	**0%**	**3,237**	**28%**

People

- Paid within 30 days — 9901, 74%
- Late Payment (>30 days) — 609, 5%
- Late Payment (>30 days) / payments registered late — 876, 7%
- Late Payment (>30 days) / payments registered late / Retrospective order — 1513, 11%
- Late Payment (>30 days) / Retrospective order — 415, 3%

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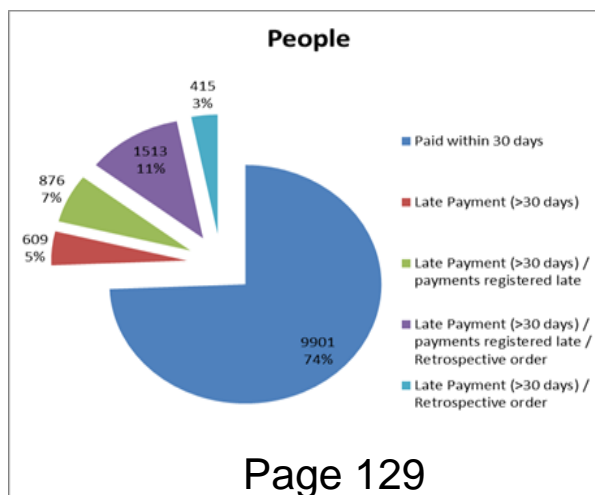
5. Key Messages

5.1 Adult Social Care

Outturn 2018/19 £'000s	Financial Year 2018/19	Revised Budget 2019/20 £'000s	2019/20 Forecast @ P07 £'000s	Forecast Variance @P07 £'000s	Change in forecast Variance £'000s
72,705	Older Adults 65+	65,681	73,946	8,265	-161
66,054	Working Age Adults 18 - 64	63,533	69,690	6,157	909
8,954	Preparing for Adulthood 0 - 25	8,228	9,650	1,422	-100
2,487	Social Care Support	1,877	-1,854	-3,731	-32
30,118	Staffing & other costs	35,068	31,610	-3,458	-406
-29,542	Income	-25,389	-31,618	-6,229	46
150,776	**Totals per budget report**	**148,998**	**151,424**	**2,426**	**256**

The current forecast outturn at P7 (October 2019) for Adult Social Care on a current net budget of £149.0m is £151.4m an overspend of £2.4m (1.6%). The service is undertaking a critical review of the risk to delivery of the savings target of £4.3m which is not allowed for in the Forecast. The key movements between period 6 and period 7 forecast are as follows:

- Support for Older Adults Forecast has remained stable in the month. Looking at placements for for November there is a downward trend for residential and a neutral position for nursing. There are risks that due to winter pressures that the demand on care home placements will increase if homecare supply remains at current levels. The following graphs set out the up to date position on placements for Older Adults.

Weekly Older People Placements - Residential
2nd Oct 2017 to 18th November 2019

Weekly Older People Placements - Nursing
2nd October 2017 to 18th November 2019

Weekly Older People SUs with Homecare
3rd September 2018 to 18th November 2019

Weekly Older People SUs with ECH
3rd September 2018 to 18th November 2019
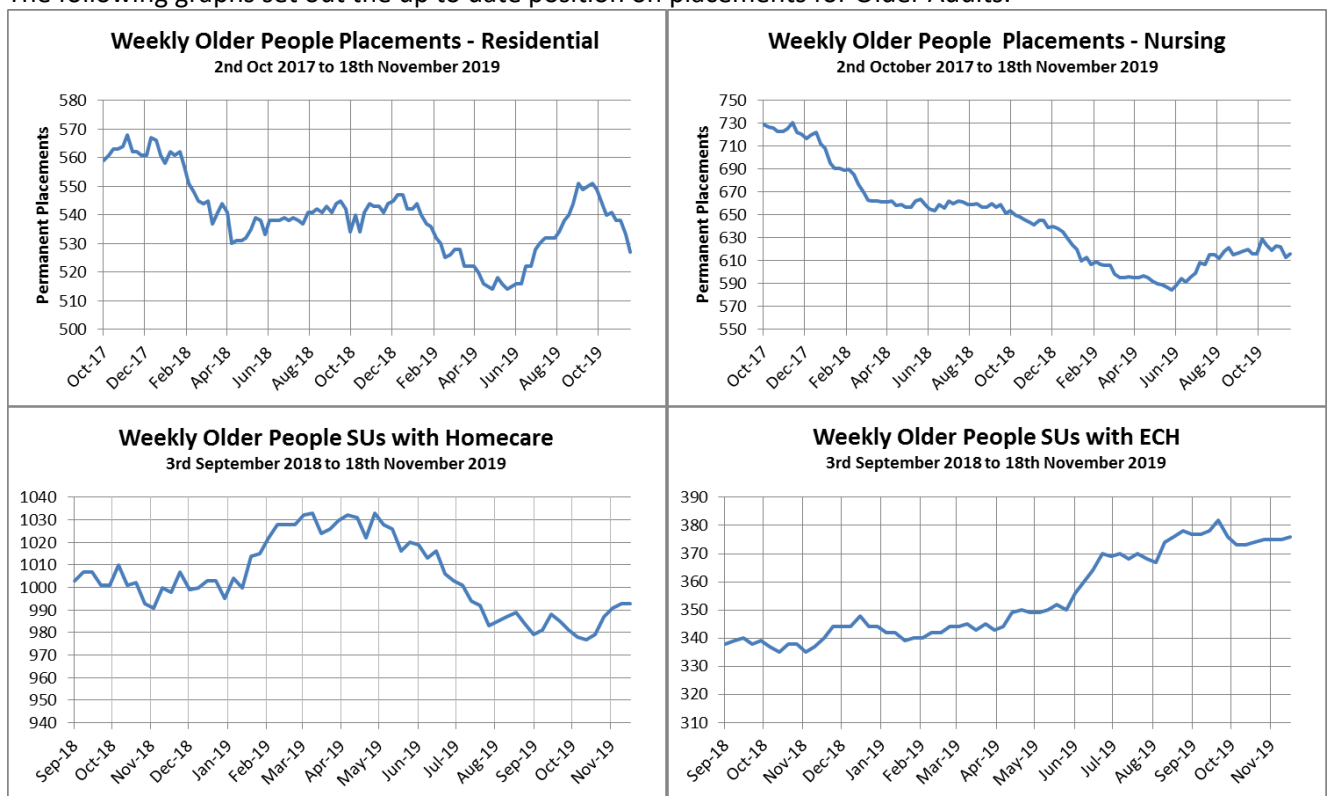
- Working Age Adult Forecast is up by c£0.909m, reflecting a number of new high cost placements.
- PFA Forecast shows a further small reduction of £0.100m from last month
- Social Care Support shows a small reduction of £0.032 from last month
- Staffing and other cost Forecast has been reduced by £0.406m which represents a continuing trend to reverse the increases in underspend forecast in earlier months
- Income Forecast shows a very slight fall in the Forecast of £0.046m due primarily to a reduction of the Forecast Income for S117

Current placement trends across all ages suggests that the savings target in the current year is unlikely to be met

and at the same time a balanced budget will not be delivered by the end of the financial year.

5.2 Public Health - General Fund

The current forecast at P7 for Public Health is Forecasting a break even position on a gross budget before Income £3.237m.

5.3 Children and Family Services

At this stage in the year, the service is forecasting an overspend of £67k, which is almost the same as P6. At present the placements forecast (as per the table below) is indicating a budget pressure of £0.270m, this pressure is offset by forecast underspends of £0.203m elsewhere in the service.

Within the budget for 2019/20 there were savings targets of £1.6m, and current forecasts indicate that these will be met, following service changes arising from Strengthening Families Programme. These include assumptions about costs of out-of-authority placements being replaced with the introduction of 2 and 3 bed homes.

Previously reported pressures continue, including spend on high cost remand placements. Numbers of young people coming into care are starting to increase, the additional costs associated with this increase is currently being contained but could lead to increases in the forecast in future months and it is likely that these pressures will continue into 2020/21.

5.4 Educational Improvement

The main budget issue continues to be Home-School Transport. There have been underlying budget pressures in this service for some time; during 2018/19, they were offset by the temporary supplementary estimate. For 2019/20 budget setting, some inflationary provision (£0.3m) and some unallocated funding (£0.3m) has helped limit the pressure, but demand and cost pressures remain with a £0.6m overspend now forecast, this is a £13k increase from last period reflecting additional costs accociated with increased demand in the new term above what was previously estimated. The service is pursuing a range of initiatives to manage demand and cost, including: procuring a new software system to get better management information and to improve route planning; participating in a Department for Education project looking at good practice in Home-School Transport; and considering how the SEN Capital Strategy can help minimise the need for transport by having provision where it is needed.

Placement Category			Financials			
Placement Category	Cost Centre name	AVERAGE APR TO OCT:	ANNUAL BUDGET £000	ANNUAL FORECAST £000	FORECAST VARIATION £000	ACTUAL AVERAGE WEEKLY COST
Bristol Residential	Inhouse Supported Accom - Looked after (Pre 18)	5	84	217	132	142
	Inhouse Supported Accom - (Post 18)	25				
	Childrens Residential Homes	10	3,084	2,455	-629	4,524
Bristol Residential Total		40	3,168	2,671	-497	4,666
Foster Care	In house Fostercare - Looked after (Pre 18)	396	6,226	6,005	-221	265
	In house Fostercare - (Post 18)	40				
	Independent Fostering Agencies - Looked After (Pre 18)	157	5,522	5,838	316	630
	Independent Fostering Agencies -(Post 18)	21				
	Adoption - Looked after (pre 18)	51	482	428	-54	159
	Adoption - (Post 18)	1				
Foster Care Total		666	12,230	12,271	41	1,053
Non-Bristol Residential	Out of Authority	29	5,032	5,151	119	3,415
	Parent & Baby Unit	5	505	340	-165	1,203
	ESA - Looked after (Pre 18)	11	1,137	1,069	-67	1,618
	ESA- (Post 18)	2				
Non-Bristol Residential Total		47	6,673	6,560	-113	6,236
Other	Secure Unit	0	151	91	-60	
Other Total		0	151	91	-60	
Permanency	SGO/RO/CAO - (Pre 18)	535	4,121	5,020	900	180
	RO/SGO/CAO (Post 18)	2				
Permanency Total		536	4,121	5,020	900	180
Grand Total of all placements	**Grand Total**	**1,289**	**26,343**	**26,613**	**270**	
Total for Teams and Other Services			36,354	36,151	-203	
Childrens Totals			62,697	62,764	67	

c: Risks and Opportunities

6. Savings Delivery RAG Status

20/21 People Directorate Savings Target (£'000s):						4,400	

	This month			Last month			Top 5 largest savings at risk in 19/20 (ordered by size of saving at risk)		
	Total value of savings (£'000s)	Value at risk (£'000s)	Proportion at risk	Total value of savings (£'000s)	Value at risk (£'000s)	Proportion at risk	ID	Name of Proposal	Value at Risk in 19/20 (£'000)
No - no plan in place	0	0	n/a	0	0	n/a	n/a	n/a	
Yes - plan in place but still to deliver	4,195	0	0%	4,195	0	0%			
Yes - savings safe and can be taken from bu	205	0	0%	205	0	0%			
SAVING CLOSED - CONFIRMED AS 'SECURED & DELIVERED'	0	0	n/a	0	0	n/a			
NO RAG PROVIDED	0	0	n/a	0	0	n/a			
Grand Total	4,400	0	0%	4,400	0	0%			
n/a - represents one off savings or mitigations in previous year	0	0	n/a	0	0	n/a			
Accelerated efficiencies (balancing line)	0	0	n/a	0%	0%	n/a			
WRITTEN OFF	0	0	n/a	0	0	n/a			
Grand Total	4,400	0	0%	4,400	0	0%			

Key Changes since last month

1. No changes to report for P7, with P6 figures being used for savings lines as no update was received for P7.

Key messages/Comments

The majority of savings for 20/21 are currently rated as amber, with a plan in place but still to deliver. Pressure on Adult Social Care budgets in particular suggests that the deliverability of savings for 20/21 now needs careful planning. Now that the annual planning process including 20/21 budget setting is now in progress, People should pay close attention to the committed savings, their current profiling, and their deliverability.

d: Capital

Approved Budget	Revised Budget	Expenditure to Date	Forecast Outturn	Outturn Variance
£25.8m	**£23.3m**	**£7.1m**	**£22m**	**(£1.3m)**
		31% of Budget	95% of budget	

1. Within the Better Lives at Home funding there are delays in progressing the development of Sea Mills and acquiring properties. As a result the funding available in 2019/20 will be reprofiled into 2020/21.

a: 2019/20 Summary Headlines

Revised Budget	Forecast Outturn	Outturn Variance
P7 **£53.6m**	**£55.1m**	**£1.5** **OVERSPEND**

b: Budget Monitor
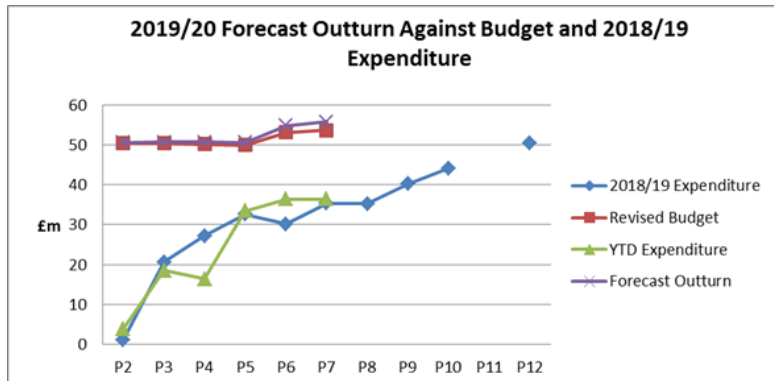
1. Overall Position and Movement

2019/20 Forecast Outturn Against Budget and 2018/19 Expenditure

2. Revenue Position by Division

Revenue Position by Division	2019/20 - Full Year			
	Approved Budget	Revised Budget	Forecast Outturn	Outturn Variance
	£000s			
Digital Transformation	11.5	11.7	11.7	0.0
Legal and Democratic Services	6.9	6.8	6.9	0.1
Finance	11.5	11.6	11.6	0.0
HR, Workplace & Organisational Design	10.6	10.4	9.9	(0.5)
Policy, Strategy and Partnerships	2.9	3.0	3.0	(0.0)
Commercialisation and Citizens	10.4	10.1	12.0	1.9
Total	**53.9**	**53.6**	**55.1**	**1.5**

3. Aged Debt Analysis
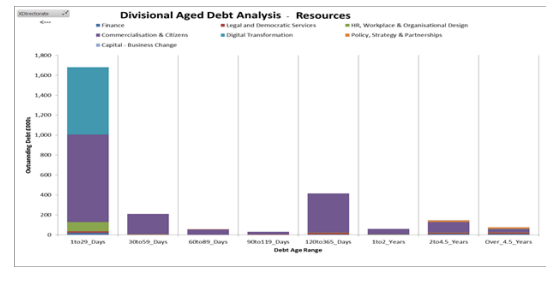
Divisional Aged Debt Analysis - Resources

Forecast Outturn Variance 2019/20												
	£000											
Revised budget	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	
53.6	0.2	0.3	0.5	0.7	1.7	1.5						
	▲	▲	▲	▲	▲	▼						

Key Messages:

The forecast outturn for Resources has reduced by £0.2m since P6 and is currently forecast as £1.5m over budget. Reasons for the reductions are as follows:

- **Policy, Strategy and Partnerships.** The Division has reviewed current vacancies and income to bring the forecast back to balance from a £0.1m forecast overspend in P6. There is a small residual level of risk around staffing cost assumptions, but this should be possible to contain using Western Powerhouse reserve as required.

- **HR, Workplace and Organisational Design.** The Division has improved its forecast by £0.2m to a forecast £0.5m underspend in P7 as shown below:
  - ➢ +£0.1m pressure added as the Annual Leave Top Up scheme which is not forecast to reach its current target of £0.75m
  - ➢ -£0.09m saving for costs identified against approved H&S funding
  - ➢ -£0.1m saving from salary vacancies whilst awaiting to recruit for the revised HR structure
  - ➢ -£0.14m saving from contract income already forecast but transferred in from another Finance and Procurement divison

- **Commercialisation and Citizens.** The forecast pressure for the Division has increased by £0.1m since P6 and relates mainly to additional costs relating to agency staff. There has also been a review of income which has revised targets both up and down across the service

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4. Payment Statistics

Division	Amount Paid (£)	Number of invoices paid	Average days to pay	Late Payment (>30 days)		Invoices paid without order		Retrospective order	
2 - Resources									
21 Digital Transformation	8,698,833	1,940	62	673	35%	14	1%	552	28%
22 Legal and Democratic Services	2,624,592	1,510	41	482	32%	10	1%	635	42%
24 Finance	1,981,698	759	35	153	20%	264	35%	36	5%
25 HR, Workplace & Organisational Design	1,942,485	1,145	29	172	15%	1	0%	217	19%
28 Policy, Strategy & Partnerships	673,496	496	26	72	15%	0	0%	50	10%
2Y Capital - Business Change	6,598,582	525	33	107	20%	0	0%	29	6%
38 Commercialisation & Citizens	8,953,960	6,108	34	1,340	22%	19	0%	1,893	31%
2 - ResourcesTotal	**31,473,647**	**12,483**	**39**	**2,999**	**24%**	**308**	**2%**	**3,412**	**27%**

Resources pie chart:
- 9484 76% — Paid within 30 days
- 568 5% — Late Payment (>30 days)
- 814 6% — Late Payment (>30 days) / payments registered late
- 1391 11% — Late Payment (>30 days) / payments registered late / Retrospective order
- 226 2% — Late Payment (>30 days) / Retrospective order
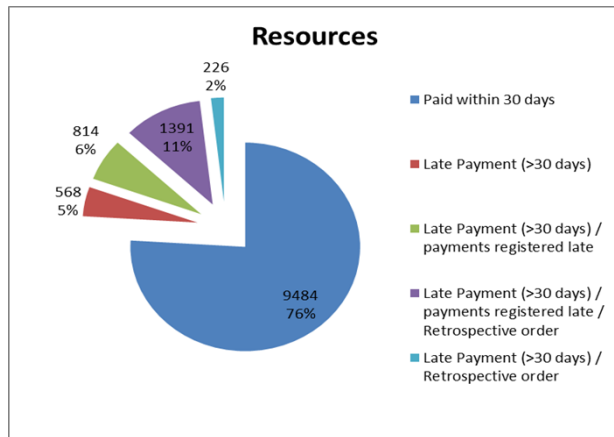
c: Risks and Opportunities

5. Savings Delivery RAG Status

19/20 Resources Directorate Savings Target (£'000s):						4,661

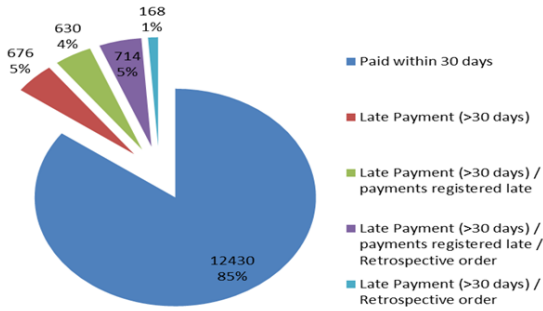|	This month			Last month		
	Total value of savings (£'000s)	Value at risk (£'000s)	Proportion at risk	Total value of savings (£'000s)	Value at risk (£'000s)	Proportion at risk
No - savings are at risk	1,516	900	59%	1,516	900	59%
Yes - savings are safe	3,102	0	0%	3,102	0	0%
SAVING CLOSED - CONFIRMED AS 'SECURED & DELIVERED'	43	0	0%	43	0	0%
NO RAG PROVIDED	0	0	n/a	0	0	n/a
Grand Total	**4,661**	**900**	**19%**	**4,661**	**900**	**19%**
n/a - represents one off savings or mitigations in previous year	-2,374	0	0%	-2,374	0	0%
Accelerated efficiencies (balancing line)	-268	0	0%	-268	0	0
WRITTEN OFF	23	0	0%	23	0	0%
Grand Total	**2,042**	**900**	**44%**	**2,042**	**900**	**44%**

Top 5 largest savings at risk in 19/20 (ordered by size of saving at risk)

ID	Name of Proposal	Value at Risk in 19/20 (£'000)
NEW1-2	*17/18 Rollover*Facilities Management Savings	£ 257
NEW3-2	17/18 Rollover - Generate additional income from our historic assets	£ 250
BE6-7	18/19 rollover - Mitigation for Workforce policy and review - Resources Directorate Savings Target	£ 223
BE7-4	18/19 rollover - CORPORATE SAVING -ONGOING MITIGATION TO BE FOUND	£ 120
IN31	Reviewing options for cash payments and/or cash related traded services	£ 50

Mitigated savings from previous years' that remain 'due' for delivery this year (£'000)	
Amount due from previous year(s):	£ 1,696
Amount reported at risk:	£ 600

Key Changes since last month:
1. No changes to report for P7 (note P6 figures have been used for any nil returns).

Key messages/Comments
1. Overall amount at risk remains steady at £0.9m, no change since P5, nor any change to the 18/19 rollover amount of £0.6m.

2. Note a change request is pending approval for:
- Merge Income from Can Do Bristol into 'More Income from Commercialisation'
- Transitioning the ownership for the 'Third Party Payments' savings shortfall from G&R to Resources (budget has already moved) - this would lead to an increase of risk by up to £0.38m however some mitigations are already in place.

3. No change to the same top 5 savings at risk - these remain a priority for Resources attention and consideration of mitigation plans. It is understood that actions are in flight for all of these exploring mitigations.

6. Revenue Risks and Opportunities

Division	Risk or Opportunity	which may impact on costs	Risk/(Opportunity) £	Likelihood (%age)	Net Risk/ (Opportunity) £
Finance	Risk	Risk & Insurance - prior year costs	114,000	100%	114,000
Finance	Opportunity	Risk & Insurance - bottom line underspends or Risk and Insurance reserve	(114,000)	100%	(114,000)
Finance	Risk	Volatility with level of overpayments Recovered against budget - to be reviewed and built in to forecast for P8	48,000	100%	48,000
Finance	Opportunity	Exploring savings options within Revenues to mitigate pressure.	(48,000)	100%	(48,000)
Finance	Risk	Annual LA errors for 18/19 going above the lower or upper threshold following external audit review. Will be known by Jan 2020	500,000	60%	300,000
Finance	Opportunity	Reduction in Subsidy income received, relating to the LA Error going above the lower or upper threshold for the previous financial year will be met from earmarked reserves.	(500,000)	60%	(300,000)
Finance	Risk	Annual LA errors going above the upper threshold	260,000	50%	130,000
Finance	Opportunity	Reduction in Subsidy income received, relating to the LA Error going above the upper threshold will be met from earmarked reserves.	(260,000)	50%	(130,000)
Commercialisation and Citizens	Risk	Facilities Management - historic savings targets in forecast to be delivered with no detailed plan at present.	850,000	80%	680,000
All	Risk	Non recovery of internal trading income - Over £1m still forecast but not recharged, action needs to be taken to bring in the income		-	-
			Total Risk/(Opportunity)		**680,000**

7. Capital

Approved Budget	Revised Budget	Expenditure to Date	Forecast Outturn	Outturn Variance
£17.7m	**£18.4m**	**£5.6m**	**£16.9m**	**£1.5m** under
		31% of budget	92% of budget	

Key Messages

The ICT capital programme has a budget of £12.5m, with a forecast of £10.9m, 87% of budget. The YTD expenditure is £2.7m, 25% of forecast spend. The forecast spend has reduced from 100% of budgeted spend to 87% at P7 and continues to be updated monthly. The main item of capital expenditure sits with ITTP and committed spend to Microsoft of £7.0m in 19/20 based on the current programme milestones. Milestones are reviewed each month and forecasts are adjusted accordingly.

a: 2019/20 Summary Headlines

Revised Budget	Forecast Outturn	Outturn Variance
P7 **£59.8m**	**£59.7m**	**£0.1m** underspend

b: Budget Monitor
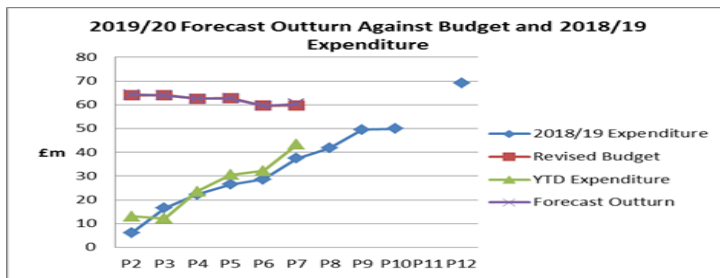
1. Overall Position and Movement

2019/20 Forecast Outturn Against Budget and 2018/19 Expenditure

- 2018/19 Expenditure
- Revised Budget
- YTD Expenditure
- Forecast Outturn

			Forecast Outturn Variance 2019/20									
			£000									
Revised budget	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	
59.8	0.0	0.0	(0.1)	(0.1)	(0.0)	(0.1)						
	▼	▼	▼	▼	▲	▼						

Key Messages:

The G&R revenue budget is currently reporting a £0.1m underspend as at Period 7. There are a number of budget pressures identified within the services (see Risks & Opps section below), these are being mitigated as much as possible, however there are a few that could have a significant impact on the outturn position if opportunities to mitigate such are not found or funds cannot be reprioritised from reserves to address them i.e. the Bearbit. The Directorate is still working to mitigate all known pressures and should have a firmer view on how well it is doing against this in the next couple of months.

Majority of the revenue budgets have now been reprofiled (Remaining Parks, Energy and Private sector Landlord). This will ensure that year to date figures and variance are a true reflection of the departments financial position at any given time.

2. Revenue Position by Division

Revenue Position by Division	2019/20 - Full Year			
	Approved Budget	Revised Budget	Forecast Outturn	Outturn Variance
	£000s			
Housing and Landlord Services	11.6	11.6	11.3	(0.3)
Development of Place	1.3	1.3	1.2	(0.1)
Economy of Place	2.7	3.4	3.7	0.3
Management of Place	45.4	43.5	43.5	(0.0)
Total	61.0	59.8	59.7	-0.1

3. Aged Debt Analysis
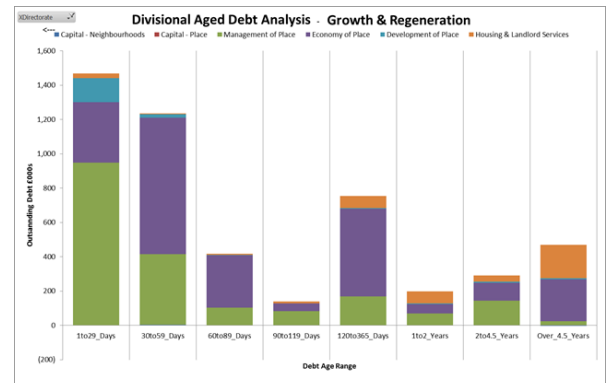
Divisional Aged Debt Analysis - Growth & Regeneration

4. Payment Statistics

Division	Amount Paid (£)	Number of invoices paid	Average days to pay	Late Payment (>30 days)		Invoices paid without order		Retrospective order	
4 - Growth & Regeneration									
37 Housing & Landlord Services	6,185,883	3,611	22	139	4%	9	0%	132	4%
3Y Capital - Neighbourhoods	2,698,717	355	33	63	18%	0	0%	45	13%
42 Development of Place	1,270,615	413	27	46	11%	1	0%	26	6%
46 Economy of Place	6,518,449	3,430	39	734	21%	45	1%	569	17%
47 Management of Place	49,882,718	5,676	32	985	17%	29	1%	883	16%
4Y Capital - Place	29,855,947	1,133	37	221	20%	1	0%	120	11%
4 - Growth & Regeneration Total	**96,412,330**	**14,618**	**31**	**2,188**	**15%**	**85**	**1%**	**1,775**	**12%**

Growth & Regeneration

- Paid within 30 days — 12430, 85%
- Late Payment (>30 days) — 676, 5%
- Late Payment (>30 days) / payments registered late — 630, 4%
- Late Payment (>30 days) / payments registered late / Retrospective order — 714, 5%
- Late Payment (>30 days) / Retrospective order — 168, 1%

5. Savings Delivery RAG Status

19/20 G&R Directorate Savings Target (£'000s): 4,414

	This month			Last month		
	Total value of savings (£'000s)	Value at risk (£'000s)	Propor tion at risk	Total value of savings (£'000s)	Value at risk (£'000s)	Proporti on at risk
No - savings are at risk	412	412	100%	1,440	662	46%
Yes - savings are safe	3,157	250	8%	2,129	0	0%
SAVING CLOSED - CONFIRMED AS 'SECURED & DELIVERED'	845	0	0%	845	0	0%
NO RAG PROVIDED	0	0	n/a	0	0	n/a
Grand Total	**4,414**	**662**	**15%**	**4,414**	**662**	**15%**
n/a - represents one off savings or mitigations in previous year	-533	0	0%	-533	0	0%
Accelerated efficiencies (balancing line)	0	0	n/a	0%	0%	n/a
WRITTEN OFF	0	0	n/a	0	0	n/a
Grand Total	**3,881**	**662**	**17%**	**3,881**	**662**	**17%**

Top 5 largest savings at risk in (ordered by size of saving at risk)

ID	Name of Proposal	Value at Risk in 19/20 (£'000)
FP01-8	Mitigations required for Third Party Payments	£ 380
FP02	New ways of delivering parks and open spaces	£ 250
IN26-2	18/19 ROLLOVER - Increase office rental capacity at Filwood Green Business Park	£ 32

Mitigated savings from previous years' that remain 'due' for delivery this year (£'000)

Amount due from previous year(s):	£ 322
Amount reported at risk:	£ 22

Key Changes since last month:

1. Key change for G&R this month is the reduction of RED RAG savings for 19/20 which relates to **FP02 New ways of delivering parks and open spaces (£1.03m)** now reporting as GREEN, **however** £0.25m of this is still reported as being at risk, which is understood to relate to waste savings.

Key messages/ Comments:

1. In 19/20 the largest savings at risk remains as the 380k shortfall to Third Party Payments. The budget (and saving) have been moved to Resources, however requires change request and DE approval to formally confirm. This is pending decision at next DE. There is also a parallel action for Directors and political colleagues to clarify whether ambitions for delivering further savings from BIF.

2. Following DE on 10/09/2019 there was an agreement that if Filwood Green Business Park couldn't deliver the 32k ongoing, then requirement for Property to mitigate and identify alternative method to cover, using change request to formalise the change. Requirement for Property to submit this for approval.

3. Parks saving (waste element) continuing to report 250k at risk - it was assumed this 250k was being addressed via the 'waste payment mechanism' however there is a lack of shared understanding over where it sits and its delivery. Requirement for Finance to investigate where savings were originally allocated and any agreed changees to those. Change request will be needed if this reflects formal change.

c: Risks and Opportunities

GROWTH & REGENERATION DIRECTORATE RISKS & OPPPORTUNITIES - PERIOD 7

Division Name	Service Name	Revenue or Capital	Description	Risk / Opportunity £'000
Economy of Place	Strategic City Transport	Revenue	River Avon Project BCC staff costs – reserves are forecast to be used up to cover increased project costs i.e. consultant work as result of senior management projects changes and alignment with BTQ and Western Harbour development aspirations and undertake associated hydraulic modelling and economic assessment	50
Economy of Place	Management – Place	Revenue	Development of buildings adjacent to the harbour. Boat acquisition / relocation required for development of O&M shed - Est G&R Revenue Budget mitigations one-off @ £680k	680
				730

d: Capital

Revised Budget	Expenditure to Date	Forecast Outturn	Outturn Variance
£68.1m	**£31.3m**	**£68.1m**	**£0.0m**
	46% of budget	100% of budget	

2018/19 Comparator

£71.8m	**£27.7m**	**£71.8m**	**£0.0m**

Key Messages

The current forecast shows (£31.3m) spend of budget (46% delivery) against the budget of £68.1m. This follows the work carried out to rephase budgets actioned last month. £5.6m was the total spend for P7 and average spend for the year to date has been £4.5m per month, however to achieve the Revised budget target for 19/20, the directorate will need to increase monthly spend to £7.3m (excluding HRA). Further due diligence is in progress to ensure a more roburst forecast is submitted for P8 in line with up to date spending plans. Work is also in progress to explore new procurement routes to improve overall delivery of the Councils capital programme.

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a: 2019/20 Summary Headlines			

	Revised Budget	**Forecast Outturn**	**Outturn Variance**
P6	£0m	(£1.4m)	(£1.4m)
P7	**£0m**	**(£1.7m)**	**(£1.7m)**

b: Budget Monitor

1. Overall Position and Movement

	Forecast Outturn Variance 2019/20 £m										
Revised	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar
Budget	(2.4)	(0.2)	0.0	0.0	(1.4)	(1.7)					
£0m	▼	▼	▼	▼	▼	▼					

2. Revenue Position – Income and Expenditure

Revenue Position by Category	2019/20 Revised Budget £m	Forecast Outturn P7 £m	Forecast Variance P7 £m	Forecast Movement P6 to P7 £m
Income	(122.7)	(121.1)	1.6	0.0
Repairs and maintenance	31.7	30.0	(1.7)	(0.2)
Supervision and Management	30.0	28.7	(1.3)	(0.1)
Special Services (Rechargeable)	9.2	8.9	(0.3)	(0.0)
Rents, Rates, Taxes and other charges	0.8	0.7	(0.1)	0.0
Depreciation, Revenue funded capital, Interest payable and bad debt provision	51.0	51.1	0.1	0.0
(Surplus)/Deficit on HRA	**0.0**	**(1.7)**	**(1.7)**	**(0.3)**

3. Debt Position

HRA Total Arrears & Provision
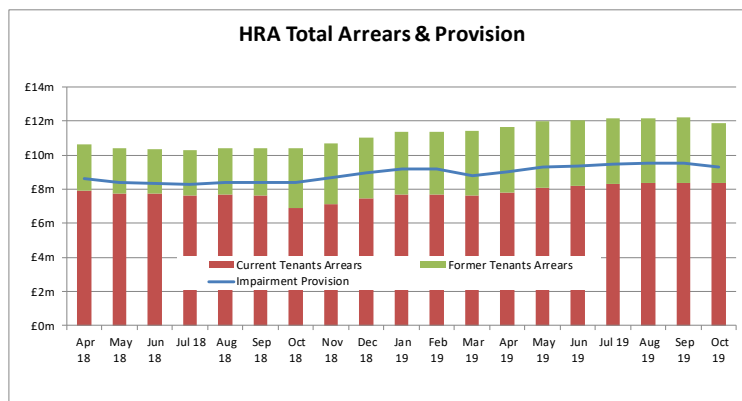
Following implementation of the Civica system, there will be a focus on reducing the level of bad debt during 2019/20, with an initial planned review of all debts over five years old.

4. Key Messages

- The forecast outturn underspend is anticipated to be transferred to the HRA ring-fenced reserve at the year-end subject to the appropriate approval.
- There are recruitment and retention issues in the Construction industry generally, and the service is seeking to fill vacancies in order to ensure maximum delivery of the planned programme. If there continues to be a significant level of vacancies this may contribute to a surplus position at the year end as there is no turnover provision within the budget. The service will look to use consultants and other frameworks to deliver if necessary to mitigate against this.
- In order to maximise delivery of the HRA Housing Investment Programme during 2019/20, the service will overprogramme, reduce contingencies and seek to avoid delays in procurement processes where possible. However, during the year the service has had to lose two major contractors due to their failure to provide which has had an impact on the delivery of relets and the movement in forecast from P6.

c: Risks and Opportunities

Risk	Key Causes	Key Consequence	Key Mitigations
Implementation of Universal Credit	Risk deferred as roll out delayed by Government.		
Impact of Grenfell enquiry outcomes	Additional works as a result of Grenfell enquiry outcomes, or the outcomes of independent fire safety checks on clad blocks; public /political pressure to install sprinklers.	This could cost up to £25m if a complete programme is required.	Need to retain flexibility in capital programme to meet outcomes of Grenfell enquiry that does not result in disruption to the rest of the programme.
Zero Carbon Target		May be required to retro fit and ensure compliance for new builds.	City Leap may enable innovative solutions and funding to be identified.
Employees	Due to current market conditions it is difficult to fill vacancies.	If vacancies are not filled then this may impact on the delivery of the programme and result in further underspend against salary budgets.	The service will use consultants and frameworks to maintain delivery of works.
Paint Programme and Electrical Works	Some tenders are greater than originally estimated and additional costs are forecast.	There is a potential overspend of £0.5m for 2019/20.	It is anticipated that this will be offset by underspends in other areas.

d: Capital

Approved Budget	Revised Budget	Expenditure to Date	Forecast Outturn	Outturn Variance
£51.8m	**£51.0m**	**£20.4m**	**£51.5m**	**£0.4m**
		40% of budget	101% of revised budget	
P6 2018/19 figures	Budget £47.1m	Expenditure £16.1m 34%	Outturn £39.2m	

		Current Year (FY2019)				Scheme Total for Current Timeframe (FY2019 : FY2023)			
Gross expenditure by Programme									
Ref	Scheme	Budget	Budget Manager Forecast	Variance based on budget manager forecast		Budget	Forecast	Variance	
		£000s	£000s	£000s	%	£000s	£000s	£000s	%
HRA1	**Planned Programme - Major Projects**	9,407	9,504	96	1%	241,660	241,757	96	0%
HRA2	**New Build and Land Enabling**	21,850	22,164	314	1%	21,850	22,164	314	1%
HRA3	**Building Maintenance and Improvements**	19,823	19,828	5	0%	19,823	20,428	605	3%
Total Housing Revenue Account		**51,080**	**51,495**	**415**	**1%**	**283,333**	**284,348**	**1,015**	**0%**

Key messages:

The HRA has a 30 year business plan and any planned capital works which are delayed, such as those due to the failure of two major contractors late in 2018/19, will still be required to be delivered in later years.

The service successfully mitigated the collapse of a kitchen contractor by arranging a contract with Mispace in order to minimise delay in the planned programme.

In October, Cabinet agreed to the ZedPods development which will provide new homes this financial year utilising the new build budget.

SUMMARY HEADLINES

1. Overall Position and Movement

Revised Budget	Forecast Outturn	Outturn Variance	Transfer from reserves
£0m	**£0m**	**£0m**	**£1.1m**

2. Revenue Position by Division

Summary DSG position 2019/20 Period 07 (all figures in £000s)

	DSG funding/budget 2019/20	Forecast outturn Period 07 2019/20	Forecast Variance	Forecast outturn Period 06 2019/20	Movement in Forecast P06 to P07
Schools Block	259,445	259,445	0	259,445	0
De-delegation	0	0	0	0	0
Schools Central Block	2,329	2,329	0	2,329	0
Early Years	36,461	35,839	(622)	35,702	137
High Needs Block	58,904	60,586	1,682	59,010	1,576
Total	**357,139**	**358,199**	**1,060**	**356,486**	**1,713**

(NB Budgeted spend includes funding for academies, Free Schools and Colleges which is recouped by the Education and Skills Funding Agency from the Dedicated Schools Grant before the Local Authority receives it).

At this stage of the year, the only variances are in Early Years (-£0.622m) and High Needs (+£1,682k).

3. Latest Financial Position

The approved budget for 2019/20 included use of funding for High Needs in advance (from 2020/21). The forecast position against the latest known DSG funding and the approved additional budget is an overall overpend of £1,060k.

The Early Years DSG income is based on 5/12ths of the January 2019 census and 7/12ths of the January 2020 census. Expenditure is based on 4 census positions through the year, the first two of these January 2019 and May 2019 are known and the forecast is based on these participation levels. Additionally a 19% reduction in participation for 2 Year Olds has been forecast, which is being pursued by Early Years team, reducing funding by £415k (as 7/12ths is derived from the January 2020 census), along with a reduction in expenditure of £719k (as this is across the whole financial year).

The High Needs budget approvals for 2019/20 included transfers of £2.566m from other areas of the DSG and £2.407m more funding drawn in advance from 2020/21. Both of these actions boosted the original HNB allocation by £4.973m. Since the last monitor increased pressures have materialised from Out of Area Placements and the cost of Alternative Provision adding £1,682k to the forecast. There are DSG reserves available to cover this forcast overspend but these have been buit up across the funding blocks so Schools Forum will need to agree movements between blocks at year end. This position is expected to continue into next financial year so we will need to explore opportunities to transfer funding from other blocks within the DSG budget to best meet our need.

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4. Risks and Opportunities

- Variations in pupil numbers in early years may confirm a projected underspend or it may reverse the position.
- Cost and demand pressures and opportunities may present themselves in the High Needs budget.
- There are 15 schools that ended the previous year with a deficit balance. These deficits have accumulated over a long period of time and for some schools represent a significant proportion of their annual school budget. Officers have been meeting with those schools to develop a plan whilst ensuring they are able to meet statutory responsibilities and, there is recognition that any repayment of deficit would be over much longer timescales than the 3 or so years that might normally be expected of schools.
- As schools become academies, some may be entitled to leave the local authority with deficits which the local authority would have no option but to write off from within the General Fund (£1.5m 2018/19).

Appendix A6
Bristol City Council – Public Health Grant
2019/20 – Budget Monitor Report

a: 2019/20 Summary Headlines

	Revised Budget	Forecast Outturn	Outturn Variance	Reserve Drawdown
P07	**£0m**	**£0m**	**£0m**	**£0.127m**

b: Budget Monitor

- Public Health (PH) spend is within the Grant of £31.628m awarded for 2019/20. This will be achieved by the planned use of a small drawdown of £0.127m from the Public Health reserve
- While the PH grant has been reduced by 2.6% in this financial year Public Health England has announced that there will be a 1% plus inflation increase next year, 2020/21.
- This reverses the policy of continued reduction in the amount of grant awarded over the last five years and will significantly contribute to easing the pressure on the service and enabling greater focus on investment in developing the service
- The service has successfully addressed the £1.8m cost pressure on the budget by a combination of releasing savings through restructure and decommissioing this has allowed the one-off reserve drawdown from the Public Health reserve to be reduced
- The Forecast for Period 7 shows a further reduction in the one-off drawdown from £0.140m to £0.127m. This is due to a break in transferring the IDVAS service from the current provider, University Hospitals Bristol to Next Link.
- The next phase of the PH Commissioing investment plan will be funded from a combination of the increase in grant for 2020/21 together with further efficiency savings identified through the review of current services.
- The investment will focus on developing Commissioing startegies and plans for the key services highlighted in the consultation review including Domestic Abuse, Sexual Health and support to vulnerable Children.

C: Payment Statistics

Division	Amount Paid (£)	Number of invoices paid	Average days to pay	Late Payment (>30 days)		Invoices paid without order		Retrospective order	
34 Public Health	12,133,253	1,637	47	453	28%	0	0%	306	19%

1. Capital Programme

1.1. The following table below (Figure 1) sets out the forecast Capital Outturn position for 2019/20 by Directorate, with further detail provided in Directorate appendices and a full programme summary at the end of this report.

Figure 1 - Capital Forecast Outturn position for 2019/20 by Directorate

Approved Budget	Previous Period Revised Budget	Directorate	Revised Budget	Actual Spend to date	Budget Spend to date %	Forecast Outturn	Variance
£m	£m		£m	£m		£m	£m
25.8	23.5	People	23.3	7.1	30%	22.0	(1.3)
17.7	18.4	Resources	18.4	5.7	31%	16.9	(1.5)
130.4	67.2	Growth and Regeneration	68.1	31.4	46%	68.1	0.0
173.9	**109.1**	**Sub-total**	**109.8**	**44.2**	**40%**	**107.0**	**(2.8)**
10.7	10.0	Corporate	10.0	2.6	26%	10.1	0.1
51.8	51.1	Housing Revenue Account	51.1	20.4	40%	51.5	0.4
236.4	**170.2**	**Total**	**170.9**	**67.2**	**39%**	**168.6**	**(2.3)**

1.2. The current forecast projects an in-year, £2m underspend (1%) on the revised capital programme budget of £171m.

1.3. The current forecast assumes that the average monthly spend for the remainder of the year will be around 1.5 times the current run-rate.

Given the low level of spend to date (£67m) as indicated in (Figure 1) and the current run rate table along with making comparisons with previous years expenditure (Figure 2) the outturn is projected to be region of £130m - £150m based on current and previous spend trends. Based on these assumptions, the current forecast of £169m appears to be optimistic.

Figure 2 – Period 7 Capital Forecast and Run-Rate Comparison

Cumulative run rates
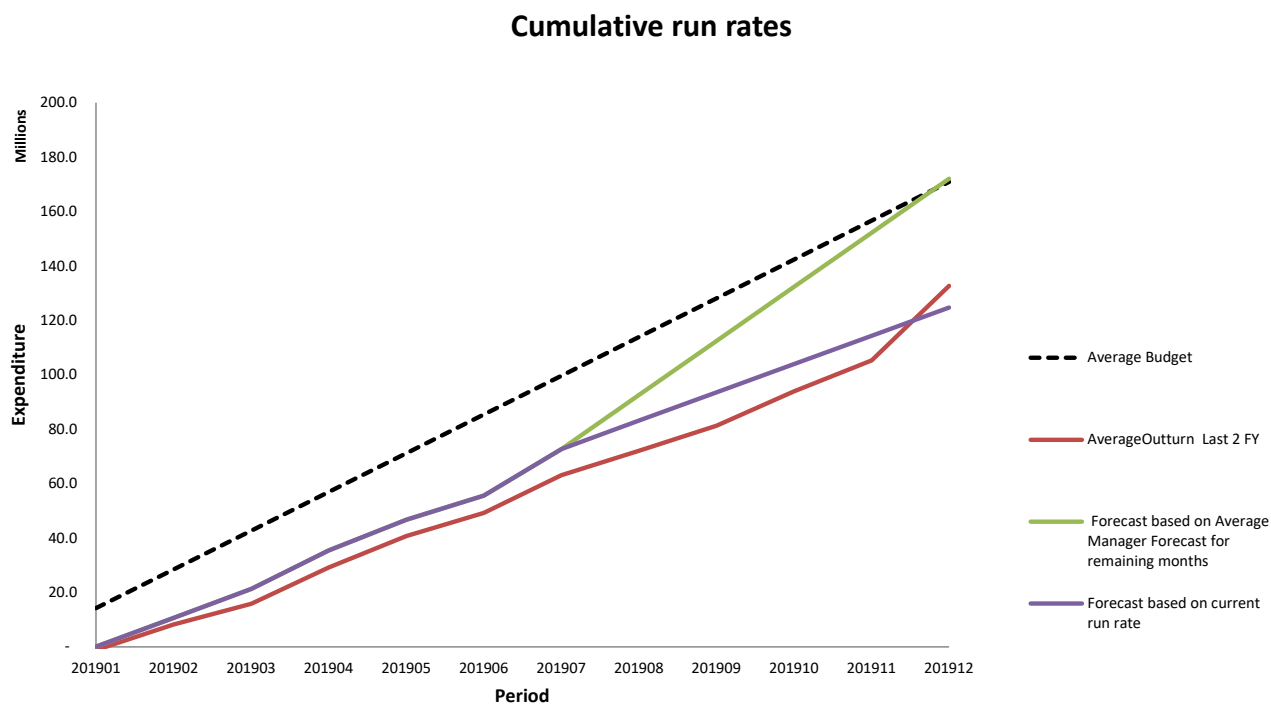
1.4. To note the 2019/20 budget has increased by £0.7m from Period 6 to the revised Period 7 budget of £170.9m. The following table at (Figure 3) below, details these budget changes.

Figure 3 – Summary of Period 7 budget change requests

Prog ref	Directorate	Service	Reported Decision	Change Requested	Change Request Description	2019/20 Impact £000's
PL18	G&R	Energy services	Executive	New Funding: HNDU Grant	Capital Allocation of HNDU grant for Old Market Heat Network Feasibility	0.1
PL04	G&R	Strategic Transport	Executive	New Funding : WECA/LGF Grant	LGF LEP A4018 Grant for Phase 2 Feasibility	0.3
PL04	G&R	Strategic Transport	Executive	New Funding: Transfer Income from Revenue	Police income added for Safety Cameras capital scheme	0.1
Nh07	G&R	Private Housing	Corporate	New Funding: External Income	Housing renewals and RSL contributions 18/19 additional income	0.1
PE01	People	Schools Programme	Area Committee's	New Funding: CIL funds	Hannah Moore Primary School	0.1
					Totals	**0.7**

Decision Pathway Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 03 December 2019

TITLE	**Council Tax Base 2020/21**
Ward(s)	City Wide

Author:	**Denise Murray**	**Job title: Director of Finance**	
Cabinet lead: Cllr Craig Cheney		**Executive Director lead: Mike Jackson**	

Proposal origin: BCC Staff
Decision maker: Cabinet Member   **Decision forum:** *Cabinet*
Purpose of Report: 1. To recommend the Council Tax Base for 2020/21 for approval at Full Council.
Evidence Base: 1. The Local Government Finance Act 1992 (as amended) requires the Council as the Billing Authority to calculate a Council Tax Collection Fund estimate by 31 January each year.   2. The number of Band D equivalent properties, net of exemptions, reductions and discounts, in the Tax Base for 20/21 is 129,229, an increase of 1.75% Band D equivalent properties since October 2018.
Cabinet Member / Officer Recommendations: That Cabinet   1. approve the report and calculated amount as set out in the report and refer to Full Council for approval.   2. delegate authority to Chief Finance Officer in consultation with Cabinet Member with responsibility for Finance, Governance and Performance to make any adjustments necessary if there are any material changes identified between Cabinet approval and submission for approval by Full Council.
Corporate Strategy alignment: N/A
City Benefits: N/A
Consultation Details: N/A
Background Documents: CTB (October 2019) attached

Revenue Cost	**£Nil**	**Source of Revenue Funding**	
Capital Cost	**£Nil**	**Source of Capital Funding**	N/A.
One off cost ☒ **Ongoing cost** ☐		**Saving Proposal** ☐ **Income generation proposal** ☐	

Required information to be completed by Financial/Legal/ICT/ HR partners:
1. Finance Advice: The MTFP assumes an annual increase in the tax base of 1.5%. Estimates for 2020/21 suggest the number of new chargeable dwellings added to the valuation list along with an on-going reduction in Council Tax Support Claimants will exceed the number of exemptions and discounts awarded resulting in growth of 1.75% in the tax base. The equivalent gain in council tax revenue is approximately £0.5m. This directly impacts on the resources available to the fund the revenue budget due to be considered by Full Council on 25 February 2020. The calculation

of the Council Tax Base is calculated based on data extracted from the CTB1 return completed in mid-October. This is then adjusted for fluctuations in both the housing market and the estimated effect of additional discounts and exemptions.
Finance Business Partner: Tony Whitlock 21/11/2019
2. Legal Advice: The tax base calculations for 2020/21 set out in this report comply with the Local Authorities (Calculation of Council tax base) Regulations 2012. The report will enable the Council to meet the requirement under the Local Government Finance Act 1992 (as amended) to determine the Council Tax base by no later than 31st January in the preceding financial year. These regulations have been made under the Local Government Finance Act 1992, as amended (LGFA 1992).
Legal Team Leader: Nancy Rollason 1/11/19
3. Implications on IT: No Impact anticipated to IT Services
IT Team Leader: Simon Oliver 25/10/19
4. HR Advice: No HR Implications
HR Partner: James Brereton 22/10/19

EDM Sign-off	Denise Murray	21 November 2019
Cabinet Member sign-off	Cllr Craig Cheney	28 October 2019
For Key Decisions - Mayor's Office sign-off	Mayor	31 October 2019

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	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. **Policy**   **APPENDIX 1**

1. Bristol City Council has the power in statute to raise a tax on households in its area to pay for the provision of local services. It is designated as the Billing Authority for the area. This means that it is responsible for levying a council tax to meet its own demands and to meet the precepts of other authorities in the area. The major precepting bodies are Avon Police and Crime Commissioner and Avon Fire Authority.

Consultation

2. **Internal**
   Resources Scrutiny
   Head of Revenues - Resources

3. **External**
   Not applicable

4. **Context**

   i.   Section 67 of the Local Government Finance Act 1992 (as amended) requires the Council to determine its tax base for council tax purposes each year. Properties are recorded in eight national bands by value (A to H) as determined the Valuation Office agency. Band H taxpayers pay twice as much as those in Band D and three times as much as those in Band A. The number of properties is expressed as a number of Band D equivalent properties.

   ii. In accordance with Regulations the Authority must set a tax base for council tax purposes and notify major precepting bodies by 31 January each year.

5. **Calculation of council tax base**

   i.   The calculation has been prepared in accordance with the Local Authorities (Calculation of Council Tax Base) Regulations 2012 which came into force on 30 November 2012. In October each year. MHCLG requires a snapshot, which is based on the number of properties, of the Tax Base at a specified date in October, net of exemptions, reductions and discounts. This is known as the CTB1 return. A copy of the return for October 2019 is attached as Appendix B to this report. This calculates the number of chargeable properties in the City. Adjustments are then made for discounts and exemptions including those for the Council Tax Support Scheme. The adjusted numbers of properties in each of the eight valuation bands A to H are expressed as numbers of band D equivalents so they may be added together to produce a single figure. The table below shows the tax base and associated year on year percentage increase for the last five years

Year	Tax Base (Budget Report)	Percentage Increase
2016/17	120,946	1.54%
2017/18	124,083	2.59%
2018/19	125,798	1.38%
2019/20	126,999	0.95%
2020/21	128,566	1.20%

   ii. The significant factors required to be taken into account in calculating the Tax Base are as

follows:

6.   Local Council Tax Reduction Scheme

i.   From 1 April 2013 local council tax support schemes replaced council tax benefit in England. Under these local schemes reductions are part of the council tax system rather than a welfare benefit. Bristol City Council introduced a localised scheme that provided a full set of discounts that replicated the previously existing national Council Tax benefit scheme. There is no intention to change these arrangements for 2020/21.

ii.   The table below shows the number of pensioner and working Band D equivalents)

	October 2015	October 2016	October 2017	October 2018	October 2019
Pensioners	11,019	10,054	9,594	9,077	8,650
Working Age	20,163	19,447	19,100	18,938	18,255
Total	**31,182**	**29,501**	**28,694**	**28,015**	**26,905**

iii.   The table above shows that the reduction in tax base due to pensioner claimants has fallen by 2,369 , or 21.5% since 2015, primarily because pensioner benefit income is rising more quickly than the cost of living ("triple lock"), while the number of working age claimants has reduced by 1,908 or 9.5% over the same period of time. This is in line with previously reported trends and therefore has been reflected in the calculation of the Tax Base.

7.   Unoccupied Properties

i.   Unoccupied Furnished Properties – the Council has discretion to set the level of discount for properties which are substantially furnished but are not anyone's sole or main residence (often referred to as "second homes") The Council has determined this level of discount will remain at 0% and this is reflected in the proposed Tax Base.

ii.   Unoccupied and substantially unfurnished properties–. From 1 April 2017 the Council determined that properties that are unoccupied and unfurnished are no longer entitled to a discount. The full council tax charge therefore applies.

iii.   Long Term Empty Properties are defined as being unoccupied and substantially unfurnished for at least 2 years. On 26 July 2012 the Council approved 'Technical Reforms of Council Tax' to levy a discretionary "relevant maximum" 50% premium if properties are empty for more than 2 years. The Local Government Finance Act 1992 was amended last year to allow councils to increase the long-term empty dwelling premium over the next three financial years as outlined below:

	Dwelling empty for less than 5 years, but at least 2 years	Dwelling empty for less than 10 years, but at least 5 years	Dwelling empty for 10 years or more
1 April 2019	100%	100%	100%
1 April 2020	100%	200%	200%
1 April 2021	100%	200%	300%

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8.   Single Person Discounts

i.   Regular reviews have significantly reduced the number of properties attracting single person discounts. Currently 29.7% of domestic properties are claiming single person discount. Regular National Fraud Initiatives identify multiple occupants in properties claiming single person discount helping to ensure that the Council Tax Base properly reflects entitlements to this discount.

9.   Student Discounts

i.   Students are entitled to an exemption from paying Council Tax if everyone in the property is a full time student. Alternatively they may be entitled to a discount if some of the people occupying a property are full time students. Bristol has a large student population, and as at the end of October the status of all students has not been evidenced to the Council. It is therefore necessary to estimate the number of additional students likely to be eligible for exemptions. Any estimate to be included in the Tax Base will also take account of any known student related property developments. The adjustment of 2,250 Band D equivalents in table 12 below comprises of an estimated increase in student exemptions of 1850 Band D equivalents due to existing student households where exemptions need to be re-instated, an additional 350 Band D equivalent student properties under construction and likely to be added to the rating list for 2020/21 and an additional 50 student Lets, changed from existing Residential dwellings.

ii.   Student accommodation can take the form of either private housing or halls of residence. The table below sets out both the actual number of properties (houses/flats and halls of residents) receiving student exemptions at the end of the financial year along with an estimate of the Band D equivalents based on these figures. The 2019/20 figures are an estimate of the position at the end of March 2020 based on current information and the 2020/21 is an estimate of anticipated numbers given as part of the Council tax base calculations   For 2019/20 the City Council's share of reduced Council Tax income as a result of student exemptions is estimated to be £13.3m.

iii.   Student Exemptions

Year	Property Numbers	
	Actual/Estimated Student Exemptions	Band D Equivalents
2017/18	8,325	7,060
2018/19	8,734	7,308
2019/20	9,200	7,733
2020/21	9,700	8,083

10.   Growth

i.   In determining the Tax Base for the forthcoming year the Council is able to take into account any increase in Tax Base that may arise from the completion of new properties. Given the amount of the on-going property development across the City and, in view of this continuing trend, it is considered reasonable to allow for an element of growth in the Tax Base due to the anticipated completion of new properties in respect of known major developments. In estimating the effect on the Tax Base of new properties it is prudent to assume the majority of new properties will be in lower valuation Bands. Allowances must also be made for discounts that will apply in respect of new properties, including Council Tax Support discounts, and for the fact that Council Tax will only be payable for new properties from the date of completion rather than for a full financial year.

ii.   The 2020/21 estimate for growth uses information provided by the Council's Valuation and Inspection team and is based on the number of new developments in the City where work has commenced. Assumptions are then made as to whether these properties will be banded by the end of the financial year, the actual date during the year they may be banded and the number of exemptions, discounts and Council Tax Support they might attract.

Since the completion of the CTB1 return the Valuation & Inspection team within Revenues has identified that an additional 123 properties have been banded. A further 108 properties have been reported to the Valuation Office but have not yet been banded. It is assumed all of these properties will have been banded by 1 April 2020. Allowing for losses and a proportion of lower banded properties this is equivalent to a total of 140 band D properties.

iii.   The team have further identified a potential 7,198 additional new builds were work has commenced. The estimate of properties likely to be banded during 2020/21 is anticipated to be around 75%, resulting in a figure of 5,398. A further reduction of 50% is made to take account of the fact that all of these properties will not have been banded on 1 April 2020. The resulting figure is 2,700 and a 25% reduction has been factored in for loss in revenue due to exemptions, discounts and Council Tax Support. The final figure of 2,025 is assumed to be lower banded properties so this figure has been converted into the Band "D" equivalent of 1,575.

iv.   The total estimated equivalent Band D growth in the tax base is therefore estimated at 1,715.

	Total Dwellings	Band D Equivalents
Identified new dwellings under construction not complete	7,198	
Reduction by 25% for sites not completed during 20/21	5,398	
Reduction by 50%, to take into account sites will be completed through-out the year so won't be eligible for Council Tax until complete.	2,700	
Reduction by 25% to take into account any discounts, exemptions and Council Tax Support Scheme on new properties	**2,025**	**1,575**
Add: 108 properties already complete and waiting to be banded	108	63
Add: 123 properties added to the rating list since completion of CTB1	123	77
Total Growth		**1,715**

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11.   Losses on Collection

i.   In estimating the provision for losses on collection the Council makes an estimate of debts which, after full recovery measures have been affected will be uncollectable and therefore recommended for write-off. Losses on collection for 2020/21, after adjusting for the continued collection of prior years' arrears, is estimated to be 1.5%

12.   Calculation of the 2020/21 Council Tax Base

	2020/21 Band D Equivalent Properties	2019/20 Band D Equivalent Properties	Difference
Tax Base as per attached CTB 1 Return	130,999	129,427	1,572
Adjustment due to anticipated growth	1,715	1,760	(45)
Reduction due to reinstatement of existing student properties not recorded on CTB1	(1,850)	(1,857)	7
Reduction due to additional student discounts	(350)	(297)	(53)
Reduction due to additional student lets formally private lettings	(50)	(100)	50
Long Term Empty Property Premium	60	0	60
Adjusted Tax Base	130,524	128,933	1,591
LESS losses on collection of 1.5%	(1,958)	(1,934)	(24)
Recommended Tax Base	**128,566**	**126,999**	**1,567**

i.   This is an increase of 1,567 (1.2%) Band D equivalent properties since the last Tax Base calculation in October 2018, however this growth is below the MTFP assumed level in the Tax Base of 1.5%. There has been an increase in the number of chargeable dwellings and a continued reduction in the number of benefit recipients receiving council tax reductions. However the primary reason for the lower than anticipated growth in the tax base is due to the increasing number of properties, both new developments and existing privately let accommodation now being, or anticipated to be, occupied by students and receiving student exemption. This results in an additional pressure of £0.6m within the budget for 2020/21.

Other Options Considered

13.   Not applicable

Risk Assessment

i.   There are a number of risks associated with estimating the amount of Council Tax collected during the year. These include;

- Difficulty in estimating Council Tax discounts and exemptions, including the take-up of the Council Tax Support Scheme.

Public Sector Equality Duties

8a)   There are no proposals in this report which require either a statement as to the relevance of public sector equality duties or an Equalities Impact Assessment

Legal and Resource Implications

Legal

The tax base calculations for 2010/21 set out in this report comply with the Local Authorities (Calculation of Council tax base) Regulations 2012. The report will enable the Council to meet the requirement under the Local Government Finance Act 1992 (as amended) to determine the Council Tax base by no later than 31st January in the preceding financial year. These regulations have been made under the Local Government Finance Act 1992, as amended (LGFA 1992).

(Legal advice provided by Nancy Rollason – Head of Legal Service)

Financial
(a) Revenue
The MTFP assumes an annual increase in the tax base of 1.5%. However estimates for 2020/21 suggest the number of new chargeable dwellings added to the valuation list will be exceeded by the number of student exemptions awarded resulting in reduced growth of 1.2% in the tax base. The equivalent loss in council tax revenue is £0.6m.   This directly impacts on the resources available to the fund the revenue budget due to be considered by Full Council on 25 February 2020. The calculation of the Council Tax Base is calculated based on data extracted from the CTB1 return completed in mid-October. This is then adjusted for fluctuations in both the housing market and the estimated effect of additional discounts and exemptions.

(b) Capital
Not applicable

(Financial advice provided by Tony Whitlock – Finance Business Partner)

Land
Not applicable

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Personnel
Not Applicable

Appendices:
Appendix 1 - Copy of the CTB report submitted to the MHCLG October 2019

LOCAL GOVERNMENT (ACCESS TO INFORMATION) ACT 1985
Background Papers: Working papers held in Corporate Finance

Decision Pathway Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 03 December 2019

TITLE	**Collection Fund Surplus/Deficit 2019/20**
Ward(s)	City Wide

Author:	**Denise Murray**	**Job title: Director of Finance**	
Cabinet lead: Cllr Craig Cheney		**Executive Director lead: Mike Jackson**	

Proposal origin: BCC Staff

Decision maker: Cabinet Member
Decision forum: *Cabinet*

Purpose of Report:
1. To recommend the estimated Collection Fund surplus / deficit as at 31st March 2020 for determination by Full Council.

Evidence Base:
1. The Local Government Finance Act 1992(as amended) requires the Council to determine the estimated surplus or deficit on the Collection Fund in respect of Council Tax by 15 January. This will enable the precepting authorities (the Police and Crime Commissioner for Avon and Somerset and Avon Fire and Rescue) to take into account their share of any surplus before finalising their precepts for 2020/21.

2. Similarly, following the introduction of the Business Rates Retention Scheme from April 2013, in accordance with the Non-Domestic Rating (Rates Retention) Regulations 2013, the Council must determine the estimated surplus or deficit on the Collection Fund in respect of Business Rates prior to 31 January 2020.

Cabinet Member / Officer Recommendations:
1. That Cabinet approve the report and calculations as set out in this report and refer to Full Council for approval.

Corporate Strategy alignment: N/A

City Benefits: N/A

Consultation Details: N/A

Background Documents: CTB (October 2019) attached

Revenue Cost	**£1.636m**	**Source of Revenue Funding**	General Fund
Capital Cost	**£ Nil**	**Source of Capital Funding**	N/A.
One off cost ☒	**Ongoing cost** ☐	**Saving Proposal** ☐	**Income generation proposal** ☐

Required information to be completed by Financial/Legal/ICT/ HR partners:
1.   Finance Advice:
The total estimated position on the Council Tax collection fund is £43k surplus, this is on a gross collection of £335 million prior to discounts and exemptions being applied.

The estimated position on the Business Rates collection fund is a £1.780m deficit. This is against a gross in year collection of approximately £275m, prior to application of discounts and reliefs. The balance on the business rates collected is impacted by various factors such as prior year appeals and adjustments to rateable value.

This gives a total deficit on the collection fund of £1.737m. The Council's share of the estimated deficit on the Collection Fund for 2019/20 is £1.636m. This impacts on the resources available to the fund the revenue budget in 2020/21 due to be considered by Full Council on 25 February 2020.

Finance Business Partner: Tony Whitlock 17/10/19

2. Legal Advice This report enables the Council to comply with the requirements of the Local Government Finance Act 1992(as amended), to determine the estimated surplus or deficit on the Collection Fund in respect of Council Tax prior to 15 January. This is so that the precepting authorities (the Police and Crime Commissioner for Avon and Somerset and Avon Fire and Rescue) can take into account their share of any surplus before finalising their precepts for 2020/21.

The report also enables the Council to comply with the requirements of the Non-Domestic Rating (Rates Retention) Regulations 2013, to determine the estimated surplus or deficit on the Collection Fund in respect of Business Rates prior to 31 January.

Legal Team Leader: Nancy Rollason 1/11/19

3. Implications on IT: No Impact anticipated to IT Services

IT Team Leader: Simon Oliver 25/10/19

4. HR Advice: No HR Implications

HR Partner: James Brereton 22/10/19

EDM Sign-off	Denise Murray	
Cabinet Member sign-off	Cllr Craig Cheney	28 October 2019
For Key Decisions - Mayor's Office sign-off	Mayor	31 October 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	NO
Appendix E – Equalities screening / impact assessment of proposal	NO
Appendix F – Eco-impact screening/ impact assessment of	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

Policy

1. The Local Government Finance Act 1992 (as amended) requires the Council to determine the estimated surplus or deficit on the Collection Fund in respect of Council Tax by 15 January. This will enable the precepting authorities (the Police and Crime Commissioner for Avon and Somerset and Avon Fire and Rescue) to take into account their share of any surplus or deficit before finalising their precepts for 2020/21.

   Similarly, following the introduction of the Business Rates Retention Scheme from April 2013, in accordance with the Non-Domestic Rating (Rates Retention) Regulations 2013, the Council must determine the estimated surplus or deficit on the Collection Fund in respect of Business Rates prior to 31 January.

Consultation

2. **Internal**
   Resources Scrutiny
   Head of Revenues - Resources

3. **External**
   Not applicable

Context

4. Income from Council Tax and Business Rates are fixed at the start of each financial year. Any variations from this are realised through the Collection Fund and are distributed in the following two financial years (based on estimated in the following year and actuals in the subsequent year.) The Council is required by statute to maintain a Collection Fund separate from the General Fund. The Collection Fund accounts independently for:

   ▪ Income into the Fund: the Fund is credited with the amount of receipts of Council Tax and (Non Domestic Rates) NDR it collects.

   ▪ Payments out of the Fund: in relation to Council Tax payments that are made to the Council and the two major precepting authorities (Avon and Somerset Police and Crime Commissioner and Avon Fire and Rescue). In relation to NDR payments that are made to the Council, the Secretary of State, Avon Fire and Rescue Service and WECA.

   2019/20 Estimated Surplus for Council Tax

5. For the year ending 31 March 2020 we are forecasting a breakeven position for the council tax element of the Collection Fund. After taking account of balances brought forward in the collection fund this is increased to a surplus of £43k which will be distributed in 2020/21

6. Significant progress has been made in recent years with regards improving the estimate of new dwellings banded and added to the rating list during the financial year. The Council Tax Base report for 2019/20 estimated a further 1,760 band D equivalent dwellings added to the rating list and chargeable for council tax during 2019/20. Current projections would indicate this target will be achieved by year-end.

7. Underlying the estimated breakeven position for 2019/20 are two significant variations. Single person and student discounts and exemptions have increased by £1.9m over and above those originally estimated. Conversely, in line with previous trends there was a reduction in benefits awarded through the Council Tax Reduction Scheme of £2.0m. A number of other small adjustments make up the balance.

8. The value of benefits awarded through the Council Tax Support Scheme has continued to fall from an estimate of £41.2m at the beginning of the year to an anticipated outturn position of £39.2m. This is following a trend identified over the last few years. The table shows the split between the budgeted and likely actual cost of the scheme split between working age and pensioner claimants. This results in a reduction of £2.0m.

	Value of benefits claimed		
	Working Age	Pensioner	Total
	£m	£m	£m
Council Tax Base Estimate for 2019/20	27,832	13,342	41,174
Estimated Ouuturn 2019/20	26,164	12,995	39,159
Difference	1,668	347	2,015
Percentage Reduction	5.99%	2.60%	

9. The table below shows the number of pensioner and working age claimants recorded each year on the CTB return since October 2014.

	October 2015	October 2016	October 2017	October 2018	October 2019
Pensioners	11,019	10,054	9,594	9,077	8,650
Working Age	20,163	19,447	19,100	18,938	18,254
Total	31,182	29,501	28,694	28,015	26,904

10. The table above shows that the reduction in tax base due to pensioner claimants has fallen by 2,459 , or 22.1% since 2015, primarily because pensioner benefit income is rising more quickly than the cost of living ("triple lock"), while the number of working age claimants has reduced by 1,909 or 9.5% over the same period of time. This is in line with previously reported trends and therefore has been reflected both in the calculation of the Tax Base and estimated position at 31 March 2020.

11.   The estimated surplus is distributed to the major precepting authorities in proportion to the current year's demands and precepts on the Collection Fund. A detailed determination of the estimated Council Tax Collection Fund surplus for 2019/20 is shown in Appendix A and the allocation of the estimated deficit to each of the major precepting authorities is summarised below:

	£'000
Bristol City Council	(37)
Avon and Somerset Police and Crime Commissioner	(4)
Avon Fire and Rescue	(2)
	(43)

2019/20 Estimated Deficit for Non-Domestic Rates (NDR)

12.   The Government introduced the first 100% pilot schemes in 2017/18. Only authorities with signed devolution deals were eligible to participate in a pilot: the pilot for the West of England (WoE) therefore includes Bath & North East Somerset Council (B&NES), Bristol City Council (BCC), South Gloucestershire Council (SGC) and the West of England Combined Authority (WECA). The 100% pilot gives the WoE the opportunity to retain 100% of any business rates growth. This arrangement will continue during 2020/21 until the proposed full reset of business rates baselines in 2021/22.

13.   In line with the Government's stated intention for the reforms to the Business Rate Retention system, authorities participating in a pilot will not have to pay a Levy on growth above their Retained Income target and will retain an increased Local Share of Non-Domestic Rating Income. Various grants, including Revenue Support Grant are 'rolled in' to the pilot, with the funding source being switched from grant to the Business Rates retained under the pilot. Through a system of tariffs and top-ups the creation of the pilot is fiscally neutral at baseline but authorities gain from retaining 100% of any above baseline growth.

14.   Any estimated surplus/deficit is distributed in accordance with the 100% Business Rates Retention Pilot Agreement between the West of England authorities, so 94% Bristol City Council, 4% WECA and 1% Avon Fire and Rescue. The forecast of the Non-Domestic Rates Collection Fund Balance for the year ending 31 March 2020 is an estimated deficit of £1.780m.

15.   The detailed determination of the estimated NDR Collection Fund deficit for 2019/20 is shown in Appendix B and the allocation of the estimated deficit to the relevant precepting authorities is summarised in the table below.

	£'000
Bristol City Council	1,673
Avon Fire and Rescue	18
West of England Combined Authority	89
	1,780

This is split between current and prior years in the table below

	£'000
Accumulated (surplus)/deficit brought forward	1,288
Distribution of prior years estmated surplus	62
Estimated in-year (surplus)/deficit	430
	1,780

16. The majority of the deficit is brought forward from previous financial years. In 2018/19 there was a net reduction in rateable values of £2.5m due mainly to the on-going effect of successful appeals or reductions due to significant refurbishment works. Examples of the later include various office blocks such as Marlborough House, The Core and Temple Point.

17. There are a number of factors making up the in-year deficit. There have been a number of rateable value (RV) reductions, primarily around empty office accommodation, not covered by the provision for appeals. There has been more small business rates relief claimed than originally estimated. This will be reimbursed to the Council through S31 Grant. More positively there is increased growth of £1.3m forecast in the Enterprise Area's and Enterprise Zones. Reflecting better collection rates there is an anticipated reduction in write-offs and bad debts. As appeals against the 2010 list continue to dwindle there is a slightly reduced contribution than estimated required to the appeals provision.

18. The business rates income which each billing authority collects is determined by reference to local rating lists maintained by the Valuation Office Agency. These lists are subject to variation between revaluations as a result of physical changes (either to the property or the locality) and appeals. The amount of business rates income collected by billing authorities therefore varies year on year. The major factors giving rise to changes include:

- Reductions to the rateable value of business properties arising from appeals. Once settled the appeal may be backdated resulting in the Council having to refund several years rates from a single year's income. Under the business rates Pilot the risk to the Council of these large appeals is 94% of the loss.

- Changes in the rateable values of very large business properties such as power stations or hospitals can have a material effect.

- Business properties switching between rating lists. Large business properties which cross boundaries, such as ports, appear in the list which contains the largest area. Changes in these properties could lead to large amounts of rateable value switching from one list to another. Similarly locally rated business with infrastructure covering large areas of the Country, for example telecommunication companies, may apply to switch to the national list.

19. Properties facing large rating increases are entitled to transitional relief to phase in these increases over a number of years. This relief is fully funded by the

Government. In the event of a successful appeal resulting in a significant RV reduction, the transitional relief awarded is clawed back by netting off the refund. The relief is then paid back to the Government at the end of the financial year via the NNDR3 return.

20. The Council is required to provide for potential appeals from its business rates income. Calculations for the provision are based upon the Valuation Office Agency 'Settled and Outstanding" proposals at end March reports. These reports show all appeals that have been lodged for each authority against the 2017 valuation listing along with remaining appeals outstanding on the 2010 list, including those which were agreed, dismissed, withdrawn or are still outstanding. This list is analysed into "types" of appeal. The average success rate and the percentage reduction in rateable value for those appeals which were successful is considered along with the potential for the backdating of any appeals decisions and the estimated annual cost was then adjusted by the ratings multiplier for the relevant year. Local intelligence is used alongside statistical modelling to inform decision making.

21. As at the end of 2018/19 the appeals provision stood at £26.9m. As this is a significant amount this provision is regularly reviewed and monitored. Officers have determined that an estimated additional contribution to the provision of £9.7m will be required at the end of 2019/20. The Government recommends that 4.7% of net rates should be set aside in the provision to cover potential, and yet unknown, appeals relating to the 2017 list.   Consequently £11m was built into the original estimate for 2019/20. However the number of appeals against the 2010 list, has as expected, seen a significant decline, reducing the year on year increase into the provision. The provision is reviewed against valuation lists on a quarterly basis and is compared to that of both our nearest neighbours and similar sized authorities nationally which has enabled us to reduce the additional contribution to the provision by £1.3m.

22. It should be noted that volatility in Appeals outcomes is an on-going risk of the business rates retention system which does introduce uncertainty in forecasting Collection Fund performance. However, the most significant risk that remains to the generation of gains under the pilot is the NHS/Foundation Trust applications for Charitable Relief. A claim has been made by 20 Foundation Trusts against 48 billing authorities. Bristol City Council is not one of these however, depending on how the result of the case, the outcome may very well affect the Council. The estimated cost to BCC if successful, including backdated awards, is of the order of £48m. The case is due to be heard in November 2019.

23.   Summary of Council Share of Collection Fund Deficit

The total share of the collection fund deficit falling due to the Council in 2019/20 is as follows.

	£'000
Council Tax	(37)
NNDR	1,673
BCC Share	**1,636**

Other Options Considered

24.   Not applicable

Risk Assessment

There are a number of risks associated with estimating the amount of Council Tax and Business Rates collected during the year. These include;

- Reductions to the rateable value of business properties arising from appeals. Once settled the Council may have to settle several years business rates from a single year's income. This is a significant financial risk as the Council is now required to fund 94% of any award. Furthermore the Government have yet to set out clear proposals as to how the appeals process will be dealt with going forward.

- Changes to the rateable values of very large business properties such as power stations or hospitals can have a material effect on business rate collection.

- Business Properties switching between rating lists. This can include large cross boundary properties switching from one list to another or joining the central list.

- Difficulty in estimating Council Tax discounts and exemptions, including the take-up of the Council Tax Support Scheme.

- Effect of Brexit property market in Bristol

Public Sector Equality Duties

There are no proposals in this report which require either a statement as to the relevance of public sector equality duties or an Equalities Impact Assessment

Legal and Resource Implications

Legal

This report enables the Council to comply with the requirements of the Local Government Finance Act 1992(as amended), to determine the estimated surplus or deficit on the Collection Fund in respect of Council Tax prior to 15 January. This is so that the precepting authorities

(the Police and Crime Commissioner for Avon and Somerset and Avon Fire and Rescue) can take into account their share of any surplus before finalising their precepts for 2020/21.

The report also enables the Council to comply with the requirements of the Non-Domestic Rating (Rates Retention) Regulations 2013, to determine the estimated surplus or deficit on the Collection Fund in respect of Business Rates prior to 31 January.

Legal advice provided by Nancy Rollason – Head of Legal Services

Financial
(a) Revenue
The Bristol share of the estimated deficit on the Collection Fund for 2019/20 is £1.636m. This contributes to the resources available to the fund the revenue budget in 2020/21 due to be considered by Full Council on 25 February 2020

(b) Capital
None

(Financial advice provided by Tony Whitlock – Finance Business Partner)

Land
Not applicable

Personnel
Not applicable

Appendices:
Appendix I – Estimated Council Tax Collection Fund Account 2019/20
Appendix II – Estimated Non-Domestic Rates Collection Fund Account 2019/20

LOCAL GOVERNMENT (ACCESS TO INFORMATION) ACT 1985
Background Papers: Working papers held in Corporate Finance

Council Tax Collection Fund Adjustment Account   **APPENDIX I**

2017/18 Actual		2018/19 Estimate as per Dec 18 Surplus/Deficit Report	2018/19 Actual	2019/20 Estimated Outturn
£'000		£'000	£'000	£'000
	Income			
(227,200)	Council Tax Income	(240,869)	(240,849)	(255,663)
	Expenditure			
	Precepts			
192,162	Bristol City Council	204,540	204,539	214,730
22,559	Police	24,381	24,380	27,662
8,596	Fire	8,976	8,974	9,510
	Bad and Doubtful Debts			
2,268	Write Offs	2,632	2,573	3,761
225,585	**Total Expenditure**	**240,529**	**240,466**	**255,663**
(1,615)	**(Surplus)/Deficit for the year**	**(340)**	**(383)**	**0**
(4,761)	Accumulated (surplus)/deficit Bfwd	(1,772)	(1,772)	(2,192)
4,604	Distribution of prior years estimated surplus	(37)	(37)	2,149
(1,615)	(Surplus)/Deficit for the year	(340)	(383)	0
(1,772)		**(2,149)**	**(2,192)**	**(43)**
	Distribution of estumated Collection Fund deficit:			
(1,525)	Bristol City Council	(1,849)	(1,886)	(37)
(179)	Police	(217)	(221)	(4)
(68)	Fire	(83)	(84)	(2)
(1,772)		**(2,149)**	**(2,192)**	**(43)**

Business Rates Collection Fund Adjustment Account   APPENDIX II

	2018/19	2018/19	2019/20
	Estimate as per surplus/deficit report Dec 18	Actual	Estimated Outturn
	£'000	£'000	£'000
Income			
Business rates income	(223,749)	(219,626)	(231,528)
Transitional Surcharge	3,533	2,355	2,228
Expenditure			
Payments to Preceptors			
Bristol City Council	197,400	197,400	197,330
Avon Fire	2,100	2,100	2,099
WECA	10,500	10,500	10,496
Disregarded amounts	4,417	4,572	6,964
Cost of collection allowance	716	714	714
Bad and Doubbtful debts			
Write offs	1,810	123	2,413
Appeals losses and provision			
Increase/(decrease) in appeals provision	4,020	3,401	9,714
Total Expenditure	220,963	218,810	229,730
(Surplus)/Deficit for the year	747	1,539	430
Accumulated (surplus)/deficit			
Accumulated (surplus)/deficit BFwd	13,725	13,725	1,288
Distribution of prior year estimated (surplus)/deficit	(13,976)	(13,976)	62
Prior Year Adjustments	(558)		
(Surplus)/deficit for the year	747	1,539	430
	(62)	1,288	1,780
Distribution of estimated collection fund deficit			
Bristol City Council	(58)	1,211	1,673
WECA	(3)	64	89
Avon Fire and Rescue	(1)	13	18
	(62)	1,288	1,780

Decision Pathway Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 03 December 2019

TITLE	South Bristol Enterprise Support Project
Ward(s)	Filwood, Hengrove and Whitchurch Park, Knowle, Hartcliffe and Withywood, Bishopsworth, Bedminster, Windmill Hill, Stockwood.
Author: Robin McDowell	**Job title:** Area Regeneration Co-ordinator
Cabinet lead: Cllr Craig Cheney	**Executive Director lead:** Stephen Peacock
Proposal origin: *Other*	
Decision maker: Mayor **Decision forum:** *Cabinet*	

Purpose of Report:

1. The report seeks the approval of Cabinet for the Council to act as the lead and accountable body for the South Bristol Enterprise Support Project, which is seeking external funding from the European Regional Development Fund (ERDF) and West of England Combined Authority (WECA), and is due to commence in January 2020 and complete in December 2022.

Evidence Base:

1. The South Bristol Enterprise Support project has been designed in response to the opportunity to draw down up to £2.059 m remaining European Regional Development Funding (ERDF) ring-fenced by the EU and MHCLG to South Bristol under the South Bristol Sustainable Urban Development (SUD) Strategy. This was prepared by the Council over 2016-18 with the objective, amongst others, to make a step change in the enterprise infrastructure in and around the core South Bristol Regeneration Area of Filwood, Hartcliffe and Withywood, Hengrove and Whitchurch Park, and including parts of Bedminster, Windmill Hill, Bishopsworth, Knowle and Stockwood, which have amongst the highest level of socio-economic disadvantage in the region, according to the Index of Multiple Deprivation 2019.

2. The project will provide entrepreneurship coaching, advice and support services including grant schemes, aimed at residents and small businesses (at start up, early stage and 'growth-ready' stages) initially over a 3 year period, co-financed by ERDF and WECA, but, subject to future WECA funding approval, over a longer 6 year period. It has potential to support around 300 prospective entrepreneurs and trading businesses across the range of traditional and new industrial sectors in South Bristol, creating 97 new full-time equivalent jobs and significant additional economic value for the area, where enterprise formation and growth rates have tended to lag behind the Bristol and West of England average for several decades.

3. The Project will be led by the Council and delivered by a consortium of four local enterprise agency partners identified for the project - YTKO Ltd, The Prince's Trust, Dartington Hall Trust (the School for Social Entrepreneurs), and Knowle West Media Centre. It has been designed after consultation with local business and third sector stakeholders on the South Bristol SUD Advisory Committee, and with a view to sustaining the impacts and learning of three key ERDF projects under delivery city-wide and regionally since 2017 – Enterprising West of England, Social Enterprise & Innovation Programme and Network for Creative Enterprises. The project consortium brings together the Council and four local and national agencies with a long track record of start up, early stage and growth support in Bristol with complementary expertise to tackle the various challenges to improve accessibility and co-ordination of advice, support and small grant schemes across South Bristol.

4. The match funding required for the Project is under application from WECA Investment Fund (£482,530 revenue from the Business & Skills pot). Additionally the four partners have committed match funding contributions (from various sources, private / third sector) of £375,000. This will lever approx. £857,530 ERDF grant assuming a 50% intervention rate.

5. Background documents for this project are listed below. The full applications for ERDF and WECA Investment Fund for the South Bristol Enterprise Support are included with this report.

6. In addition to its governance role as lead and accountable body for the Project, the Council will also procure and manage three core contracts which fall outside the remit or specialisms of the other consortium partners – i) an enterprise development consultant to provide investment readiness and 'pre scale up' leadership coaching and a grant scheme for more established businesses with growth potential, ii) a marketing partner to publicise and promote the whole project offer across the area and iii) an evaluation partner. The total procurement budget for these contracts will be £202,000.

Cabinet Member / Officer Recommendations:

It is recommended that Cabinet:

1. Approve the role of the Council as the lead and accountable body for the delivery of the South Bristol Enterprise Support project, at a total value of £1.715 m over a 3 years delivery timescale, subject to the confirmation of ERDF grant funding from Ministry of Housing, Communities and Local Government (£857,530) and WECA funding (£482,530) being approved later in December or January.

2. Authorise the Executive Director for Growth and Regeneration (in consultation with the Director for Finance, the Director for Economy of Place, and the Cabinet Member for Finance, Governance, Performance and Property) to conclude (i) grant funding agreements with both external funders (MHCLG and WECA), and the four consortium partners (YTKO Ltd, Dartington Hall Trust, The Prince's Trust and Knowle West Media Centre), and (ii) such other contracts (for consultancy and marketing) up to a total value of £202,000 to be procured by the Council.

Corporate Strategy alignment:
1. The primary objectives of the Project are to promote the formation and growth of enterprises in a disadvantaged area of the city and targeting social and demographic groups under-represented in enterprise, including young people, Black and Minority Ethnic Groups, women, and people with disabilities, thus contributing to economic and social well-being, which underpins key themes of the Corporate Strategy, particularly 'Fair and Inclusive' and 'Well Connected'.
2. The Project will also demonstrate how the Council will deliver some of the core principles of the Corporate Strategy, such as inclusive growth and improved city resilience, as well as our values and behaviours e.g. collaborative working and taking ownership of local economic and social challenges.

City Benefits:
1. Improved access to, and take up by residents of free advice and support services and small grant finance to start up and grow both private and social enterprises in some of the most disadvantaged wards of the city.
2. Increased start up, survival and growth rates of small businesses across the range of industrial sectors in the wider South Bristol area, generating new employment, increased output and, by stimulating local inter-trading and procurement, a greater proportion of economic value retained locally.
3. Due to the scale and targeting of the project, and potential for its extension beyond 2023 and connection to upskilling programmes using WECA funding, the Project should improve the economic opportunities for residents starting businesses, alongside existing small businesses across South Bristol in the longer term.

Consultation Details:
1. Consultation meetings have been held since mid 2018 to shape the Project with SME business and community stakeholders in South Bristol and via members of the South Bristol SUD Advisory Committee about the needs of prospective entrepreneurs and businesses, learning from previous programmes, and how to improve the outreach and quality of services, and make use of local centres and networks.

2.	Discussions have also been held with the main enterprise support agencies in Bristol and the West of England including Business West and other organisations delivering the current suite of 2017-19 ERDF programmes.		
3.	The consultations for the South Bristol SUD (Sustainable Urban Development) Strategy for ERDF funding were originally undertaken in 2016-17 involving local stakeholders including the community partnerships in Knowle West and Hartcliffe and Withywood, and the relevant services of the Council.		

Background Documents:
- South Bristol Enterprise Support ERDF Full Application – submitted 30th August 2019
- South Bristol Enterprise Support WECA Full Business Case – draft for submission mid Oct 2019

Revenue Cost	**£ 1.715 m**	**Source of Revenue Funding**	SUD ERDF, WECA Investment Fund, Partner contributions
Capital Cost	n/a	**Source of Capital Funding**	n/a
One off cost ☒	**Ongoing cost** ☐	**Saving Proposal** ☐	**Income generation proposal** ☐

Required information to be completed by Financial/Legal/ICT/ HR partners:
1. Finance Advice: The report asks Cabinet to note that 2 bids have been submitted to SUD, ERDF and WECA with Match funding from various partners (including BCC) in support of the South Bristol Enterprise project (£1.7m in total). If successful, the funding will enable the project to support residents and small businesses with coaching, advice and support services including grants, over a 3 year period. It is anticipated that this support could benefit around 300 recipients and create 97 new full-time equivalent jobs and significant additional economic value. The report seeks approval from Cabinet for BCC to act as the accounting body. It also seeks delegated authority to be granted to senior officers (as stated above) agree the terms of the terms of the funding agreement with SUD ERDF & WECA as well as the arrangements with the Delivery partners. There are no new costs implications for BCC as a result of this decision.
Finance Business Partner: Kayode Olagundoye 20.11.2019
Legal Advice: The Council has summited an application as lead applicant for EDRF revenue funding for enterprise support. The Council will be accountable to the Secretary of State for the Project. Four delivery Partners have been selected and will deliver different aspects of the Programme. Match funding is a requirement. An application has been submitted to WECA and it is also expected that the delivery partners will provide match funding as described in the application. If funding is approved BCC will be required to enter into a Funding Agreement with MHCLG will be reviewed by legal services before signing. Claims made by delivery partners for defrayed funds will go through BCC and adequate system must be set up to allow BCC (and MHCLG) to verify claims.   A MOU between the Council and the delivery partners was concluded prior to the full application being submitted, setting out the obligations and commitments in the event that the full application is approved. If MHCLG approve the full application a legally binding funding agreement between BCC and the delivery partners will be entered into. A draft has been prepared on which legal advice will be provided. Delivery partners have committed to ensuring that the funds are defrayed in accordance with state aid, procurement and EDFR funding rules and this will be captured in the funding agreement.   The Councils own commissioning activities will need to comply with the Procurement Regulations and the Councils own procurement rules. Legal services will advise and assist officers with regard to the conduct of the procurement process and the resulting contractual arrangements.   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: Eric Andrews, Team Leader, Legal Services 21 November 2019
3. Implications on IT: Consideration for the management of appropriate segmentation of the BiO network for the volume of digital R&D projects utilising the KWMC fibre will need to be considered and anticipated. Timescales for the design and delivery of MS Dynamics for a potential solution for document/claim management will need to be verified alongside the IT Transformation Programme delivery schedule.
IT Team Leader: Simon Oliver
4. HR Advice: Celia Williams, HR Business Partner. 24 October 2019
HR Partner: The council anticipates additional resource will be required to deliver its role as the lead accountable body, managing the ERDF and WECA funding streams for the project and a consortium of four delivery partners; 1 BG 12 Project Manager (full time post) and a BG 10 Project Support Officer (0.6 FTE) on 3 year fixed term contracts. Preparatory work is underway to design and evaluate job roles. The roles will be based in the Economic Regeneration function.

EDM Sign-off	Colin Molton	9/10/2019
Cabinet Member sign-off	Cllr Craig Cheney	14/10/2019
For Key Decisions - Mayor's Office sign-off	Mayors Office	04/11/2019

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	**NO**
Appendix J – HR advice	**NO**
Appendix K – ICT	**NO**

West of England

Full Business Case

Scheme: South Bristol Enterprise Support

		Originated	Reviewed	Authorised	Date
1	Version 1.0	Robin McDowell, Area Regen Co-ordinator, Economic Regeneration, BCC	Kayode Olagundoye, Finance Business Partner, Growth & Regeneration Directorate, BCC		16/10/2019
2	Version 2.0	Robin McDowell, Area Regen Co-ordinator, Economic Regeneration, BCC	Kayode Olagundoye, Finance Business Partner, Growth & Regeneration Directorate, BCC		29/10/2019
3					
4					
5					

Executive Summary

The South Bristol Enterprise Support project is a £1.715 m (total cost) enterprise start up and growth advice and support service, including grant schemes, for both new entrepreneurs and early to later development stage SMEs located across the wider South Bristol area, but targeting in particular residents and businesses within the South Bristol Regeneration Area (Knowle West, Hartcliffe and Withywood, Hengrove and Whitchurch Park, and parts of Knowle, Bedminster, Windmill Hill, Bishopsworth and Stockwood wards), over a 3 year period from Jan 2020 to Dec 2022. Encompassing the full business formation and growth lifecycle, the Project will offer support for new and existing social enterprises as well as conventional private enterprises in a range of established and emerging sectors in South Bristol, including construction and engineering, creative and digital media, food and green tech and services. It will also target entrepreneurship and start up coaching on social groups under-represented in enterprise, especially young people, women, BAME and people with disabilities.

The Project will be led by Bristol City Council in its role as the lead and accountable body for external funding and delivered by a consortium of four core delivery partners - YTKO ltd, School for Social Entrepreneurs, The Prince's Trust and Knowle West Media Centre. In addition a Pre Scale Up support contractor will be procured by BCC. Each Partner will focus on particular key sectors or beneficiary groups applying their specialist expertise and local networks, and working collaboratively to inter-refer clients, as follows:

Construction, Engineering and Food Services - YTKO Ltd;
Creative and Digital Manufacturing - Knowle West Media Centre;
Youth - from disadvantaged areas and under-represented groups in enterprise – The Prince's Trust;
Social – across a mix of sectors - School for Social Entrepreneurs.

The wider delivery context is the regeneration of Hengrove Park, and other sites in Filwood, Hartcliffe and Bedminster for over 2,000 new housing units and mixed uses, including new employment space, and provision of new transport, fibre broadband and low carbon infrastructure in South Bristol, as set out in the South Bristol Sustainable Urban Development Strategy (2017) . The Project will extend and improve on support provided by soon-to-complete ERDF schemes aimed at start up and early stage in the area, such as Enterprising West of England, Social Enterprise & Innovation Programme, and Network 4 Creative Enterprise, as well as collaborating and referring clients, as appropriate, to on-going SME growth support schemes such as Scale Up Coaching Grants (Business West) and Innovation 4 Growth (UWE), Creative Scale Up (WECA) and Green Business Grants (WECA).

The Exit Strategy for the project will be to seek funding for a further 3 year project (2023-25) after the end of the South Bristol SUD ERDF programme from the WECA Investment Fund Business and Skills pot by integrating South Bristol with the wider City of Bristol delivery under Phase 2 of the proposed West of England Universal Business Support programme. It will also explore potential to include a greater proportion of funding contributions from growing SMEs to co-finance the Phase 2.

1   Strategic Case

1.1   State Aid Considerations

[Indicative 250 words]

1. Is the assistance granted by the state or through state resources?	Yes
2. Does the assistance give an advantage to one or more undertakings over others?	Yes – but see 'de minimis' exemption below
3. Does the assistance distort or have the potential to distort competition?	Yes - but see 'de minimis' exemption below
4. Does the assistance affect trade between Member States	Yes – but see 'de minimis' exemption below.

The beneficiaries will be individuals (potential entrepreneurs) and SME businesses eligible and qualifying for the programme. Individuals will not be liable for State Aid but any undertakings will be subject to the De Minimis approach to determine if they are in breach of State Aid legislation. These individuals and business beneficiaries are unknown at present, but will likely be sole traders, social enterprises and private limited companies (of micro, small and medium size).

Bristol City Council (BCC) and the Delivery Partners have considered Article 107(1) of the Treaty on the Functioning of the European Union , EDRF guidance and state aid implications for each group of potential recipients of EDRF funds for this project, and have concluded, as follows:

1. Lead Authority (BCC) and Delivery Partners beneficiaries:

Aid is being granted to BCC and the Delivery Partners through State resources and favours certain undertakings (i.e. BCC and the Delivery Partners). This is because Bristol City Council and the Delivery Partners are acting jointly as an economic entity in the delivery of support for South Bristol enterprises.

However the aid received by BCC and the Delivery Partners does not distort or have potential to distort competition nor does it affect trade between member states. BCC and the Delivery Partners will be acting as intermediaries and will not receive a benefit relative to any competitors. They will only receive payment for eligible costs defrayed. Payment for indirect costs will be limited to 15% of eligible direct salary costs, and therefore they will receive no benefit. The aid they receive is therefore compatible with the common market.

BCC and the Delivery Partners will procure all goods, works and services in accordance with the EU Treaty, BCCs Corporate Procurement Policy which is in line with the national Public Contract Regulations 2015 and ensure that any eligible costs defrayed are done so in accordance with the EDRF procurement rules. Any aid flowing through to third parties will be compatible with the common market.

2 Individuals beneficiaries in receipt of Pre-start up support

BCC together with its Delivery Partners (under the ERDF programme) will provide Pre-start up support. Pre-start up support will be provided to individuals and not to any undertaking carrying out economic activity. Because the support will be provided to individuals and not to an undertaking the support will not amount to state aid. In addition any funding provided to an individual will be on a small scale and will not exceed €200,000 over a three-year fiscal period.

3 SME beneficiaries – Post-start up support

BCC together with its Delivery Partners will provide post-start support to SMEs under the ERDF programme. The support will favour certain undertakings (i.e. SMEs), may distort or threaten to distort competition, may have an effect on trade between Member States, and thus constitute state aid. However BCC and its Delivery Partners will ensure that the following measures are put in place before any undertaking receives aid:-

- a grant application process will be conducted. SME's and grant recipients will be required to go through an open, transparent and competitive process before receiving aid. This will ensure that any undertaking who receives aid will not receive a competitive advantage over its competitors;
- and before any EDRF funds are received by an undertaking an assessment will conducted to ensure that funds are defrayed in accordance with the de minimis exemption. The value of funds received by SME will be small scale and would be lower than €5000 per support intervention. The recipient will be asked to confirm that they have not received state aid (including any funds from this application) that exceed €200,000 over a three-year fiscal period calculated at gross grant equivalents (GGE). Only once confirmation has been received that the grant will be within the de minimis limits will funds be defrayed.

Not all public funding constitutes State Aid. Only a measure which satisfies <u>all</u> of the conditions set out in Regulation 107(1) of the Treaty for the Functioning of the European Union is regarded to be a State Aid. Where financing of the project constitutes state aid, the measure will still not require notification because measures will be put in place by BCC and the delivery partners to ensure that the total amount of grants (cash and in-kind) for the same eligible costs over any period of three fiscal years does not exceed EUR 200 000 ("de Minimis" rule). See **Annex 1 – State Aid Tests** for the methodology that will be applied to test whether a potential beneficiary is outside the scope of state aid.

1.2   Project Description
 [Indicative 300 words]

The Project will co-ordinate a comprehensive service matrix to support the start-up and growth of SMEs in a variety of sectors targeting the South Bristol Regeneration Area (SBRA), comprising Filwood, Hartcliffe & Withywood, Hengrove & Whitchurch Park, and parts of Knowle and Bedminster wards, and the wider South Bristol area south of the Avon. The first phase of the project will be over three years from Jan 2020 to Dec 2022 with community engagement and business support delivery focussed on access points within the SBRA, but extending also to individuals and businesses based in the wider area, who have potential to create new enterprises and employment benefiting the more disadvantaged SBRA wards.

Using a network of existing business sites and community centres across the SBRA (including Filwood Green Business Park, Cater Business Park, Knowle West Media Centre, Hartcliffe and Withywood Ventures, The Park Opportunity Centre and Hartcliffe Community Farm), the project will deliver an integrated suite of enterprise coaching and support services, including seed finance in the form of grant schemes to assist start up and early to later stage growth.

Encompassing the full business formation and growth lifecycle, and promoting both private and social enterprise models, the four core delivery partners (YTKO ltd, School for Social Entrepreneurs, The Prince's Trust and Knowle West Media Centre, plus a Pre Scale Up support contractor (to be procured by BCC) will provide services as segmented below:

Pre-pre-start — Identified as support for potential entrepreneurs that need specific coaching to build confidence in their business idea

Pre-start — Support to entrepreneurs that are looking to start a business imminently

Growth — Established businesses in need of support to maintain long-term growth prospects and short-term scale up

Grants — Range of grants to reflect different needs of business sizes and sectorial base

Additionally, the support offer will be tailored and targeted to key sectors (prevalent or emerging in the South Bristol economy) and beneficiary groups, with each Partner applying their specialist expertise and networks, and working collaboratively to inter-refer clients, as follows:

Construction, Engineering and Food Services (YTKO Ltd);

Creative and Digital Manufacturing (Knowle West Media Centre)

Youth - from **disadvantaged areas** and **under-represented groups** in enterprise (Prince's Trust)

Social – across a mix of sectors (School for Social Entrepreneurs).

Where appropriate, the Project will refer SME clients for additional or alternative support directly to other support programmes (e.g. the Enterprise Allowance Scheme, and the Scale Up, Innovation Support and Green Business Grant programmes run by WECA, Business West, UWE and University of Bath) or via the WECA Growth Hub.

WECA funding is required to contribute equally across the start up and growth support strands and as match funding (28%) to ERDF and private sources for a total Project cost of £1.715 m.

1.3   Project Objectives and Case for Change

[Indicative 250 words]

The South Bristol Sustainable Urban Development (SUD) Strategy was adopted in 2018 as an adjunct to the West of England ESIF Strategy, and with a major focus on SME Competitiveness. According to the strategy, 'the South Bristol Regeneration Area is distinctive in being one of the most disadvantaged areas, yet with great untapped potential, in one of the wealthiest cities in the UK'. It also points to a structural problem, especially in the SBRA wards, of an enterprise deficit impacting its local economy: 'Bristol has one of the highest business start-up rates of major UK cities - over 4,000 new starts in 2015. However, the number in South Bristol was just 731, the lowest annual rate from 2009 to date. Furthermore, South Bristol has seen a steadily declining share of the City's jobs (18.4%) and the SBRA has just 4.4% of the City total'. Thus a key priority of the SUD strategy is to build upon

the momentum of recent new housing, transport and other investment by creating a longer-term infrastructure to improve business start-up and growth support and make it easier to access locally. It calls for actions which will 'outreach into the SBRA neighbourhoods to raise awareness of individuals and groups and support them to assess their skills and resources, generate and test ideas for viable and sustainable private or social enterprise start-ups (drawing on evaluation and learning from the previous ERDF funded projects in South Bristol).'

Against this strategic background the Project's objectives and related outputs over 3 years) are:

i)   promote and enable increased entrepreneurship and enterprise formation in the disadvantaged SBRA communities and among under-represented groups (women, young people, BAME, and disabled people) through both private and social enterprise models;

     Outputs: 145 individuals coached to be 'enterprise ready' (minimum 12 hours support)
                    39 new private or social enterprises registered

ii) support existing businesses and social enterprises, across the wider South Bristol area, who do or will employ SBRA residents, at both early and later development stages, to survive and grow, creating jobs and local supply chains;

     Outputs: 163 enterprises receiving information, diagnostic & brokerage support (min 3 hours)
                    142 enterprises receiving advice and support (minimum 12 hours)

iii) offer more specialist advice and financial support to strengthen both the new and longer-established sectors of the South Bristol economy, including creative, cultural and film/media, digital manufacturing, software/apps development, and green tech, alongside construction, food service, small-scale manufacturing and engineering.

                    53 enterprises receiving grant only support (with £133,500 SME match contribution)
                    35 enterprises developing new to firm products
                    17 enterprises developing new to market products

The Project evaluation in year 3 will also assess the potential for more established and growing SMEs to repay a proportion of WECA grant, or make a higher co-financing contribution to 'scale up' support provided under any Phase 2, subject to approval.

1.4   Rationale for Public Intervention

[Indicative 250 words]

The main rationale is that, although a range of public funded business support services are being delivered at a city regional level, their operational outreach and impact in South Bristol and the peripheral SBRA appears to be limited. Analysis by the Partners (YTKO, SSE and The Prince's Trust) involved in city regional programmes of the take-up of both pre and post start-up / early stage support by residents and businesses in the SBRA and wider South Bristol over 2017-19 reveals an under-representation of the area's share of the City of Bristol population. In addition, the data from Business West and the new WECA Growth Hub points to the same conclusion. For example, of nearly 200 support enquiries received by the Growth Hub in 2019 to date, only 20 have come from businesses in South Bristol and just 3 from the SBRA. Of 103 companies across the City of Bristol taking up support from Business West's Scale Up Coaching Grant scheme to date, only 17 (16%) are from South Bristol, and 3 from the SBRA. Feedback from groups such as the FSB Bristol branch and the South Bristol Business Group indicates that support agencies have no office bases and hence a relatively low profile in the area; also that their offers are not well tailored to the local sectoral profile.

There is also a need for better targeted support in the area as the existing business stock in South Bristol (4,935 units representing 22% of the City of Bristol total) is very heavily weighted towards SMEs (99% of units) and, within that, towards 'micros' (83.4%) with small businesses making up 14.4% (705

units) and medium-sized 2.2% (105 units). The SBRA hosts just 25% (1260 units) of South Bristol businesses, and has very similar proportions of micro, small and medium businesses. (Source: UK Business Counts, Nomis, 2019). Hence there is likely to be a reduced capacity to pay for commercial advice and consultancy and raise finance for business growth.

The sectorial profile also shows up some clear contrasts between South Bristol and the City of Bristol as a whole. A significantly larger proportion of South Bristol businesses are in the industrial and warehousing sectors – 36% (and 52% in the SBRA) compared to 22.3% in the City of Bristol –and a significantly lower proportion in office sectors – 16-18% compared to 29%. (Source: Land and Property Gazeteer, 2019). This also supports the case for a more sectorally targeted approach for South Bristol.

1.5   Strategic Fit

[Indicative 300 words]

The Project has a strong alignment with the West of England Strategic Economic Plan (2015-30) which affirmed the priorities of improving the infrastructure and connectivity of South Bristol to attract investment and support local growth, and closing the gap between disadvantaged and other communities in the West of England. It will contribute towards the goals of new job creation alongside new homes in South Bristol.

In its targeting of SMEs in emerging as well as longer established industrial sectors for growth support, including creative, digital, green tech, and food, the Project aligns with the 'smart specialisation' sectoral approach of the SEP and at least four key objectives of the West of England Local Industrial Strategy published in July 2019 - Inclusive Growth, Productivity, Cross-Sectoral Innovation and Clean Growth. For example, a distinctive contribution to Cross-Sectoral Innovation is that the Project will offer access and free technical support for local businesses undertaking product development at the new Sensor R&D Lab and ultra fast fibre network being provided at Knowle West Media Centre's 'The Factory' facility with LGF funding from the Open Programmable City Region project. Increasing productivity by providing management and organisational coaching, alongside grants and loans for capital investment will be a key objective of the growth support delivered by Partners and sub-contractors for both early and later stage SMEs.

With reference to City of Bristol strategies, the Project will encourage and enable new and existing South Bristol businesses in the construction, engineering and environmental sectors to focus on product and service innovation linked to the One City Plan priorities around house-building, new workspace and industrial estate improvement, sustainable transport, low carbon energy, zero waste and circular economy. In its focus on supporting new entrepreneurs from disadvantaged communities and under-represented groups, it will provide an important area-based initiative for the Inclusive and Sustainable Economic Growth Plan (under the OCP).

1.6   Options Appraisal

[Indicative 400 words]

The alternative options considered by BCC to the current proposal were:

Alternative Option 1: seek to extend and strengthen the South Bristol focus of the existing ERDF co-funded enterprise start up and early stage growth support programmes covering South Bristol, ie. **Enterprising West of England, Social Enterprise & Innovation, and Network 4 Creative Enterprise.**

This option was rejected because:

i) Under the current West of England ESIF / ERDF Programme, there are no or only very limited further unallocated funds under Axis 3 (SME Competitiveness) for an extension of any of the above programmes which have closed or are due to close by end of 2019. Bids for Axis 4 (Transition to Low Carbon Economy) ERDF would be possible, but would unduly restrict the scope of the project in terms of largely removing any focus on entrepreneurship and start up, and reducing the specialist technical support content for emerging and core sectors to energy and resource efficiency only. It may also fail to reach the required ERDF project size threshold of £500,000.

ii) Even if further Axis 3 ERDF was available, extensions were only likely to be offered for 1-2 years at the most, until the end of the current programming period, which is an insufficient timescale to meet the need for an improved and longer term enterprise support infrastructure for the area.

Alternative Option 2: Do nothing and not seek to provide any South Bristol focussed service

This option was rejected because:

i) It would maintain an unsatisfactory and potentially destabilising status quo with South Bristol's prospective entrepreneurs and 98% micro or small-sized business community having relatively poor local access to city regional support services and so risk the low enterprise start up, survival and growth rates, especially in the South Bristol Regeneration Area, persisting for a further medium to longer term period.

ii) It would fail to harness the specific ring-fenced Axis 3 ERDF resources under the EU-backed South Bristol SUD Strategy (which require public and/or private match funding to be secured) for enterprise start up and growth support.

1.7   Environmental Sustainability Considerations

[Indicative 250 words]

Bristol City Council will manage and deliver this Project, and require its Partners to do so, in accordance with its energy and climate change, waste and resource use strategies - 'Our Resilient Future: a Framework for Climate and Energy Security' (2015) and 'Towards a Zero Waste Bristol – Waste and Resource Management Strategy' (2016), and in partnership with other civic organisations such as the Bristol Green Capital Partnership to ensure sustainable development and deliver positive environmental impacts. Specific measures to maximise potential positive environmental impacts and mitigate potential negative impacts will include:

- proactively communicating ERDF opportunities and best practice in relation to environmental sustainability, e.g. in relation to enterprise support;
- promoting the participation of the environmental sector in project activities and events, including dissemination through specialist organisations and networks (principally the Bristol Green Capital Partnership, and Bristol-based business organisations,
- adopting green working practices and communication methods, including use of home working, video/teleconferencing, electronic documentation and e-communication tools (including e-mail, websites, social media and e-newsletters) wherever possible;
- where paper-based communication is unavoidable, using recycled / sustainable materials;
- where travel is unavoidable, promoting the use of public or green transport options to project staff and event participants; and
- wherever possible, using event venues which demonstrate a commitment to sustainability, including in relation to waste minimisation, recycling and energy consumption.

In terms of the enterprise support services, across all Partners there is a commitment to embed sustainability by providing content in both pre and post start up workshops on resource efficiency, waste reduction and resilience, and encouraging entrepreneurs and SMEs to adopt ethical, sustainable and long-term thinking, anticipating a future where resources are finite, and to pursue financial savings from carbon reductions. Furthermore, BCC is currently leading an initiative on the Going for Gold Award in Food Sustainability, which will be integrated into the Project's support for food sector businesses.

1.8   Equality and Diversity Impact Assessment

A full Equality and Diversity Impact Assessment has been undertaken, appropriate to the Project's objectives to engage and support entrepreneurs from disadvantaged areas of the City and under-represented groups in enterprise. This is provided in Annex 1.

2   Economic Case

2.1   Economic Appraisal
[Indicative 650 words]

The proposed outputs for the Project are restated below:

Outputs: 145 individuals coached to be 'enterprise ready' (minimum 12 hours support)
                   39 new private or social enterprises registered
               163 enterprises receiving information, diagnostic & brokerage support (min 3 hours)
               142 enterprises receiving advice and support (minimum 12 hours)
               53 enterprises receiving grant only support (with £133,500 SME match contribution)
               35 enterprises developing new to firm products
               17 enterprises developing new to market products

These outputs have been modelled on those set and being delivered to target under the three current ERDF co-funded projects in which the four core partners are involved – Enterprising West of England (YTKO and The Prince's Trust); Social Enterprise & Innovation Programme (School for Social Entrepreneurs) and Network 4 Creative Enterprise (Knowle West Media Centre). In the context of a highly disadvantaged target area with a long term trend of low business start up rates, it is assumed that only one in four individuals receiving entrepreneurship coaching will achieve a start up registration within the duration of the Project. In terms of post start up support, it is assumed that at least one in three pf the enterprises given extended advice and support will progress to undertake a growth / investment project with assistance from the Project.

The delivery cost per support output (measured as a full 12 hour 'assist') varies between the four partners according to the development stage (ie. 'pre-pre' start, start up and early / later-stage growth) and type of support (ie. generic advice, specialist sector-oriented and/or grant schemes) which each specialises in, and, in the case of the Prince's Trust, the fact that regional office overheads are not being re-charged to the project. However, the average delivery cost per output, across all work streams pre and post start up, is £5,317. If the capital spend by Knowle West Media Centre on equipment for the Sensor R&D Lab, which is matched into the Project (£150,000), is taken into account, this rises to £5,976. The variation of costs per core partner is set out in the table below:

Delivery Partner	Type of Support	Total Cost	Total Outputs	Cost per

		(revenue)	(P11 + C1 assists)	Output
YTKO	Post start up (mainly)	£ 328,110	63	£ 5,208
SSE	Pre & Post start up (mix)	£ 302,764	53	£ 5,713
The Prince's Trust	Pre start up (mainly)	£ 150,000	81	£ 1,852
KWMC	Pre & Post start up (mix)	£ 296,539	53	£ 5,595
BCC	Post start up / scale up	£ 448,646	37	£ 12,125
TOTAL			**287**	**£ 5,317**

*Note: BCC cost per output is higher because it includes general administrative and promotional overheads in its role as Lead and Accountable Body, as well as the Pre Scale Up contract budget.

No assumption is made that any of this Project's outputs are shared with the proposed South Bristol Light Industrial Project capital scheme, for which ERDF/WECA co-funding is also being sought.
The economic impacts of the Project, based on achievement of the above outputs at minimum, are forecast as below:

> 97 full time equivalent jobs created or retained
> £ 11.946 million Gross Value Added
> £ 6.878 million Net Value Added

The job creation/ retention forecast follows the definitions in use by MHCLG for ERDF programmes and assumes that only fte jobs sustained in enterprises assisted for at least 12 months can be counted. On this basis the cost per job created/ retained is £15,733 based on the Project's total revenue costs (£17,681 including capital costs), and £4,975 based on the total grant requested from WECA.

The GVA estimates are based on the forecast of both enterprises supported (ERDF - C1/C4s)) and registered start ups (ERDF - C5s) over the Project lifetime (total 287), and have used as an appropriate benchmark the average of £0.066 m GVA (gross) and £0.038 m GVA (net) per enterprise assisted and monitored for the South West Competitiveness & Employment ERDF programme 2007-13. The metrics are derived from the Programme's Annual Implementation Report June 2014, and with specific reference to the Urban Enterprise strand (axis 3) which most closely resembles the South Bristol Enterprise Support project in so far as it targeted support on entrepreneurs and businesses in disadvantaged areas of Bristol and groups under-represented in enterprise. Estimates include both increased and safeguarded GVA outcomes. Following consultation with WECA, whilst the benchmark used is 5 years old, it has not proved possible to identify a more recent evaluation of this type of support targeted on enterprise of disadvantaged areas and under-represented groups

The employment land served by the Project is broadly all industrial areas and small workspaces within the 12 wards of South Bristol. But, as detailed above, there will be a particular targeting of businesses located or starting in the South Bristol Regeneration Area, and the following centres and industrial areas: Filwood Green Business Park, The Bottle Yard Studios, The Park Opportunity Centre, Cater Business Park, Hartcliffe and Withywood Ventures, Hartcliffe Way, Novers Hill / Vale Lane Industrial Estates, Petherton Road, Hawkfield, Western Drive and South Bristol Business Parks.

Generating beneficial social and environmental impacts from both the start up and growth stands are a key objective for this Project, and all Partners have an established track record in supporting entrepreneurs from disadvantaged communities and under-represented social groups into enterprise in Bristol. At least 30 prospective social entrepreneurs plus around 10-15 existing social enterprises, and 65 young people will receive support. As regards growth support, the number of enterprises in sectors or activities directly delivering a positive environmental impact is hard to model, but, out of

142 post start up and later stage businesses, it is expected that at least one third (37) will fall into this category. Also 100% will receive coaching to minimise emissions and negative environmental impacts.

2.2   Value for Money Statement

Total project cost	*£ 1,715,060*
Grant sought (EDF/LGF/RIF)	*£ 482,530*
Net Quantified Benefits	*97 Jobs,* *£6.878 m GVA*
Social Value	*48 Jobs for South Bristol residents* *50% of expenditure on project goods and services sourced from City of Bristol-based suppliers*
VfM indicator*	*£17,681 per job;* *£3.96 GVA per £ spent*

* Benefit compared to total cost including match funding

Summary table of assumptions

Criterion of assessment	*Assumption*
FTE Jobs	*Jobs created or safeguarded for at least 12 months in all new or existing enterprises supported*
Net GVA	*Net GVA based on an average estimated output gain, after capital costs discounted, of £38,000 cumulative in each new or existing enterprise supported after 3 years (impact period).*
Social Value	*Jobs created or safeguarded, as above, for local South Bristol Regeneration Area residents* *Value of expenditure on Project goods and services procured by BCC and consortium partners from City of Bristol based suppliers.*

3   Financial Case

3.1   Chief Financial Officer sign off

See Annex 2 for a letter from the Finance Director of Bristol City Council.

3.2   Scheme Cost

Revenue Elements

Cost Heading	Total projected eligible expenditure	Amount to be claimed
Internal staff including overheads	£1,088,516	£344,182
External consultants	£ 180,300	£ 57,010
Grants and bursaries	£ 140,163	£ 44,319
Marketing	£ 58,531	£ 18,507
Office supplies	£ 23,750	£ 7,509
Office rental	£ 19,800	£ 6,250
Professional fees (evaluation)	£ 15,000	£ 4,753

Capital Elements

Cost Heading	Total projected eligible expenditure	Amount to be claimed
Equipment	£ 189,000	NIL

3.3   Spend Profile and Funding Sources

Capital Spend (£000s)

	19/20	20/21	21/22	22/23	Total
SUD ERDF	0.0	0.0	0.0	0.0	0.0
WECA	0.0	0.0	0.0	0.0	0.0
Private	20.0	145.6	15.6	7.8	189.0
Total	20.0	145.6	15.6	7.8	189.0

Revenue Spend (£000s)

	19/20	*20/21*	*21/22*	*22/23*	*Total*
SUD ERDF	*45.538*	*335.342*	*272.382*	*204.269*	*857.531*
WECA	*22.411*	*166.090*	*167.318*	*126.711*	*482.530*
Private	*2.927*	*23.850*	*89.464*	*69.758*	*185.999*
Total	*70.876*	*525.282*	*529.164*	*400.738*	*1,526.060*

Total Spend (£000s)

	19/20	*20/21*	*21/22*	*22/23*	*Total*
SUD ERDF	*45.538*	*335.342*	*272.382*	*204.269*	*857.531*
WECA	*22.411*	*166.090*	*167.318*	*126.711*	*482.530*
Private	*22.927*	*169.450*	*105.064*	*77.558*	*374.999*
Total	*90.876*	*670.882*	*544.764*	*408.538*	*1,715.060*

4 Commercial Case

4.1 Procurement

[Indicative 400 words]

Bristol City Council and all partners will abide by the EU Treaty Principles and follow the ESIF National Procurement Guidance for procuring goods and services, to ensure sound financial management of public funds and secure the benefits of competitive purchasing and commissioning.

For the purpose of the SUD ERDF full application a plan has been prepared detailing all goods and services to be procured and routes to be taken by BCC and each of the Partners in conformity with the above. No contracts are above the £181,000 value threshold for services requiring advertising in OJEU. However, open procedure tender processes will be used in line with the Treaty principles and BCC Procurement rules. Processes are designed to provide sufficient and specific information to potential bidders about the tender opportunity; manage any potential conflicts of interest; offer impartial assessment of each bid against identical criteria; and provide selection procedure that selects a winning bidder on merit. All processes, and associated documentation required have been reviewed by a BCC Procurement Advisor with knowledge of ESIF / ERDF procurement rules. This plan will be made available to WECA as required.

Documents to be retained by BCC will include electronic documents as appropriate to the specific purchasing and procurement process and held in our ProContract e-portal and management system as follows:

- specifications of goods or services required, including budget, timescale, special provisions, any special terms or conditions, and indicative buying process
- Quotations and proposals and tender responses
- Request for proposal or invitation to tender or similar advertising
- Log sheets of dates/times of tender receipts
- Selection criteria
- Questions from bidders
- Assessor declarations
- Scoring and assessment documentation

- Contract awards
- Notifications to unsuccessful bidders

Standard forms of commercial contract will be used by BCC (for consultancy services, including the Pre Scale Up Growth Coaching scheme, the marketing partner and evaluation services), and by Partners for similar consultancy and marketing spend , and, where applicable, equipment. These will be in line with their practices and audit advice from previous ERDF co-funded enterprise support projects . Preparation of procurements will commence as soon as funding agreements have been concluded with MHCLG and WECA and a Project start date has been set. Advertising and tender processes for the main sub-contractors required will commence from Jan/ Feb 2020 and continue for 2-3 months subsequently. Contracts will generally be let for between 2.5 and 3 years duration until the Project end date, with the exception of the evaluation and summative assessment contract which will be up to 12 months. BCC, as lead and accountable body, will also review the legal compliance of procurement processes to be undertaken by Partners and contract terms prior to letting.

4.2 Operation and Financial Viability

[Indicative 400 words]

BCC will appoint a Project Manager (1.0 fte) and part-time Support Officer (0.6 fte) to manage and co-ordinate the day-to-day operations of the Project, including finance and procurement, liaison with delivery partners and internal BCC Advisers and Senior Managers. There will be a Principal Accountant and Senior Accountant allocated from its Budget support team that enable the Growth and Regeneration Directorate and Economy of Place Division to undertake effective financial management and control, the processing of grant claims, data collection, reporting and auditing. Financial management will be overseen by the Growth and Regeneration Finance Business Partner, with day to day transactions and quarterly claims preparation and reporting undertaken by the Project Manager and Senior Accountant with support from the Accounting Support officer.

We will maintain full records related to both BCC and individual partner transactions and processes, in a secure on-line document management system commencing from the WECA and ERDF offer letters and budget confirmation, to include original invoices, purchase orders, payment advice, bank statements, contracts, payroll information, budget and progress reports, recruitment, correspondence and other legally required records. The originals are scanned in by the accounts payable team and we can view the scanned copies in our "Unit 4 Business World (ABW) system" used by Accounts Payable team. This enables a clear audit trail for all income and expenditure related to the project.

All new members of staff in both the lead and partner organisations working on EU funded projects, from project administrators to project directors, will have a comprehensive induction about ERDF rules and regulations on eligible expenditure, and procurement. This will cover internal timescales within the consortium each quarter for submitting expense claims and supplier invoices so that they can be checked, paid and evidenced prior to inclusion on a claim.

Quarterly claim submissions to WECA and MHCLG on behalf of the consortium will be prepared by the Project team collating financial and outputs information across the Partners using a common set of templates, and checking this in conjunction the Accounts team, including verification that payments for invoices and salaries have been made.

The Council has considerable experience from its role within the previous round of ERDF contracts. We have taken this recent experience and adapted our financial management and control processes

accordingly. These now include more active contacts by phone or email, and an in-person finance meeting between the Lead Accountable Body and Partners (including the BCC Senior Accountant).

In relation to quality assurance and underperformance, BCC as Lead Accountable Body will undertake checks to ensure compliance is maintained – firstly with regards to the progress of achieving outputs but also against the paperwork, spend and processes of the delivery partners and subsequent subcontractors. In preparing each claim to WECA and ERDF all outputs will be reviewed and paperwork checked against latest guidance.

BCC has also developed a partner handbook to issue to all delivery partners. The guide helps to support partners to ensure that all paperwork, processes, governance and delivery of service is compliant with all WECA and ERDF requirements. The handbook will be finalised and issued at the first Consortium Meeting alongside an induction to the topics.

4.3   Social Value Act
[Indicative 300 words]

BCC has adopted a range of measures in recent years and published a tool kit to ensure that its procurement policies and processes are compliant with the Social Value Act, giving due consideration in the selection of suppliers and award of contracts to the local social and economic impact of goods and services purchased. These will be followed for the procurement of services for this Project by BCC, and the Partners have been requested to adopt similar objectives for their procurements also. The joint commitment to securing local social and economic value has been reflected in the project's Procurement Plan, according to which BCC and all consortium partners will seek quotations from at least one locally based supplier and appraise the social value offered by bidders against the checklist provided in BCC's Social Value Procurement Took Kit - eg. employment and training opportunities for South Bristol residents, use of local suppliers in their supply chains, joining and making payments in The Bristol Pound, support of local community, social and environmental projects.

To embed this approach, BCC will provide an induction to the consortium partners in its social value policy and toolkit at the start of the Project, in addition to making prospective bidders for the Pre Scale Up support, marketing and evaluation contracts that it will let aware of its requirement in this area.

In addition to the job creation numbers defined at 2.1, BCC and consortium partners will set an objective and indicative target for all the SMEs supported by the Project to take up the local recruitment and training support from the proposed Workforce for The Future Project (WECA/ESF-funded), which is set to run on a parallel timescale , and offer at least 50% of the jobs created in their businesses to local South Bristol residents.

5   Management Case

5.1   Promoter and Delivery Arrangements
[Indicative 300 words]
Bristol City Council will promote and manage the Project, acting as the Lead and Accountable Body for external grant funding from WECA and SUD ERDF. As detailed at 4.1 above, a dedicated Project Manager and Support Officer will be recruited and hosted by the Economic Regeneration Team in the Growth and Regeneration Directorate based at City Hall. A consortium of four core partners has been formed to deliver complementary work streams and outputs as outlined at 1.2 and 1.3 above, and will

be managed by BCC. They will each employ staff teams dedicated to delivery of the Project, and have provided full job descriptions and salary cost information. In addition a sub-contractor will be procured by BCC to deliver an additional pre scale up growth coaching package.

The four delivery partners will benefit from some area-wide and 'whole project' publicity and promotional services (branding, web site, social media and events), but each partner will additionally undertake its own marketing and engagement activities related to its specific target groups or sectors in the residential and business communities, and hire consultancy and support services as necessary. Thus all partners, in addition to BCC , will undertake procurement of goods and services, and, where applicable (KWMC only) own assets to be used in the Project.

5.2   Project Governance and Delivery

[Indicative 400 words]

The Project will follow an established methodology placing the delivery partners and beneficiaries at the heart of the governance. In order to maintain interactivity, two levels of project management will be utilised:

- **Project Consortium:** This strategic group would consist of the Core Delivery Partners and Lead Accountable Body – Bristol City Council, YTKO, Princes Trust, Knowle West Media Centre and the School for Social Entrepreneurs. At a later date the Consortium would add representation from the beneficiary SMEs across all the service options.
  The Consortium Group will be responsible for managing the project, maintaining KPIs, assessing and owning risks, approval of project reports, strategic policy engagement and supporting the evaluation process. The Steering Group would meet quarterly and be hosted at each of the members alternatively.
- **Delivery Partners:** This operationally focused group would have monthly meetings with the Lead Accountable Body to discuss progress and respond to issues. All relevant subcontractors would also be invited to the meetings. The Delivery Partners will take responsibility for day to day activity such as demand generation, support delivery, communications delivery, updating risk etc.
  Issues and risks which are raised by the Partners will be escalated to the Consortium Group if they are not deemed time critical.

Reporting: The Project Consortium will review the project progress with updates from each partner – any relevant delivery contractors will provide updates prior to the Consortium meeting. The Project Consortium will also review the combined claim documentation to monitor output progress, marketing activity, risks and pipeline generation. They will also disseminate best practice and changes to guidance as applicable.

Wider Partnership: This broader stakeholder group currently accounts for local outreach partners, larger employers and promotion partners. Throughout the programme we would build this group further through newsletters, joint events and workshops with local partners. The intention is to create a wider pool of support and networks to ensure a lasting legacy for the project.

Annex 3 provides a set of organograms setting out the project teams / roles of each delivery partner. The previous experience of enterprise support programme delivery of BCC and Partners is summarised below:

Bristol City Council: Lead & Accountable Body for Filwood Green Business Park - ERDF (2011-15)
                             Delivery Partner in Enterprising West of England – ERDF (2017-19)
YTKO ltd: Lead & Accountable Body and delivery of Outset Bristol **–** ERDF (2010-15)
                             Delivery Partner in Enterprising West of England – ERDF (2017-19)

School for Social
Entrepreneurs: Lead & Accountable Body for SSE Bristol & West of England (2012-15)
                       Delivery Partner in Social Enterprise & Innovation Programme – ERDF (2017-19)
The Prince's Trust: Lead & Accountable Body and delivery of Inspiring Young Entrepreneurs – ERDF (2013-15)
                       Delivery Partner in Enterprising West of England – ERDF (2017-19)
Knowle West   Delivery Partner
Media Centre: Lead & Accountable Body and delivery of Do What You Love – ERDF (2011-15)
                       Delivery Partner in Network 4 Creative Enterprise – ERDF (2017-19)

5.3   Programme Plan

Milestone completion dates	Baseline
Conclude funding agreements with WECA / ERDF and funding / service level agreements with Partners	Jan 2020
Recruit or assign skeleton delivery staff to BCC and Partner teams	Jan 2020
Commence procurement of BCC & Partner services and resources, including marketing and promotion	Feb 2020
Recruitment and induction of full delivery teams	Feb 2020
Commence procurement of BCC Pre Scale Up contractor	March 2020
Create / complete marketing strategy and confirm Year 1 plan	March 2020
1st Consortium meeting	March 2020
Launch events, web site and other publicity	April 2020
1st quarterly claim, progress and output data reports prepared	April 2020
Conclude contract and commence Pre Scale Up scheme	June 2020
Prepare evaluation summative assessment brief	Dec 2021
Conclude contract and commence evaluation	March 2022
Publish evaluation / /summative assessment	Nov 2022
Prepare final reports and claims	Dec 2022

5.4   Risks, Constraints and Dependencies

The Project will monitor risk at both Delivery Partner and Project Consortium levels.

The initial risk register (see below) will be updated and reviewed at the first Consortium Meeting and risks allocated ownership to individual members. Additional risks will be added at each Consortium Meeting with mitigation and scoring agreed by consensus.

At an operational level risks will be addressed in monthly meetings and any which are deemed high risk will be notified to the Consortium Chair to see if the risk requires an exceptional notification across the Consortium members for approval of mitigation steps. If a risk is low or medium rating then it will be put on the agenda for the next Consortium meeting.

The risk register currently assesses risk against:
- Impact - the disruption which would be caused to the project progress should the risk not be addressed. This is scored out of 10.
- Probability - the likelihood that the risk would happen should the mitigating action not be taken. Again this is scored out of 10.

- Score - the score from the Impact x Probability out of 100.
- Ratings - a low scoring risk 0 - 25, medium risk 26 - 66 and high risk 67 - 100.

Risk	Impact	Probability	Score	Mitigation
ERDF funding reduced	7	2	14 - low	Project Consortium requested feedback on the value for money case given the removal of the workspace element. MHCLG fed back that the value for money case is well aligned to the proposed outputs so we wouldn't expect any reduction in funding.
ERDF funding unsuccessful at full application	10	5	50 - med	Although the SUD Advisory Committee provided confirmation that a full application could proceed there were no indications of how a support only project would be viewed. As such there has been limited resource investment from the Project Consortium until the project is approved.
Project start-up is delayed	4	8	32 - med	All previous ERDF projects have been delayed in approval and contracting processes – in fact an anticipated delay was the main reason MHLCG suggested the capital element could not proceed. Outputs and financial projections have been amended to anticipate this delay.
Partners fail to meet output profile	7	3	21 - low	The project management and governance is in place to address any output slippage and react quickly to manage underperformance via the quarterly consortium-level and 1to1 meetings with partners. Important lessons learnt from previous projects to tackle underperformance with urgent actions across partners' work streams.
Issues with match funding	10	3	30 - med	Bristol City Council has received indicative approval to utilise its budget, however, the project still requires approval from Council Cabinet which will be undertaken as the highest priority should the full application be successful. All other delivery partner match is in place and secured.
Issues with grants	5	3	15 - med	In past ERDF programmes SME grants have proved difficult in terms of generating demand, meeting too much demand, and providing clear messaging for customers. Although there are several SME grants available they don't overlap and referrals based on a

				diagnostic of the SME will help ensure that the best grants are available to the most appropriate enterprises.
Issues with demand generation	5	7	35 - med	In previous ERDF projects generating demand from entrepreneurs and businesses has, at times, proved difficult. A key strength of the consortium is that it already has established networks, demand generation pathways, and brand presence in the region and therefore partners have confidence they can generate the demand from individuals and customers across the South Bristol area. Should any shortfall be experienced then the Consortium would address this together and boost referrals, re-profile marketing spend and
Issues with pre scale up subcontract	3	5	15 - low	The subcontract for pre scale-up support will be tendered shortly after the project goes live. However, there is a risk that demand for the contract could be relatively low. As such BCC conducted a PIN notice exercise to assess the market and ensure that there was sufficient demand for the contract.
Failure to meet timescales	8	2	16 - low	Again the contract management and governance processes will ensure that the project remains on target and timescales are met. Claims, reporting and outputs will all be managed with regular checkpoints on a monthly (via the Partner Meetings) and quarterly basis (via the Consortium Meetings).
Failure to recognise risks and take appropriate actions	3	1	3 - low	The risk register will form a central part of the project governance and will be regularly updated and assessed. As explained above there is sufficient project infrastructure to be reactive in addressing risks.
Workspace delayed or cancelled	2	5	10 - low	Construction of the original workspace (contained in the outline application) is now separate to this full application and therefore the impact on this project is relatively low.

5.5 Land Acquisition, Planning and Other Consents

Not applicable – no land acquisitions, planning or other consents are required.

5.6 Service Diversions

Not applicable

5.7 Engagement and Consultation

[Indicative 300 words]

Both before and after the issue of the South Bristol SUD ERDF Call in October 2018, Bristol City Council's Economic Development Team undertook informal consultations with the main enterprise support agencies delivering ERDF enterprise start up and growth projects under the current West of England ESIF Programme around the idea of developing a consortium to deliver a comprehensive 'whole life cycle' enterprise support programme targeted on the needs of the South Bristol SUD regeneration area, encompassing both private and social enterprise models and multiple industrial sectors, and integrating the provision of more workspace for growing businesses. These involved members of the existing partnerships / consortia delivering the Enterprising West of England and Social Enterprise and Innovation Programme led by Business West and the University of Bath respectively. Meetings and tele-calls between prospective consortium partners, led by BCC ED, were held between 26th Oct and late Nov 2018, culminating in submission of the outline SUD ERDF application for the South Bristol Enterprise Support & Workspace project on 23rd Nov 2018. This contained an outline procurement strategy and schedule of procurements proposed by BCC and each of the four prospective partners named in the application (YTKO Ltd, Dartington Hall Trust / SSE, Prince's Trust and Knowle West Media Centre).

In addition, earlier in 2018, Bristol City Council was in the process of setting up the South Bristol SUD Intermediate Body, and had raised wider awareness amongst regional business and sectoral organisations of the South Bristol SUD Strategy and the opportunity to bid to ERDF Axis 3 for a major new enterprise start up and growth programme via presentations to the West of England ESIF Committee and, in July / Aug 2018, to the first meetings of the South Bristol SUD Advisory Committee, which included representatives of the Federation of Small Businesses, the local South Bristol Business Group, and the Bristol Voluntary and Community Sector.

After submission of the outline SUD ERDF bid, further publicity and consultations on the proposed project were undertaken via a South Bristol Business Networking Event held at Filwood Green Business Park on 29th January 2019, addressed by the Mayor of Bristol, and attended by around 30 local businesses and agencies.

5.8 Project Assurance

[Indicative 200 words]

The mechanisms for assurance of the Project, including its key objective to deliver the required enterprise start up and support outputs for the target area under the South Bristol SUD strategy and in accordance with the LEP's regional economic and local industrial strategies, have been discussed in outline between MHCLG, WECA and BCC, and will be reflected in the ERDF and WECA funding agreements, as and when drawn up . These commitments to deliver and assure the outputs and wider local economic impacts are also formally set out in a Memorandum of Understanding signed between BCC and the Consortium Partners. It is expected that the ESIF SUD Advisory Sub-committee, and West

of England ESIF Committee on which WECA is represented, will also take on a primary role to monitor and undertake assurance of this Project, alongside MHCLG and WECA.

5.9 Monitoring and Evaluation

Scheme: South Bristol Enterprise Support

1. Scheme background and context

The South Bristol Enterprise Support project is a £1.715 m (total cost) enterprise start up and growth advice and support service, including grant schemes, for both new entrepreneurs and early to later development stage SMEs located across the wider South Bristol area, but targeting in particular residents and businesses within the South Bristol Regeneration Area (Filwood, Hartcliffe and Withywood, Hengrove and Whitchurch Park, and parts of Knowle, Bedminster, Windmill Hill, Bishopsworth and Stockwood wards), over a 3 year period from Jan 2019 to Dec 2022. The Project will offer support for new and existing social enterprises as well as conventional private enterprises in a range of established and emerging sectors in South Bristol, including construction and engineering, creative and digital media, food and green tech and services. It will also target entrepreneurship and start up coaching on social groups under-represented in enterprise, especially young people, women, BAME and people with disabilities. The wider delivery context is the regeneration of Hengrove Park, and other sites in Filwood, Hartcliffe and Bedminster for over 2,000 new housing units and mixed uses, and the re-development of The Bottle Yard Film Studios to provide additional film production space and new light industrial workspace for growing businesses in a range of sectors. The Project will extend and improve on support provided by soon-to-complete ERDF schemes aimed at start up and early stage in the area, such as Enterprising West of England, Social Enterprise & Innovation Programme, and Network 4 Creative Enterprise, as well as collaborating and referring clients, as appropriate, to on-going SME growth support schemes such as Scale Up Coaching Grants (Business West) and Innovation 4 Growth (UWE), Creative Scale Up (WECA) and Green Business Grants (WECA).

Below is a summary of key milestones for governance, monitoring and evaluation activities including baseline and actual completion dates:

Milestones	Baseline completion date (month/year)	Actual completion date (month/year)
Assignment of skeleton delivery team	Jan 2020	Feb 2020
Agree and sign SLAs with partners	Jan 2020	Feb 2020
Procurement of partner services and resources – see procurement plans attached	Feb 2020	For the lifetime of the contract
Recruitment and induction of full delivery team	Feb 2020	Mar 2020
Draft procurement documents for Scale-up support service	Mar 2020	Apr 2020
Guidance, equality and diversity, sustainability training	Mar 2020	Apr 2020
Tender and procurement of Scale-up support service	Apr 2020	Jun 2020
Planning and launch activities	Apr 2020	May 2020
Create marketing strategy and	Jan 2020	Mar 2020

confirm year one of the project delivery plan		
Demand generation in partnership with engagement networks and partners	Feb 2020	For the lifetime of the contract
Community outreach/engagement	Feb 2020	For the lifetime of the contract
Partner and contract meetings	Monthly from January 2020	For the lifetime of the contract
1:1 coaching and workshops – start-up and growth including diagnostics and in-depth support	Apr 2020	For the lifetime of the contract
Financial claims and data returns to MHCLG	Quarterly from March 2020	For the lifetime of the contract
Narrative progress report	Quarterly from March 2020	For the lifetime of the contract
Baseline and output data input and analysis	Quarterly from March 2020	For the lifetime of the contract
Consortium meeting	Quarterly from March 2020	For the lifetime of the contract
Write summative assessment brief	Oct 2021	Dec 2021
Tender for and procure evaluator	Jan 2022	Mar 2022
Initial meeting with evaluator	Apr 2022	Apr 2022
Carry out evaluation	May 2022	Sept 2022
Publish summative assessment	Oct 2022	Nov 2022
Complete delivery activities	Nov 2022	Dec 2022
Final report and claim	Dec 2022	Dec 2022
Post project impact monitoring	Jan 2023	Dec 2024

2. Logic Model

- *Complete a logic model to reflect the project <u>scope</u> i.e. all the activities covered by the investment. Ensure also that there is a clear progression between the steps in your logic model*
- *State <u>assumptions</u> between the investment and the predicted outcomes and impacts*
- *For outcomes relating to <u>direct</u> jobs creation, please provide an annual profile of jobs created and clearly state the time period over which <u>net additional</u> jobs and GVA will be created*
- *Please define the <u>impact area</u> of the intervention ie West of England or other geographical scale*

Context and Rationale

Provide a brief description of the strategic and policy context (link to local and national strategy policy). Briefly describe the market failure rationale for the intervention.

The Project has a strong alignment with the West of England Strategic Economic Plan (2015-30) which affirmed the priorities of improving the infrastructure and connectivity of South Bristol to attract investment and support local growth, and of closing the gap between disadvantaged and other communities in the West of England. It will contribute towards the goals of new job creation alongside new homes in South Bristol. The overall impact area, in terms of the SMEs supported by the Project, will be the wider South Bristol area (all 12 City of Bristol wards south of the Avon), but with a particular focus, in terms of community and prospective entrepreneur engagement, on the South Bristol Regeneration Area, as defined in the South Bristol Sustainable Urban Development Strategy.

In its targeting of SMEs in emerging as well as longer established industrial sectors for growth support, including creative, digital, green tech, and food, the Project aligns with the 'smart specialisation' sectoral approach of the SEP and at least four key objectives of the West of England Local Industrial Strategy published in July 2019 - Inclusive Growth, Productivity, Cross-Sectoral Innovation and Clean Growth. For example, a distinctive contribution to Cross-Sectoral Innovation is that the Project will offer access and free technical support for local businesses undertaking product development at the new Sensor R&D Lab and ultra fast fibre network being provided at Knowle West Media Centre's 'The Factory' facility with LGF funding from the Open Programmable City Region project. Increasing productivity by providing management and organisational coaching, alongside grants and loans for capital investment will be a key objective of the growth support delivered by Partners and sub-contractors for both early and later stage SMEs.

To target the gap between disadvantaged and other communities in South Bristol the project will work with established community anchor organisations to reach aspiring entrepreneurs from these communities and help them set up viable businesses. Through SSE the project will also work with established community and voluntary organisations and social enterprises to build their resilience and help them grow their trading potential while maintaining their social impact. It will make use of its proven 'match trading grant' tool to support the growth and trade of these organisations.

With reference to City of Bristol strategies, the Project will encourage and enable new and existing South Bristol businesses in the construction, engineering and environmental sectors to focus on product and service innovation linked to the One City Plan priorities around house-building, new workspace and

industrial estate improvement, sustainable transport, low carbon energy, zero waste and circular economy. In its focus on supporting new entrepreneurs from disadvantaged communities and under-represented groups, it will provide an important area-based initiative for the Inclusive and Sustainable Economic Growth Plan (under the OCP).

Objectives	Resources/ Input	Activities	Outputs	Direct & Indirect Outcomes	Impact
The aims/ objectives of the scheme are: *(Ensure that all aims/objectives are SMART)*	*In order to achieve the set of activities to fulfil these aims/ objectives we need the following:* *(Resources should not be limited to money e.g. grant, match funding, in-kind, project team, specialist support, etc. The inputs define the scope of the project being considered in the logic model)*	*In order to address the aims and objectives we will accomplish the following activities:* *(What will the money be used for? e.g. construction, project management, equipment/fit out, etc):*	*We expect that, once accomplished these activities will produce the following deliverables:* *(Provide measurable outputs e.g. length of new road/cycle path, m^2 of space constructed/refurbished, number of businesses supported, learners engaged, etc)*	*We expect that if accomplished these outputs will lead to the following change e.g. new products or services, skills, behaviour, new business/contracts, etc:* *(Ensure that all outcomes are SMART and relevant to the aims/objectives to allow for attribution; distinguish between direct and indirect outcomes)*	*We expect that if accomplished these activities will lead to the following changes in service, organisation or community:* *(quantitative economic impacts e.g. indirect jobs and/or GVA to be cross-referenced with FBC as appropriate)*
• Project management – effective project management of the project, stakeholders and relevant governance processes. Effective management processes to ensure that outputs are achieved, timescales met, risks and issues are assessed and processed etc.	• Project management staff resource • Stakeholder engagement • Compliant quarterly processes from partners and BCC.	• Quarterly steering committees • Monthly partner meetings • Report compilation • Financial management meetings • Risk and issue assessment and management	• Quarterly output reports, risk registers, testimonials etc. • Quarterly financial reports	• Effectively managed project, meeting outputs, financial milestones and timescales.	• Effective project management contributes to the below impacts.

• Marketing and communications – activities to promote the support services on offer in the South Bristol area, generating demand across the partnership, disseminating the benefits of the service, case studies, success stories etc.	• Marketing budget and relevant staff resource • Support from community partnerships to maximise impact within disenfranchised beneficiaries. • Marketing collateral – banner stands, stand space at events, website etc.	• Organise promotional events in the SBRA including – trade shows, community outreach workshops, trade fairs etc. • Draft press releases, features and newsletters. • Branding – guidelines, materials and collateral including business cards, banner stands, leaflets etc. • Social media across major platforms	• Approx. 50 events to raise awareness of the project and engage relevant support networks across the region and delivery partners • 12 pieces of coverage in relevant news outlets based on case studies of SMEs and entrepreneurs • Cohesive brand across delivery partners and in line with ERDF guidelines. • 2,000 new followers across all partners raising awareness of project.	• Demand generation of approximately 145 individual entrepreneurs and 163 SME businesses. • Wider awareness of critical investment in the SBRA. • Awareness of successful case studies of entrepreneurs and businesses.	• Communications help to ensure that funded business and enterprise support communities which face barriers to accessing funded support. • Beneficiaries are engaged in the programme to meet below impacts.

Entrepreneur support – tailored support service to meet different strategic needs of pre start up entrepreneurs in the SBRA and wider South Bristol area.	• Tailored support programmes for:
	  - Pre-pre start entrepreneurs
	  - Established entrepreneurs (private sector, social enterprise and youth)
	• Grant schemes for pre-pre start and social enterprise candidates
	• Workshops, 1-2-1 coaching, blended online support etc.
		• Workshops, action learning groups and 1-2-1 support sessions to coach the potential entrepreneurs in:
		• Marketing to test their business idea in the marketplace
		• Strategy to help develop their business idea and ensure it is long-term and sustainable
		• Financial management processes to build
			• 145 x 12 hour sessions of support for:
			  - 30 x pre-pre start entrepreneurs
			  - 20 x private sector entrepreneurs
			  - 30 x social enterprise entrepreneurs
			  - 65 x young entrepreneurs
			• 20 x grants to support start-up costs for businesses defined as pre-pre start
				• 39 new employment opportunities created
				• 39 new businesses created
				• Further local employment opportunities
				• Investment in local premises
				• Investment in local supply chain
					•

		robust checks and balances, maintain good cashflow and increase profits.	• 12 x grants to support social enterprise entrepreneurs start up their business		
• SME business support – tailored support to service needs of SME businesses in the SBRA and wider South Bristol area producing increased economic activity and growth	• Tailored support programmes for: - Private enterprises - Social enterprises - Youth enterprises - Sectorial focus around construction, digital, low carbon, advance manufacturing etc. • Grant schemes based on growth aspirations to facilitate investment • Workshops, 1-2-1 coaching, blended online support etc.	• 1-2-1 coaching, action learning groups and workshops, tailored to specific sector or industry, to: • Improve effectiveness of marketing – increasing turnover, embedding new digital systems and boosting productivity • Improve effectiveness of strategy – boosting efficiency of production through improved processes and management. • Improved financial management processes – saving time, costs and resources	• 163 x 3 hour diagnostics and brokerage sessions • 142 x 12 hour sessions of support for: - 37 x scale up coaching grants - 66 x private sector SMEs - 23 x social enterprise SMEs - 16 x young enterprise SMEs • 6 x match trading grants to support growth costs of Social Enterprise SMEs • £78k of SME investment from private sector SMEs • 17 x new to market products or services • 35 x new to firm products or services	• 97 new employment opportunities created • £133,500 of private sector investment • Increased investment in local premises • Increased investment in local supply chain	•

Direct Job Creation and GVA					
	End Year 1 (Dec 2020)	End Year 2 (Dec 2021)	End Year 3 (Dec 2022)	After Project Close (Dec 2024)	TOTAL
Job Creation (net additional FTE)	15	32	50		97
GVA (net additional)	£0.344	£1.032	£2.063 m	£3.439 m	£6.878 m

3. Evaluation design and methodologies
- *Describe your key evaluation questions e.g what do you want to find out?*
- *Referring back to the outcomes and impacts stated in the logic model (section 2), describe your evaluation methodology (ie. process, outcome or impact, or a combination).*
- *Identify your audiences and evaluation stakeholders, and what their evaluation needs may be.*
- *Are the scheme beneficiaries easily identifiable and accessible?*

(indicative 300 words)

- Evaluation objectives:

i) to monitor and ensure constant improvement of workshop and coaching delivery;

ii) toassess ifstrategic objectives have been effectively, including reaching the most disenfranchised potential entrepreneurs in the South Bristol Regeneration Area, and SMEs across the South Bristol area and target sectors, and maximising impact in terms increased turnover, business creation, business survival, increased profit margin, and generating local employment opportunities in the SBRA, improving leadership capacity and accessing additional financial investment for growth;

iii) to make recommendations for a Phase 2 project over 3 years, including assessment of the potential for more established, growing SMEs to make higher co-financing contributions to coaching and grant scheme support.

- Evaluation methodology:
  - ➢ Workshop sessions – feedback and evaluation sheets, where participants rate the intervention against agreed learning outcomes; facilitated group reflection sessions, regular check-ins.
  - ➢ Beneficiary impact – Qualitative interviews and quantitative surveys of new entrepreneurs and SMEs (at post start up and later development stages). Both categories will be readily identifiable to each delivery partner, and communications maintained by each partner and the Project after support has been delivered, 1 to1 and via networking events.
  - ➢ Baseline data – Equality and diversity data, business data (turnover, employees, profit margin, history of business etc) captured at start of intervention.
  - ➢ Impact data (as above) – collected after 12-hour intervention and again 12 months after.
  - ➢ Careful monitoring and questioning to understand the "additionality expectations" in other words to robustly establish what would have happened without the intervention.
- Evaluation stakeholders:
  - ➢ Funders – EU / MHCLG; WECA; Charitable sector; SME beneficiary match funders
  - ➢ Bristol City Council – in its role as the South Bristol SUD Intermediate Body
  - ➢ SMEs and individual client beneficiaries
  - ➢ Local and regional business organisations – WECA Growth Hub, South Bristol Business Group, FSB, Business West, Sector Groups, Cater Business Park Traders Association
  - ➢ Local and Regional VCSE sector support organisations – VOSCUR, Quartet Community Foundation
  - ➢ Local Community Partnerships and Projects – Thriving South Bristol, Hartcliffe & Withywood CP, The Gatehouse / HWV, The Park Centre, Greater Bedminster CP, Knowle West Community in Partnership
  - ➢ Business Schools / Universities with Entrepreneurship and Growth programmes

4. Data requirements

4.1 For schemes fully or part-funded via the Local Growth Fund only

- *Relevant performance indicators will be provided for each scheme when a draft logic model is shared at, or prior to, submission of a Full Business Case for approval.*

It is assumed that the Project will be funded from the WECA Investment Fund rather than the Local Growth Fund. The following data will be captured for individual and business beneficiaries, as is also required for ERDF monitoring, summative assessment and evaluation:

- Name
- Address
- Email
- Telephone
- UTR
- Companies House info
- Equality and diversity data sets
- Business turnover
- Business profit margin
- Business employee number
- Trading history
- Planned investment in growth prior to intervention – in terms of financial investment, job creation, strategic changes etc.

4.2 Data collection methods

- *Provide an overview of the data collection approaches including timing and frequency of data collection.*
- *Describe links with other monitoring activities where relevant.*
- *Where appropriate, provide maps showing the spatial coverage of the data collection.*

(indicative 250 words)

- All data is baselined as part of the enrolment process with the entrepreneur or SME
- Evaluation of workshops and coaching session is undertaken after each session and amendments made on a quarterly basis
- Data is captured from the SME or entrepreneur as part of the output submission e.g. employment opportunities are declared against any newly created employment opportunities.
- Additionality is declared by the SME or entrepreneurs as part of the de minimis state aid check and when undertaking any claimed additional investment.
- All data is captured again from the entrepreneur and SME beneficiaries at the end of the engagement and 12 months post – up to the project closure in Dec 2022.
- BCC will collect further post project data to inform economic impact calculation (ie. job creation, turnover growth, new products/ services development) by survey of SME beneficiaries by survey in Dec 2023 and Dec 2024, in conjunction with partners.

4.3 Data collection and establishing the baseline

• *Refer to the scheme logic model to help structure the baseline data collection and reporting activities.*

Metric (inc. Target)	Unit	Frequency	Data source (& Responsibility)	Baseline date	Reporting to?
Inputs					
Project Management quarterly report	n/a	Quarterly	Steering Committee membership	Quarterly from Jan 2020	ERDF and WECA funding groups
Marketing workshops, events, feedback from community partners etc.	Attendee numbers, referrals etc.	Quarterly	Evaluation from events, marketing report and conversion statistics	Quarterly from Jan 2020	ERDF and WECA funding groups

Entrepreneurship Support
• 145 x 12 hour sessions of support for:
  - 30 x pre-pre start entrepreneurs
  - 20 x private sector entrepreneurs
  - 30 x social enterprise entrepreneurs
  - 65 x young entrepreneurs
• 20 x grants to support start-up costs for businesses defined as pre-pre start
• 12 x grants to support social enterprise entrepreneurs start up their bus
	Completion of 12 hour support programmes	Quarterly	Signed declarations from clients across:
			
			• Registration forms to check eligibility and record beneficiary data
			• De minimis form to check state aid eligibility
			• Completion of support
			• Individual session evaluation
				Quarterly from Jan 2020	Project management and Steering Committee

Established enterprise support
• 163 x 3 hour diagnostics and brokerage sessions
• 142 x 12 hour sessions of support for:
  - 37 x scale up coaching grants
  - 66 x private sector SMEs
  - 23 x social enterprise SMEs
  - 16 x young enterprise SMEs
• 6 x match trading grants to support growth costs of Social Enterprise SMEs
• £78k of SME investment from private sector SMEs
• 17 x new to market products or services
• 35 x new to firm products or services
	Completion of 3 and 12 hour support programmes
	
	£'s of grant and SMEC
		Quarterly	Signed declarations from clients across:
			
			• Registration forms to check eligibility and record beneficiary data
			• De minimis form to check state aid eligibility
			• Completion of support
			• Individual session evaluation
			• Finance docs, invoices, defrayal evidence to demonstrate additional SME investment and grant brokerage.
				Quarterly from Jan 2020	Project management and Steering Committee

Outputs					
e.g. New build – 6774m²	*m²*	*Annual*	*Detailed design plans – Main building contractor*	*June 2016*	*Project governance, Yr1 evaluation report*
1. Individuals coached to be 'enterprise ready' (minimum 12 hours support	Individuals	Quarterly	Delivery Partners quarterly grant claims and consultancy/support contractor reports, including support evidence forms signed by individuals /SMEs	Jan 2020	Project Manager and Consortium Steering Group - quarterly
2. New private or social enterprises registered	SMEs	Quarterly			
3. Enterprises receiving information, diagnostic & brokerage support (min 3 hours)	SMEs	Quarterly			
4. Enterprises receiving advice and support (minimum 12 hours)	SMEs	Quarterly			
5. Enterprises receiving grant only support (with £133,500 SME match contribution)	SMEs	Quarterly			
6. Enterprises developing new to firm products	SMEs	Quarterly			
7. Enterprises developing new to market products	SMEs	Quarterly			

Outcomes and impacts					
e.g. Jobs connected to the intervention – 185 <u>net additional</u> jobs by 2020 (post-delivery), 1,160 net additional indirect jobs by 2025	*# FTEs*	*Annual*	*Direct FTE numbers.* *Estimates of indirect jobs created using economic impact toolkit – Project Manager*	*June 2016*	*Highlight report; Yr1 and Yr3 evaluation report*
Jobs Created or Safeguarded	FTE	Annual	Direct FTE numbers Source: SME beneficiaries via quarterly monitoring, summative assessment and final evaluation report – Project Manager and Evaluation Contractor. Post Project annual monitoring by BCC.	Jan 2020	Highlight report – Yrs 1 and 2; Evaluation report - Yr 3. Post Project monitoring – Yrs 4 and 5
Net Additional GVA	£,000	Annual	Source: SME beneficiaries via annual monitoring, summative assessment and final evaluation report – Project Manager and Evaluation Contractor . Post Project annual monitoring by BCC.	Jan 2020	Highlight report – Yr 2; Evaluation report – Yr 3 Post Project monitoring – Yrs 4 and 5

5. Delivery plan

- *Provide a project plan and timeframe for data collection and reporting of monitoring and evaluation findings (ie. when key activities will take place, including baseline work, interim and final findings).*

(indicative 250 words)

The diagram and table below set out the processes and timeframe for data collection

Diagram boxes (flowchart):

- Demand generation of applicants across all stakeholders and sectors
- Referrals to partners based on relevant support service
- YTKO | KWMC | SSE | Princes Trust | Subcontractor
- Pre-pre-start and bursary
- Pre-start enterprise support
- Private Pre-start | Social Pre-start and bursary | Youth Pre-start
- Existing and new enterprises support – 1:2:1 coaching, workshops, networks etc.
- Private existing enterprise support | Private existing enterprise support | Social existing enterprise support | Youth existing enterprise support
- Construction, food and others | Creative, digital, manufacture and others
- SME grants
- Grant to support investment in kit and services | Grant to support social enterprise growth | Grant to support scale-up leadership support

Side panel boxes:

- Governance and marketing reporting on a quarterly basis
- Pre-start entrepreneur data capture assessed on a quarterly basis
- Post start SME support data capture assessed on a quarterly basis
- Grant and SME investment captured and assessed on a quarterly basis

M&E Activity	Start date	Frequency	Completion date
Baseline data collation – by consortium partners for each delivery package	Jan 2020	Monthly	April 2020
Outputs monitoring – by consortium partners for each delivery package	April 2020	Quarterly	Dec 2022
Impacts monitoring – Jobs/GVA – by consortium partners and third party evaluator	Jobs - April 2020 GVA – Dec 2020	Quarterly Yearly	Dec 2022 (in project) Dec 2023 (post project)
Project governance – consortium meetings	Jan 2020	Quarterly	Dec 2022
Evaluation/ Summative Assessment	March 2022	On-going – Interim report Sept 2022	Final report – Dec 2022
Post Project Monitoring	Jan 2023	Annually	Dec 2024

6. Resourcing and Governance

- *Provide details of the monitoring and evaluation budget, including details of source and what costs/activities this will pay for.*
- *Clarify procedures for risk management and any quality checking.*
- *Describe opportunities for different stakeholders to input into the scheme evaluation process.*
- *Provide a named contact responsible for delivering the plan, including name, address, telephone and email.*
(indicative 250 words)

The monitoring and evaluation activities will be the responsibilities of Bristol City Council however data collection will be disseminated to the delivery partners. The project manager (to be appointed once the project is approved for funding) will hold responsibilities for report collation, quality assurance and managing the summative assessment procurement and delivery. A total project management budget of £218,064 has been allocated to these activities, including £15,000 to procure a third party evaluator. Prior to the appointment of the Project Manager the lead on the programme is: Robin McDowell, City Hall, Bristol, BS1 5TR, robin.mcdowell@bristol.gov.uk.

The South Bristol Enterprise Support project will monitor risk at both Delivery Partner and Project Consortium levels.

The initial risk register will be updated and reviewed at the first Consortium Meeting and risks allocated ownership to individual members. Additional risks will be added at each Consortium Meeting with mitigation and scoring agreed by consensus.

At an operational level risks will be addressed in monthly meetings and any which are deemed high risk will be notified to the Consortium Chair to see if the risk requires an exceptional notification across the Consortium members for approval of mitigation steps. If a risk is low or medium rating then it will be put on the agenda for the next Consortium meeting.

The risk register currently assesses risk against:
- Impact - the disruption which would be caused to the project progress should the risk not be addressed. This is scored out of 10.
- Probability - the likelihood that the risk would happen should the mitigating action not be taken. Again this is scored out of 10.
- Score - the score from the Impact x Probability out of 100.

7. Dissemination

- *Provide details of how the findings from the evaluation will be used. What will the evaluation inform and who will be the audience?*
- *Please provide details of how the findings from the evaluation will be communicated to key stakeholders and lessons disseminated.*

The evaluation and summative assessment will provide important strategic direction for the continuation of an entrepreneurship and enterprise support programme for South Bristol and its wider economic and sectoral development over the period 2023-25.

In terms of dissemination the final report will -

- Be made available through the dedicated project website
- And to a wider audience via links with stakeholders including: the core delivery partners, sector orgainisations, beneficiaries, local, Growth Hub and combined authorities etc.
- Provide a crucial element to any relevant literature or policy reviews taking place over the next three years.

Alongside dissemination it is important to gather endorsement for the project outcomes and evaluation findings. This will primarily be achieved through:

- An endorsement/ showcase/ promotional event to raise awareness of the project and promote the findings for the project
- In conjunction with the project steering group develop ambassador activities to deliver case studies from the project beneficiaries across the key enterprise demographics
- Stakeholder and partner endorsement – the aim would be to work with steering group members to secure endorsement from 100 stakeholders across the region and use the findings and recommendations to bring a consensus around future programmes.

(indicative 250 words)

European Union
European Structural
and Investment Funds

APPENDIX A (ii)
Full Application Form
EUROPEAN STRUCTURAL & INVESTMENT FUNDS
ESIF-Form-2-010

For completion by the Managing Authority[1]	
Project Number	
Date received	
Version number	

1.0 Applicant Details			
1.1 Applicant organisation	Bristol City Council		
1.2 Status of organisation	Local Authority		
1.3 For private sector applicants, what is the size of the enterprise applying for funding?	**Small**		
	Medium		
	Large	x	

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[1] Throughout this document, "Managing Authority" means the European Regional Development Fund Managing Authority (Ministry of Housing, Communities and Local Government), the London Intermediate Body (Greater London Authority) and the European Social Fund Managing Authority (Department for Work and Pensions)

1.4 Company/charity registration number (where applicable)	
1.5 VAT number (where applicable)	139563445
1.6 Applicant address	City Hall
1.7 Applicant address (row 2)	PO Box 3176
1.8 Applicant address (row 3)	College Green
1.9 Town / City	Bristol
1.10 County	Bristol
1.11 Postcode	BS3 9FS
1.12 Main contact	Robin McDowell
1.13 Job Title / Position in the Organisation	Economic Development Team Manager
1.14 Email	robin.mcdowell@bristol.gov.uk
1.15 Telephone Number	0117 922 2931
1.16 Mobile Number (optional)	0782 789 6586

2.0 Project Details	
2.1 Project Name	South Bristol Enterprise Support
2.2 Local Enterprise area(s) covered	West of England
2.3 Reference number of the call you responded to.	OC37R18S 0894
2.4 Name of European Structural & Investment Funds Investment Priority	PA 3 A and C

2.5 Project Description – Fully describe how the project will be delivered. You should avoid overly technical terminology. Your response should be understood by a non-expert. In your response please cover There is no word limit but you are encouraged to keep this description <u>focussed</u> on the activity of the project:

- What the project is, including the specific activities undertaken as part of the project
- Where the project will be delivered
- Over what timescale
- Who will deliver it
- Who will benefit from the project
- What the benefits will be

For capital funded activity, please complete Annex 2(c)

Please refer to organisation names (and job titles if necessary) rather than the actual names of individuals when describing project delivery arrangements and responsibilities.

Please ensure your response addresses each of the listed bullet points. You may use sub-headings in your response if this is helpful.

For ESF projects, please include a high level, end-to-end customer journey document e.g. flow chart as an annex to your application.

The South Bristol Enterprise Support Project ('the Project') will deliver tailored advice, coaching and grants to individuals and businesses across South Bristol; primarily targeting the South Bristol Regeneration Area, including industrial and development sites on the south western periphery (as defined in the South Bristol Sustainable Urban Development (SUD) Strategy).

Bringing together a leading consortium of key partners, with specific understanding of the unique challenges facing the area, the programme will offer a number of solutions to help businesses effectively start-up, grow and deliver economic investment to the South Bristol community.

It should be noted that the capital element of the project has been separated into a parallel ERDF bid between Outline and Full application, following advice from the SUD Committee and MHCLG representatives. Further details of how this will impact the project are provided in sections 2.7 and 2.8.

Strategic Overview:

"The South Bristol Regeneration Area (SBRA) represents 22% of the City of Bristol and 8.8% of the West of England population. It is distinctive in being one of the most disadvantaged areas, yet with great untapped potential, in one of the wealthiest cities in the UK." *Bristol SUD Strategy 2018*

The South Bristol Enterprise Support Project aims to meet several of the strategic aims of the South Bristol SUD Strategy. The project has been tailored to meet these priorities and contribute added value to the ongoing regeneration of the area by:

i)   promoting and enabling increased entrepreneurship and enterprise formation in the SBRA communities through both private and social enterprise models;

ii)   supporting existing businesses and social enterprises, across the wider South Bristol area, who do or will employ SBRA residents, at both early and later development stages, to survive and grow, creating jobs and local supply chains;

iii) offering more specialist advice and financial support to strengthen both new and longer-established sectors of the South Bristol economy, including creative, cultural and film/media, digital manufacturing, software/apps development, and green tech, alongside construction, food service, small-scale manufacturing and engineering.

South Bristol (including the South Bristol Regeneration Area) has received significant investment over the past five years, which is raising the profile and perceptions of the area, and so beginning to change its economic prospects and quality of life. Key examples are the South Bristol Housing Zone (including Bristol City Council and Homes and Community Association investment to build 2,000 new homes at Hengrove Park, Hartcliffe Campus and other sites), new transport infrastructure (including the opening of the South Bristol Link Road and the new Hengrove Park to Cribbs Causeway Metro Bus

route), private corporate investments such as the redevelopments of Ashton Gate stadium, the Imperial Tobacco offices and Bailey Caravans production site) as well as the £12m ERDF co-funded Filwood Green Business Park. In addition, the Bottle Yard Film Studios adjacent to Hengrove Park are planning to expand their operations, with BCC's acquisition of the Kelston Gears site at Hawkfield Business Park, which has potential to be a major driver of new supply opportunities for local businesses in the construction, creative/media and service sectors.

However, this important investment has failed to successfully tackle the "enterprise deficit" in South Bristol and there remains a pressing need to boost local business start-up and growth in the Regeneration Area.

A key priority of the SUD strategy is to build upon the momentum of new housing, transport and economic investment by creating longer-term business start-up support and growth. Although there are a number of important business support services available throughout the city their impact in the SBRA has been limited:

"Bristol has one of the highest business start-up rates of major UK cities - over 4,000 new starts in 2015. However, the number in South Bristol was just 731, the lowest annual rate from 2009 to date. Furthermore, South Bristol has seen a steadily declining share of the City's jobs (18.4%) and the SBRA has just 4.4% of the City total." *Bristol SUD Strategy 2018*

The current structure of the existing business stock across the South Bristol area (4,935 units representing 22% of the City of Bristol total) is very heavily weighted towards SMEs (99% of units) and, within that, towards 'micros' (83.4%) with small businesses making up 14.4% (705 units) and medium-sized 2.2% (105 units).

The SBRA hosts just 25% (1260 units) of South Bristol businesses, and has very similar proportions of micro, small and medium businesses. (Source: UK Business Counts, Nomis, 2019). The sectorial profile, on the other hand, shows up some clear contrasts between South Bristol and the City of Bristol as a whole. A significantly larger proportion of South Bristol businesses are in the industrial and warehousing sectors – 36% (and 52% in the SBRA) compared to 22.3% in the City of Bristol –and a significantly lower proportion in office sectors – 16-18% compared to 29%. (Source: Land and Property Gazeteer, 2019).

The main rationale for this project is that, although a number of important business support services available throughout the city and wider region, their combined operational outreach and impact in South Bristol and the peripheral SBRA appears to have been limited. As evidence, the three Consortium members (YTKO, SSE and The Prince's Trust) involved in city-wide and regional SME programmes have analysed the extent of take-up of both pre and post start-up / early stage support by residents and

businesses based in the SBRA and wider South Bristol area over the 2017-19 period, and revealed a consistent under-representation in the City of Bristol population. In addition, the data from Business West and the new WECA Growth Hub points to the same conclusion. For example, of nearly 200 support enquiries received by the Growth Hub in 2019 to date, only 20 have come from businesses in South Bristol and just 3 from the SBRA.. Of 103 companies across the City of Bristol taking up support from Business West's Scale Up Coaching Grant scheme to date, onl 17 (16%) are from South Bristol, and 3 from the SBRA..

The Project has therefore been developed to meet the need for more locally accessible advice and support and in settings appropriate for would-be entrepreneurs from disadvantaged communities, and also relevant to both the emerging and established sectors of the South Bristol economy, and, in this way, tackle the enterprise deficit identified in the SUD strategy in a more diverse and intensive programme than has been offered previously. It is not just about creating robust start-ups and supporting SMEs to create jobs but also about removing barriers which are undermining the opportunities for entrepreneurs and creating links to communities and under-represented social groups and releasing talent which should form the backbone of a stronger SBRA and wider South Bristol economy in the future.

"Outreach into the SBRA neighbourhoods to raise awareness of individuals and groups and support them to assess their skills and resources, generate and test ideas for viable and sustainable private or social enterprise start-ups (drawing on evaluation and learning from the previous ERDF funded projects in South Bristol)." *Bristol SUD Strategy 2018.*

The Project will aim to engage those disenfranchised, hard to reach, communities into mainstream enterprise support. Working with our Consortium Partners who are already embedded in the SBRA local communities (such as Knowle West Media Centre, School for Social Entrepreneurs, The Prince's Trust and YTKO's OutSet Service) we will aim to build on successful work we've undertaken over the past three years with BAME communities and specialist projects to support female entrepreneurs. Several of the partners currently support over 50% BAME and female entrepreneurs across their services and it will be these sorts of impacts we would aim to achieve within the SBRA. In addition, to optimise support for start-up clients who were previously unemployed JSA claimants, the Project will build on its close working relationship with the New Enterprise Allowance contractor for SW England, People Plus Enterprise, to enable inter-referral of clients, adding value to the customer journey.

"Tailored advice and support for the development of other emergent sectors of the South Bristol economy such as creative, cultural, digital, software, food and drink." *Bristol SUD Strategy 2018*

The main industrial sectors in South Bristol, are: construction and civil engineering (18% of units); retail and wholesale (17%); professional technical and scientific (13%); ICT

including film/media (9%); administrative and support (8%); food service (6%); manufacturing (6%); health (5%). It should also be noted that in the SBRA 25% of businesses are in the construction and civil engineering sector, and slightly lower proportions in the other key sectors. (Source: UK Business Counts, Nomis, 2019). As regards employment, the retail & wholesale and construction & civil engineering, manufacturing and health sectors account for about 50% of the 10,000 jobs in the SBRA (source: Business Register & Employment Survey, 2017).

The South Bristol Enterprise Support Programme offers significant added value in building a service which will offer specific and tailored content for the priority sectors identified in the SUD strategy. Specialist knowledge and experience to deliver credible content around creative, digital, food and drink; alongside strategic priorities such as construction and house building will ensure that our project meets the needs of the SUD strategy.

It will also seek an alignment to regional priorities as set out in the West of England Local Industrial Strategy (published July 2019) with a particular emphasis on Inclusive Growth, Productivity, Cross-Sectoral Innovation and Clean Growth. It will encourage and enable South Bristol businesses to focus on product and service innovation linked to the One City Plan priorities around house-building, new workspace and industrial estate improvement, sustainable transport, low carbon energy, zero waste and circular economy.

The Consortium Partners will also work in an open and collaborative way with other business support agencies and ESIF co-funded projects, and refer business clients, where appropriate, for alternative or additional expert support and funding from other West of England wide projects supporting business growth, including:

- Scale Up Coaching and Scale Up 4 Growth schemes run by Business West and UWE in North Bristol
- Business Acceleration Hubs for Sustainable Technologies and Advanced Engineering & Digital) run by the University of Bath
- Low Carbon Challenge Fund and Green Business Grants run by WECA Growth Hub

Project Activities:

The South Bristol Enterprise Support project brings together a comprehensive service matrix across the needs of the start-up and growth in small and medium enterprises (SMEs) across the area. The project would go live in January 2020 and last for three years with engagement and support delivery focussed on access points within the SBRA, but not excluding individuals and businesses based in the wider area, who have potential to create employment and enterprises benefiting the SBRA.

Focused primarily on a network of existing business sites and community centres across

the SUD area (including Filwood Green Business Park, Cater Business Park, Knowle West Media Centre, Hartcliffe and Withywood Ventures, The Park Opportunity Centre and Hartcliffe Community Farm), the programme would deliver an integrated suite of enterprise coaching and support services, including seed finance in the form of grant schemes aimed at assisting start up and early to later stage growth

The South Bristol area contains some of the most deprived and hard-to-reach communities in the city as well as business and industrial estates under-served by public and commercial business support services. Our support offering has been tailored to the needs of the area – not just in terms of the development lifecycle of entrepreneurs and businesses which are in need of different staged support, but also in terms of the sectorial make-up.

Encompassing the full business formation and growth lifecycle, and promoting both private and social enterprise models, the Project will provide the services which SMEs have told us they need in the area to unlock hitherto unrealised entrepreneurial potential, via consultations (e.g. via the Federation of Small Businesses and South Bristol Business Group). The following diagram illustrates the four major enterprise support aspects.

Pre-pre-start	Identified as support for potential entrepreneurs that need specific coaching to build confidence in their business idea
Pre-start	Support to entrepreneurs that are looking to start a business imminently
Growth	Established businesses in need of support to maintain long-term growth prospects and short-term scale up
Grants	Range of grants to reflect different needs of business sizes and sectorial base

The Consortium Partners offer slightly different models for business start-up support but all have an engaging workshop programme to explore ideas, test markets, understand logistical barriers and build a comprehensive business plan. Supporting these workshops is a programme of 1-2-1 coaching alongside outreach events to build peer to peer support across the South Bristol area.

Likewise, the growth programmes offer tailored coaching to focus on the areas which are

most in need of action. Whether that be finance management, marketing, scale-up needs, access to finance or internal productivity, all these elements can be tailored to the needs of the SME enterprise and their sector – helping to fast-track the benefits of a growing economy in terms of job creation, increased turnover and long-term survival. Again the programmes make use of a number of workshops, 1-2-1 coaching and outreach events.

Consortium Lead	Service Type	Target Beneficiary	Service Details
KWMC	Pre-pre-start	Hard to reach potential entrepreneurs	Intensive support to engage potential entrepreneurs – via 1:2:1 coaching, engagement with hard to reach communities etc. Bursary is available to cover expenses and facilitate attendance.
YTKO	Pre-start (private)	Established entrepreneurs	Introduction to Enterprise workshops, via the OutSet brand, to support entrepreneurs to explore business idea and start trading.
Princes Trust	Pre-start (youth)	Entrepreneurs under the age of 30	Enterprise Programme supports young people to explore their business idea in workshop format.
SSE	Pre-start (social)	Entrepreneurs creating social enterprises	Social enterprise programme supports people to explore their social enterprise idea in workshop format. Bursary is available to cover expenses and facilitate attendance.
KWMC	Growth (private)	Existing enterprises with a sector focus on creative, digital and manufacture	Workshop and 1:2:1 coaching programme aimed at SMEs to develop marketing, finance and business strategy growth. Tailored materials and resources for key sectors.
YTKO	Growth (private)	Existing enterprises with a sector focus on construction and food	Workshop and 1:2:1 coaching programme aimed at SMEs to develop marketing, finance and business strategy growth. Tailored materials and resources for key sectors. Additional capital and revenue grants are available to unlock further SME investment.
Princes Trust	Growth (youth)	Existing enterprises where the owner is under 30	Workshop programme aimed at SMEs (where the business owner is under 30) to develop marketing, finance and business strategy growth.

SSE	Growth (social)	Existing social enterprises	Workshop and 1:2:1 coaching programme aimed at social enterprise SMEs to develop marketing, finance and business strategy growth. Additional grant available defined against turnover increase in SME.
BCC - subcontractor	Growth (pre-scale up)	Existing enterprises demonstrating considerable growth	Grants to support growth issues, such as leadership and governance, for businesses which are not official Scale Ups (20% increase in turnover year-on-year).

Alongside the coaching and enterprise-support a range of grants have been developed to break down financial barriers for entrepreneurs and SME businesses including:

Consortium Partner	Grant Type	Start-up/ Growth	Grant Amount	SME Contribution	Intervention Rate
KWMC	Bursary to cover expenses and start-up costs.	Start-up	20 x £1,000	n/a	100%
SSE	Bursary to cover expenses and start-up costs – only for social enterprises.	Start-up	12 x £1,000	n/a	100%
SSE	Grant tied to turnover increase from social enterprise SME (£15k min. turnover)	Growth	6 x £4,000	n/a	50%
YTKO	Grant tied to SME investment	Growth	Capped at £1,000 per SME	£78,000	15%
BCC - subcontractor	Grant tied to Scale - up only SME investment	Growth	37 x 1,500	£55,500	40%

- Pre-pre start support bursaries - KWMC will deliver micro grant schemes for enterprise start up (without SME contribution). These will be available via a competitive process for a 100% bursary. Twenty 100% bursaries available at £1,000 each. The grant scheme will open in month 6 and close in month 16. The grants are aimed at pre-start up clients.

- Social enterprise bursaries - Grants up to £1,000 will be made to

participants on programmes with SSE. Grants of £1,000 have been shown to be a key ingredient in social enterprise Start Up support, enabling social entrepreneurs to try out an idea and learn from the process. These can be very effective when combined with the wrap around support that SSE Dartington provides. The grants of £4,000 are linked to the Trade Up programme for young social enterprises, which have been trading for at least one year, and with turnover of at least £15,000. These grants are paid to match pound for pound any increase in trading income over the course of the grant period. This way they incentivise social enterprises to increase their trading income and reduce reliance on grant income in the longer term. Like the Start Up grants they are supported by a programme of wrap around support.

- SME growth investment grants – YTKO offers grants to support capital and revenue investment for growing SMEs (£78,000 of total SME investment will draw down grants at an intervention rate of 15%). These grants are available to any South Bristol Regeneration Area SME and will support their investment in growth activities, in addition to the wrap around business support available.

- Scale Up leadership grants – These grants will be available to high-growth, scale-up, SMEs with a specific focus on leadership and management support. When businesses experience accelerated growth the leadership team often experiences structural issues and schemes which offer large grants to facilitate this development have proved impactful in the past – such as the Business West Scale Up Coaching Grant scheme. Unfortunately, there has been limited support for this scheme type in the SBRA and therefore Bristol City Council felt it was an important gap to fill. The exact structure of the grants will be left up to the market to define but there is a working premise of 37 x £1,500 SME contribution at an intervention rate of 40%.

The project has been tailored towards the needs of the sectorial strengths of the SUD strategy in the South Bristol Regeneration Area. Although there will be no specific sector bias for the outputs the project has built a consortium with expertise tailored towards the needs of entrepreneurs and businesses in the area. This expertise includes coaching content, personnel and experience of the priority sectors:

Cross-cutting SME and Entrepreneurial support	
Focus on Construction	In the SUD area, 12.5% of all employees work in construction (compared to 4.8% nationally – Office of National Statistics). In 2018 construction was the largest SME sector of the UK economy and has received little focus despite a number of policy drivers – such as modular housing. YTKO currently delivers an engagement and confidence building programme for the sector called Building Growth SW supported by the West of England Combined Authority. This programme will act as an important gateways for potential referrals into the

	South Bristol Enterprise Support project.
Focus on Food	The Enterprising West of England programme identified that approximately 20% of all start-ups were associated with food and drink. As Bristol aims to become a Sustainable Food City the need to support this sector is becoming a priority and particularly in start-ups where South Bristol has a lower rate in food and drink compared to the rest of Bristol. YTKO has delivered tailored support programmes towards this sector and has developed an extensive ambassador network of food and drink SME business owners.
Focus on Creative	Taken as a whole, the Creative Industries provide about 15,900 jobs in the Bristol and Bath area. The region's creatives are estimated to be 50% more productive than the UK average, and since 1999, there has been a 106% increase in productivity in Creative Industries across Bristol and Bath.' (Bazalgette 2017 p.63)
	From 01/06/2016 - 26/06/2019 KWMC has supported 165 individuals from the South Bristol Regeneration Area with creative and digital technology enterprise development. There is a growing demand for enterprise and growth support from small creative and tech businesses (start-ups and SMEs) as is evidenced by the high demand and over-subscription to the KWMC Network for Creative Enterprise (NfCE) ERDF project and 'Making It' a DCMS tech /employment funded programme.
Focus on Youth	The Princes Trust Enterprise programme helps unemployed young people from a variety of backgrounds, including the hardest to reach, moving them away from joblessness to set up their own businesses – 57% said that one of their primary motivations was to follow their own interests, 29% quoted a need for more flexible working arrangements and 24% of those aged 18-24 noted that they could not secure a job and so it offered an alternative to unemployment.
Focus on Social	Social Enterprise Works (SEW) was commissioned by the West of England Local Enterprise Partnership to provide a baseline of the social enterprises and trading voluntary and community organisations in the West of England LEP area including location, turnover and number of employees. Their survey results suggested 600 social enterprises with turnover of £378 million and 10,000 jobs. Voscur reported that there are over 300 CICs in Bristol and the SUD strategy highlighted the importance of a support service tailored to meet the

	needs of social enterprise.
Focus on Underrepresented Communities	As mentioned, the Project Consortium members are all embedded in the South Bristol Regeneration Area.
	The Prince's Trust has been working with hardest to reach groups in an entrepreneurial setting since 1983, encouraging 80,000 young people in the UK to set up themselves in business when they have faced barriers to other opportunities.
	Knowle West Media Centre works in partnership with YTKO's OutSet service to provide business engagement aimed at BAME and female entrepreneurs from the SBRA. YTKO also manages the Council's Community Gateway Partnership initiative to run events and workshops with local community partners.
	SSE has been based out of the Filwood Green Business Park and most of the partners have run workshops and events to engage businesses across the commercial business parks such as the Bottle Yard Studios.

The Consortium brings together an exciting and collaborative partnership of leading support providers in the South Bristol area. Each partner has experience with previous ERDF programmes in Bristol and has a unique set of resources and expertise in SME business and entrepreneur support:

- Bristol City Council – lead accountable body and manages several sub-contractors as part of the ERDF Enterprising West of England programme (closing December 2019). Output delivery for BCC will be undertaken by a procured sub-contractor.

- YTKO ltd – Currently responsible for the investment readiness and start-up programmes (focusing on hard to reach communities) in the ERDF Enterprising West of England project (closing December 2019).

- Knowle West Media Centre – Delivers a number of enterprise support solutions across a range of key sector-based programmes including creative, media, emanufacturing and digital technologies. Recently delivered the Network 4 Creative Enterprise ERDF project (closing June 2019).

- Princes Trust – Leading young person support organisation and currently works as part of the ERDF Enterprising West of England consortium (closing December 2019) focusing on young entrepreneurs from the hardest to reach communities.

- School for Social Entrepreneurs – Specialist enterprise support agency targeting social enterprises and third sector organisations. Working with ERDF

programmes in the Heart of the South West and West of England.

The partners will undertake the following activities and outputs:

Services / Activities Type	Outputs	BCC	KWMC	YTKO	SSE	PT	Total
Pre start up	P11		30	20	30	65	145
Existing business diagnostic	P13	37	25	60	25	16	163
Existing business growth	C1	37	23	43	23	16	142
Grant only enterprise support	C2	37			6		43
Non-financial enterprise support	C4	37	23	43	23	16	142
New enterprise support	C5		8	5	10	16	39
Private investment match	C6	£55,500		£78,000			£133.5k
Jobs created	C8	37	12	20	12	16	97
New to Market Products	C28		8	5	4		17
New to Firm Products	C29		8	15	12		35

An example of the support service model is included to demonstrate how entrepreneurs and SME businesses will be referred between the partners below based on their requirements of support service:
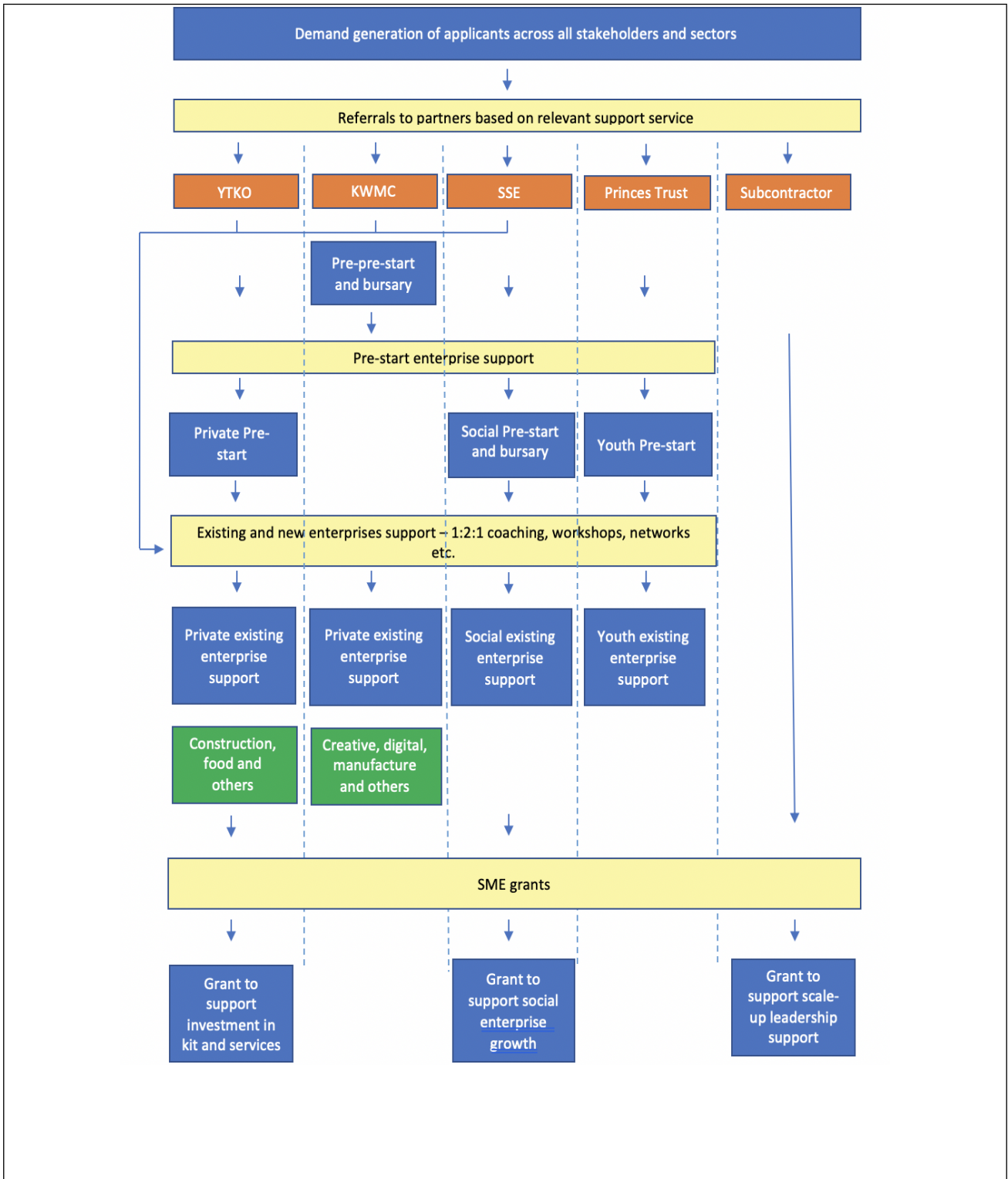
2.6 Will the project involve Delivery Partners? If yes complete 2.6.1	Yes	x	No	

| 2.6.1 Delivery partner name & address including postcode, and their Company / Charity registration number.

(Please refer to organisation names rather than the actual names of individuals)	Role and confirmation that they will defray expenditure (will they provide match funding)	Is an SLA in place and if not when it will be?
YTKO ltd	YTKO will deliver the private sector SME growth outputs – with a focus on construction and foodservice; amongst other sectors.

YTKO will also deliver the start-up support for individuals with an established business idea.

To support these workstreams YTKO has a grant programme available to unlock £78,000 SME financial contribution during the project.

YTKO confirm they will defray expenditure. | SLA has been drafted and will be signed by all partners before start date of project; once Full Application has been approved by SUD Committee and MHLCG. |
| Knowle West Media Centre | KWMC will deliver support for the pre-pre-start entrepreneurs who have yet to define a business idea and require closer coaching to realise an actual business.

Their experience in the South Bristol area and engagement with communities of hard-to-reach-learners, particularly with regards to the creative and digital industries means they are well placed to attract the most disenfranchised of potential entrepreneurs. | SLA has been drafted and will be signed by all partners before start date of project; once Full Application has been approved by SUD Committee and MHLCG. |

	KWMC will also undertake support to existing private sector businesses with a focus on creative arts and digital manufacturing – linking into technology specific businesses using the new Sensor Research and Design Facility. KWMC also have a grant scheme to offer tailored to their support programme. KWMC will contribute £150,000 of capital match to the programme. KWMC confirm they will defray expenditure.	
Princes Trust	The Princes Trust will undertake support for young people (under 30) to start up and grow their business. The Princes Trust will contribute £75,000 of cash private match. The Princes Trust confirm they will defray expenditure.	SLA has been drafted and will be signed by all partners before start date of project; once Full Application has been approved by SUD Committee and MHLCG.
Dartington Hall Trust – School for Social Entrepreneurs	The School for Social Entrepreneurs will undertake support for individuals looking to start up and grow social enterprise businesses. They will also broker a grant scheme for start-up and growth of entrepreneurs and SME businesses.	SLA has been drafted and will be signed by all partners before start date of project; once Full Application has been approved by SUD Committee and MHLCG.

	The SSE will contribute £54,000 of private cash match.	
	The SSE confirm they will defray expenditure.	

2.7 Outline Application Conditions

Explain how you have addressed each of the conditions made at the Outline Application endorsement stage. Add additional rows if necessary

Outline Application Stage Conditions & how they have been met

1 a) Attention is drawn to compliance with Procurement Law and in particular the Public

Contracts Regulations 2015 (http://www.legislation.gov.uk/uksi/2015/102/contents/made):

• Applicants must refer to the Procurement Law ESIF Compliance Note in the development of the full application and in considering/applying their procurement processes (*Useful Links*, above refers);

• The managing authority reserves the right not to take forward the full application if any aspects of procurement are identified as being non-compliant at the full application stage;

• Applicants should note that procurements will be tested in detail in the lifetime of a project and by different independent bodies. In the event of non-compliance an irregularity will be declared and a financial penalty will be imposed in line with EU guidance. This can be up to 100% of the irregular procurement expenditure. The managing authority therefore recommends that applicants seek appropriate legal and/or technical advice to ensure compliance.

How has it been met?

All staff involved in advising on or writing this application have referred to the Procurement Law ESIF Compliance Note, the Public Contracts Regulations 2015 and Bristol City Council (BCC)'s Procurement Rules and Guidance, and created a Procurement Plan (file attached) which has been designed to ensure compliance with each of these according to the services and contract value being procured. Specialist procurement and legal advice has been sought within BCC for the creation of the policy and associated documents. All BCC and Partners' project delivery staff will receive a full induction which includes in depth instruction and training regarding procurement law compliance. Thus the South Bristol Enterprise Support project consortium will procure in accordance with the ESIF national procurement rules, and, in the case of Bristol City Council's procurements, with the Public Contracts Regulation and BCC's own procurement rules. All related documents and transactional evidence will be kept readily available for audit.

1 b) The applicant should prepare and submit with the full application a Procurement Plan. *As a minimum*, this should set out in respect of each procurement to be undertaken:

1. Timescales for each stage of the process;

2. The process being followed;

3. Person responsible for day to day delivery of the procurement;

| 4. | Person responsible for gateway checks at each stage of the process; |

5.   Details of how you will ensure that contracts are procured compliantly – particularly where the procurement is being carried out by a team outside of the proposed project delivery team.

How has it been met?

Our Procurement Plan (file attached) sets out the timescales and gateway checks, the person/people responsible for each procurement proposed under the project and shows the overall approach and processes that will be followed by BCC and each partner to ensure compliance with the ESIF and public contract regulations.

1 c) The applicant must provide all core OJEU procurement documentation to the managing authority as soon as it is available. **Where procurements have already been undertaken**, the applicant should submit all relevant documentation along with a copy of the Procurement Review Form (ESIF-Form-4-005 OJEU Procurement Review Form), this will be provided by your appraiser.

Frameworks
Where an OJEU level contract has been let under a framework, the documentation set in the OJEU Procurement Review form is required along with the following additional documents:

1.   OJEU Contract Notice for the Framework;

2.   Details of the agreed Methodology for awarding contracts from the Framework.

This is not an exhaustive list and the MA may request additional information at any point. The Applicant will be required to retain a full procurement audit trail in line with the ESIF Compliance Procurement Law Guidance Note.

How has it been met?

Bristol City Council has significant experience of conducting compliant OJEU procurements as part of current and previous ERDF projects – such as the Environmental Business and Resource Efficiency (EBRE) advice / support contract as part of the 2017-19 Enterprising West of England project. Where applicable all procurement documentation will be provided to the Managing Authority. A Prior Information Notice has been issued via Contracts Finder but no procurements have been undertaken prior to submission and all future undertakings are detailed in the attached Procurement Plan.

2) The applicant to clarify the basis of the SME contributions arising under the delegated grant scheme to be operated by YTKO Ltd and which are proposed to comprise part of the private sector match funding. The clarifications to set out (a) why no C6 outputs are being generated given these SME contributions, (b) what intervention rate will apply under that grant scheme, (c) the total amount of SME match within the private sector match funding total and (d) how the SME expenditure on "start up and growth related goods and services" to be claimed as SME match funding will meet eligibility rules regarding match funding.

How has it been met?

The YTKO SME contribution model is an established and compliant method of unlocking financial SME investment to support a business growth programme under ERDF. It has formed part of previous ERDF programmes in the West of England, Solent and East Dorset. A customer journey, documentation and delivery pack is attached in the annexes.

The model works by using funded support and business coaching to unlock additional capital and revenue investment by the businesses, alongside a financial grant, which would not have previously taken place without the intervention.

a)   Originally no C6 outputs were claimed as it was previously advised by MHCLG, as part of the Enterprising West of England project, that a C6 prevented a C4 being claimed (though there is no mention of this in the output guidance). As our model includes 12 hours of support to unlock the businesses' investment we were reticent to include the C6 outputs (though subsequently, we have been informed by MHCLG that both outputs are eligible under the model) – we have therefore added them into the outputs for this Full Application.

b)   The intervention rate is set at 15%. In YTKO's previous programme they received a variety of large and small grant applications and as such wanted to ensure that the business undertook the additional expenditure as a result of the grant and wrap around enterprise support on offer.

c)   The total amount of SME Contribution is £78,000.

d)   YTKO has attached a full briefing of their SME contribution model and processes in their annexes. Legal advice has been taken on the structure of this model and has been accepted in a number of previous ERDF regions.

3) Applicant to provide analysis to evidence the proposed enterprise support activities and delegated grant schemes do not duplicate existing provision in the South Bristol regeneration area and are complementary to other ERDF-funded projects.

How has it been met?

Bristol City Council has conducted a full and comprehensive analysis of all funded support in this area of the city to ensure that the South Bristol Enterprise Support programme is meeting a support gap and not duplicating existing provision. Full details are available in question 3.4.

4) Applicant to revise 'Fees' budget to not exceed 12½% of the works budget of £2.1m.

How has it been met?

This is no longer relevant as the fees were connected to the capital workspace element of the Outline Application which is now not part of this Full Application.

5) Applicant to clarify why no C4 outputs are included in the Deliverables Annex and, if some are to be included, the rationale for some C1 outputs being claimed as both C2 and C4 sub-outputs.

How has it been met?
This was an oversight and has been corrected – please see the Output appendices.

6) Applicant to explain why no C6 outputs are being delivered by the project when the delegated grant schemes involve SME contributions and private sector backer contributions as the match portion of those delegated grant schemes.

How has it been met?
As previously mentioned in Q2 a) - originally no C6 outputs were claimed as it was previously advised by MHCLG, as part of the Enterprising West of England project, that a C6 prevented a C4 being claimed (though there is no mention of this in the output guidance). As our model includes 12 hours of support to unlock the businesses' investment we were reticent to include the C6 outputs (though subsequently, MHCLG have confirmed that both are eligible outputs under the model) – we have therefore added them into the outputs for this Full Application.

7) Applicant to justify the use of £150,000 of ERDF to fund the purchase and installation of equipment for the separate 'Sensor Research and Design Factory' project currently being developed by Knowle West Media Centre.

How has it been met?
This was a miscommunication in the Outline Application. ERDF funding is not required for any capital elements of the Sensor Research and Design Factory. This is being funded by a grant to KWMC from BCC under the Open Programmable City Region project which is not already matched to any ERDF project. The capital costs of equipping the new factory have not yet been defrayed but are to be committed as match by KWMC to unlock complementary ERDF revenue funding for technical advice and support services to local entrepreneurs and existing businesses utilising the facility and its ultra-high speed fibre network for research and development of new creative and digitally manufactured products, including sensors for community-based product testing. This model forms the basis of sector-specific support which Knowle West Media Centre intends to offer.

8) Applicant to:
(a) explain why so many delivery partners are required to deliver the project and multiple grant schemes and how the complexity this introduces will be managed; and (b) clarify the key terms of the four delegated grant schemes (YTKO, SSE, KWMC and the procured sub-contractor) proposed to be provided as part of the enterprise support activities, setting out for each the size of the scheme, intervention rate, source and value of match funding, max and min grant sizes and rationale for why a grant scheme is necessary for that segment of the project's enterprise support activities.

How has it been met?

a)   The project brings together a unique set of delivery partners to offer a tailored support package to the SMEs in need of support across the area. Broadly the grant schemes are tailored to different sections of beneficiaries with no overlap. For example, pre-pre start up bursaries vs youth start-up bursaries; private sector growth investment vs scale-up leadership grants. A matrix to illustrate how the grants are different and meet the needs of the enterprise market is included in the answer to Q2.5.

Management of these different contracts will be the responsibility of the subcontractors and eligibility will be checked by Bristol City Council as part of the claim processes. In the Enterprising West of England Scheme there were several different grant schemes available and they all had defined markets in which to operate. We anticipate no difference in the SUD project and the grant schemes will be made available in a clearly defined matrix of support as detailed in Q2.5.

Keeping a clear demand generation gateway of potential clients and clear brokerage to the most relevant support service worked extremely effectively in the Enterprising West of England programme with all partners referring to each other on a regular basis.

b)   SSE – offers a specialised grant scheme for start-up and established social enterprises. The grants range from £1,000 to £4,000 with the £4000 grants being linked to the Trade Up programme for social enterprises, which have been trading for at least one year, and with turnover of at least £15,000. These grants are paid to match pound for pound any increase in trading income over the course of the grant period.

YTKO – offers a private sector grant scheme with focus on unlocking new markets and realising growth. As detailed earlier there is a total of £78,000 SMEC investment, spread across businesses in the growth programme, against a 15% grant rate.

KWMC – will deliver micro grant schemes for enterprise start up (without SME contribution). These will be available via a competitive process for a 100% bursary. Twenty 100% bursaries available at £1,000 each. The grant scheme will open in month 6 and close in month 16. The grants are aimed at pre-start up clients.

Scale Up contractor – all partners are offering grants tied to early-stage development of SME businesses. As such there is a gap in the offering against high-growth, scale-up, SMEs with a specific focus on leadership and management support. When businesses experience accelerated growth the leadership team often experiences structural issues and schemes which offer large grants to facilitate this development have proved impactful in the past – such as the Business West Scale Up Coaching Grant scheme. Unfortunately, there has been practically no support for this scheme type in the SUD area and therefore Bristol City Council felt it was an important gap to fill. Bristol City Council expect to use a model where the SME will contribute investment (approx. 37 x

£1,500 and receive a grant £1,000 – at an intervention rate of 40%).

9) Applicant to provide evidence that there is adequate unmet demand in the South Bristol regeneration area for the proposed enterprise support activities and delegated grant schemes, for the forecast volume of outputs to be achievable.

How has it been met?

The evidence forms part of our response to question 2.10 and 2.11.

10) Applicant to provide a revised table showing allocation of project outputs between Investment Priority 3a and Investment Priority 3c.

How has it been met?

Output table is attached as an annex.

11) Applicant to set out its completed state aid legal analysis and chosen state aid route for each of the project beneficiaries.

How has it been met?

A state aid analysis has been completed - please refer to clause 18 below.

12) (a) who will operate the serviced workspace to be built at Hawkfield Business Park;

(b) whether this organisation is to be procured;

(c) what are the state aid implications of the operator solution chosen; and

(d) what will be the role of any operator and what activities will they undertake.

How has it been met?

The capital workspace development no longer forms part of the Full Application in accordance with the notification sent to the SUD Committee.

13) Applicant to clarify how rental income generated from renting out the industrial units to SME tenants will be treated for ERDF 'Revenue Generation' purposes.

How has it been met?

The capital workspace development no longer forms part of the Full Application in accordance with the notification sent to the SUD Committee.

14) Applicant to demonstrate how resource efficiency will be embedded in the enterprise support offer in line with the call requirements.

How has it been met?

KWMC – Environmental sustainability is one of the key overarching aims of KWMC and is central to a significant proportion of our work and projects as well as being embedded in our wider programme of events and activities. The KWMC building, opened in April 2008 is testament to KWMC's commitment to environmental sustainability. KWMC:The

Factory is located in a BREEAM excellent rated building, Filwood Green Business Park.

Through the enterprise activity we will support SMEs to develop skills and knowledge in improving sustainability through exploring the use of materials, the circular economy, consideration of the full end to end journey of all materials used and low-carbon approaches to enterprise development. For example, by supporting the new businesses to explore processes around managing waste and using sustainable alternatives to acrylic/ply such as bio-plastics within workshops, talks, signage, mentoring.

YTKO – As part of the Enterprising West of England programme YTKO worked closely with a specialist resource efficiency subcontractor – The Planet Mark Start. As part of this work they developed materials on sustainability linked into their start up and growth programmes. Including workshops on branding and sustainability, growing a green business, and resource planning in a resilient and planet-friendly way.

Princes Trust – All young people attending programmes are informed about the requirement to save energy and use resources effectively. In addition to relevant resource efficiency content in coaching sessions we encourage use of public transport & sustainable transport options wherever possible. The Bristol Centre has a Sustrans emergency bike repair kit available for young people to use should they require it and young people are reminded that there are cycle lock-up facilities directly outside the building.

SSE – Many of the social enterprises SSE supports will have primary or secondary environmental objectives. 35% of the enterprises supported between 2017 and 2019 have explicitly environmental aims. As a result, SSE is piloting a new programme, which develops business resilience in the transition to a low carbon economy. Modules from this will be incorporated into future Trade Up programmes.

15) Applicant to supply a copy of their Counter Fraud policy, to include the project's procedures for managing conflicts of interest, which should also set out how any conflicts arising with SME applicants for grants would be managed. The policy should contain as an annex the project's template Conflicts of Interest Register.

How has it been met?

This is attached as an Annex.

16) Clarification C4 and C6 outputs: The applicant should clarify the number of outputs to be claimed as C4, and if C6 outputs will be delivered. The applicant is also encouraged to include the substantiating data that makes reference to (i.e. how data from "other previous projects" – quoted by the applicant- have been extrapolated to derive on the current outputs of this proposal) to understand how the activities have been costed.

How has it been met?

This forms part of the answer for question 6.1.

17) Match funding – governance process stage: The applicant is to clarify how the match funding is being covered (which amount is coming from BCC and which one from WECA) and to present appropriate records of decisions from the two funding sources

indicating amount and conditions where relevant.
How has it been met?
As the Capital workspace element has been removed from the project there will be a reduction in match funding coming from WECA. WECA and Bristol City Council are still committed to providing match funding towards the revenue activity and further details are included in Section 5 and in the financial annex.
18) Clarification of state aid: The applicant to clarify the provision of State Aid as two of the answers of the test are positive and the two remaining answers are a "maybe" in relation to potential distort of competition.
How has it been met?
The project will not distort competition or distort trade between members states. There is no duplication of support services in the region and the service is a response to a market failure of business start-up and growth programmes in the South Bristol Regeneration Area. There is no export element of this local programme and will therefore have no impact on trade. Further details are available in the state aid processes included in the annexes of this bid.
19) Confirmation of Partnership frameworks: The applicant is to clarify that Partnership policy and governance frameworks have been defined in order to set up the consortium. A formal document (i.e. Memorandum of understanding) confirming a clear distribution of responsibilities is expected
How has it been met?
A Memorandum of Understanding has been prepared and discussed between all parties, setting out the expectations of collaboration, and signed by the parties.
20) Equality and Diversity section, and community connectivity: The applicant is to provide the current Equality and Diversity Policy and Strategy of Bristol City Council, and address the question "what will be done to ensure people with disabilities can access the project?" on the application form. It is expected to explain how the community will benefit from this industrial development (i.e. community outreach activities to take place engaging the community).
How has it been met?
The current E&D document is attached as an Annex. The Capital build will now no longer be part of this application however there is a commitment to make all workshops, coaching and events associated with the enterprise support activities accessible to individuals with disabilities including, street access, accessible resources (available before the sessions) additional support in the sessions etc. Please see the full answer in section 12 for more details.
21) Chosen location for the industrial development: The applicant should demonstrate

the reasoning of the chosen location, and, in the case that it is to be next to Bottle Yard Film studios, to demonstrate that is not dependent on this organisation and it stands alone as a new project.

How has it been met?

Again not applicable as the capital build is not part of this application.

22) Longevity of project and decommissioning plan: The applicant needs to demonstrate the longevity of the project after the end of the funding period has been taken into account (i.e. if staff will remain covering for basic functions of the new facilities, which partner will cover their salaries? If SMEs still need support after the end of the project, which partner will be providing it?). Additionally, it is also expected a decommissioning plan in case the project is concluded earlier than anticipated.

How has it been met?

As previously mentioned, the capital build is now no longer part of this bid and therefore the longevity of such a facility is a separate consideration as part of an overall business case.

However, in terms of the enterprise support elements of the project the partners are looking to utilise this important South Bristol focused opportunity to develop an enterprise legacy in the area. At present the average business size in the SUD area is under 10 employees and through delivering a growth and support service the aim is to increase the size of enterprise – creating jobs, increasing investment and building a legacy in the area.

Larger organisations tend to invest in business services on a commercial basis and previous experience with enterprise coaching schemes has shown that this market tends to focus in areas where there is a growing SME base – such as the BNI, Action Coach or Federation of Small Business.

Developing a commercial SME base for enterprise support services is important as it will offer an ongoing revenue stream after the project is completed – in previous ERDF projects we have seen this uptake once a brand, and importantly SME-trust and credibility, has been established.

In terms of funded support the project consortium is in discussions with the Shared Prosperity Fund, West of England Combined Authority and even sector specific funders such as the Construction Industry Training Board to use the SUD programme as a lightening-rod for further investment into the area.

Finally, some of the partners have committed to continue to offer services after the funding has been completed such as Knowle West Media Centre who have established roots in the area. YTKO will offer their growth and start-up programmes online for any

legacy business clients and, working with the Growth Hub, we will be able to direct potential SMEs towards further funded support as it comes into the area.

Decommissioning Plan:

- Final Steering Committee meeting to review progress milestones and enact project closure tasks – including Summative Assessment publishing, final project report etc.

- Event to promote successes of the project to SMEs and partners

- Signposting to alternative support services and funded opportunities via website and social media

- Ongoing links to resources such as The Growth Hub, YTKO's Grow Smart and OutSet Online.

2.8 Any changes since Outline Application
What changes, if any, to your proposal have there been since the submission of your Outline Application? Add additional rows if necessary.

Change & Justification for the change

The major change to the project has been the removal of the main capital workspace element of the programme. However, it is fully the intention of Bristol City Council to continue with development of new light industrial workspace on either the existing Bottle Yard Studios site at Whitchurch Lane or a new site acquired by BCC in Dec 2018 at Hawkfield Business Park.

Justification: The reason for the change was due to feedback we received from the SUD Advisory Committee, via representatives from MHCLG, that they felt the workspace element was not advanced enough to be utilising funding within the first half of 2020. It was deemed too greater a risk for this to be included and that we should proceed with the enterprise support programme on its own. Bristol City Council (BCC) will continue to develop the business case for developing new industrial workspace in the area and work closely with WECA to secure a match funding allocation. This is subject to the outcome of feasibility and design studies being commissioned in September 2019. Bristol City Council intends to submit a new Outline SUD ERDF application for this workspace project, as agreed with MHCLG, by 30 September, and, if supported, submit a full application in March/April 2020. The workspace project will remain strategically linked to the SBES objectives providing 'grow on' space for early stage businesses in a variety of industrial sectors.

Following confirmation from the SUD Committee that a full application would be considered on just the enterprise support elements, the following further queries were raised:

Define the logic and benefits of separate phasing, including the provision of match funding against the two elements.

The separation of the two programme elements obviously allows for greater flexibility of the capital workspace delivery and Bristol City Council feel confident, in the light of findings of the 2018-19 Bristol Employment Land Study in relation to South Bristol that

there is a strong enough business case for ERDF / public intervention to increase the supply of new industrial workspace in the area.

The enterprise support element was always intended to support a number of different workspace facilities in the area, alongside entrepreneurs and SME businesses which remain disenfranchised from any enterprise facilities already in place.

Furthermore, the removal of the capital space allows for a longer period of enterprise support in the project and the prospect of exceeding output targets and generating increased impacts.

Match funding for the enterprise support element will not be affected as a result of the workspace being removed from the programme and discussions are already underway with the West of England Combined Authority to take forward the enterprise support elements of the project.

The Revenue programme picks up on previous work – define whether this continuity is justifiable as a benefit to the prospective companies, or just the delivery team in place?

The programme does facilitate momentum as most of the partners will have ERDF funded projects finishing in 2019. However, it should be noted that this is not just a case of "chasing available funding". The Consortium has been carefully selected to meet the needs of the SUD commission with each offering a service tailored to the needs of the SBRA across social enterprise, pre-start, pre-pre start and specific sector specialisms in the area. Access to finance support, grants and community-based outreach programmes have been included to ensure effective enterprise engagement.

The current plan has the revenue programme ending before capital is delivered – if this was a key element of the original bid, what is the risk or loss of benefit from phasing?

The revised version of the project will have the enterprise support programme lasting the entirety of the three-year delivery window. It is likely the capital workspace (though no longer supported by this ERDF application) would be delivered just after the mid-point of the project around July-Sept 2021 so it is important that the enterprise support programme has significant impact beforehand and added value once the capital project is live.

Working in partnership with existing support infrastructure such as Filwood Green Business Park, Cater Business Park, Knowle West Media Centre, Hartcliffe and Withywood Ventures, The Park Opportunity Centre and Hartcliffe Community Farm the enterprise support programme will reach a much larger range of beneficiaries as opposed to being over reliant on occupiers of the proposed new development.

As the SUD Advisory Committee stated, it is important to de-risk the expenditure and phasing of the programmes so that the service can reach a range of different SME development stages and market /sectorial segments and so support a broader scope of activities. Once the workspace is completed then the established support service can

quickly build engagement in that locality and promote the opportunity to growing businesses to take up the new workspace.

The full bid should adjust the revenue programme for a better fit to the capital timeframe

The enterprise support element was never aligned to fit solely the capital works and, although the two will complement each other, the successful completion of the enterprise support programme is aimed at communities, facilities and groups across the SBRA and businesses across the wider South Bristol area. The project plan, timescales and budgets have been adjusted to reflect the enterprise support only nature of this full application.

Review siting of the capital element to speed the process, as stated before – Hengrove Park has a developed proposal but has not had planning permission agreed

The question of alternative site options for the workspace is now less relevant since the SUD Committee advised that the capital workspace element of the project be removed from the full application. However, BCC has considered the possibility of Hengrove Park, and directly developing the B1 small offices plot there, which forms part of the planning application, instead of light industrial units on the adjacent Bottle Yard Studios site(s). It has rejected this option for three reasons - planning policy will not readily permit B1c light industrial development (our preferred option for workspace) at Hengrove Park; BCC believes there is a reasonably good prospect of attracting a commercial office workspace developer for Hengrove Park; BCC lacks resource capacity in the near future to directly commission a small office development in addition to the Bottle Yard Studios expansion.

Change: The equipment requirements associated the KWMC Sensor R&D Lab, which is integrated with the Project as a new facility accessible to local start up and existing businesses in the creative and digital manufacturing sectors for product development and testing purposes, alongside some increase in the BCC salaries budget, has resulted in an increase in the overall budget from £1.550 m in the Outline to £1.715 m in this Full Application.

Justification: Equipment to the value of £150,000 for the Sensor R&D Lab at KWMC's 'Factory' project based at Filwood Green Business Park, was in fact included in the overall £2.55 m capital costs of the Outline Application (£2.4 m for industrial workspace plus £150k), but has now been transferred in to the Full Application, as the equipment is to be fully financed by KWMC and procured by them in early 2020, and constitutes their private cash match contribution to the Project with the intention of levering ERDF revenue to provide technical advice and support to local entrepreneurs and SMEs using the Lab.

As regards the increase in BCC salary costs, this is of the order of £24,890 and is attributable to changes in BCC pay grades projected for the same project management and support posts for year 2019-20 and the following 2 years from April 2020. There is no increase in the level of staffing resources proposed.

Change: The outputs have been altered slightly to reflect advice from MHCLG regarding

grant schemes and SME investment. The Pre-start outputs have also been slightly decreased and the SME supports increased.

Justification: Guidance from MHCLG helped to ensure that all outputs were logged correctly – for example C2 grants only count if they exceed £1,000. The movement in P11 and C1 outputs was to reflect a better balance between supporting pre-start and existing SMEs in the region. All other outputs have been brought into line to reflect this better-balanced delivery.

Output ref:	Outline Application	Full Application
P11	155	145
P13	105	163
C1	132	142
C2	64	43
C4	0	142
C5	39	39
C6	0	£133,500
C8	109	97
C28	17	17
C29	35	35

Evidence to Support the Proposal

2.9 <u>European Social Fund only</u>. Proposed design: How does the proposed delivery model build on evidence of good practice, and what works most effectively for the target group?

N/A

2.10 <u>European Regional Development Fund only.</u> Need for the project within the market– please describe the market failure(s) that your project will address. Please provide relevant evidence and research to support your case.

"South Bristol has a much lower business density – 50.8 units per 1,000 working age population – than in the City of Bristol as a whole (71.2 units per 1,000 working age population). The regeneration area of Knowle West, Hartcliffe and Withywood, Hengrove and Whitchurch Park has some of the lowest business start-up rates in the region." – *South Bristol SUD Call 2018*

At the end of 2019 there will be a void of funded enterprise support services and nowhere will this be more acutely felt than in the South of Bristol. In our response to Q3.4 we detail some of the support services which are not reaching the most disadvantaged communities in this area of the city. The following map demonstrates the imbalance of businesses in the SUD area compared to the rest of the city.

South Bristol Regen Area Showing LSOA11, MSOA11 and LPG Business Properties SUD Areas and PIWAs
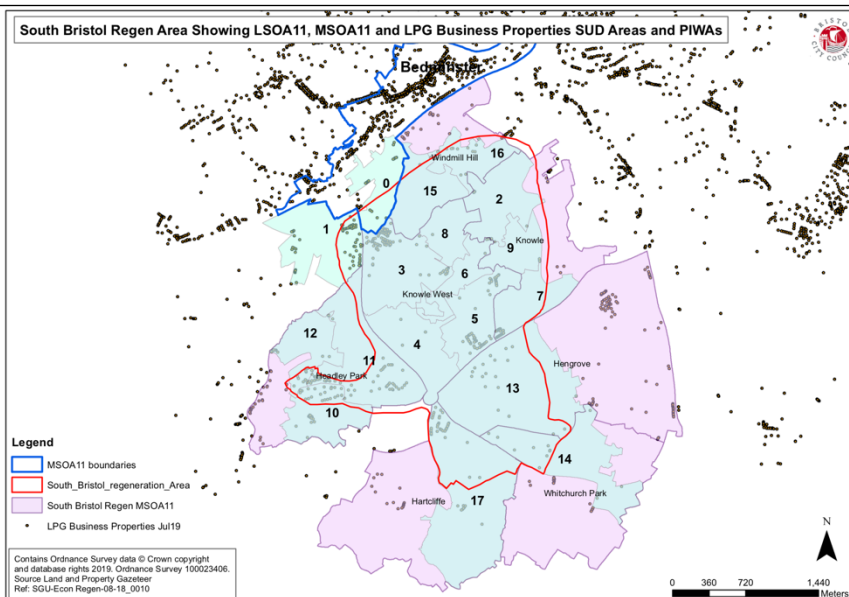
Market Failure:

Social Enterprise Support services start up and growth - SSE Dartington supported 93 social entrepreneurs in Bristol between 2016 and 2019. 21 of these are from South Bristol postcodes. This continuing demand would be unmet as the funding is withdrawn from the area towards the end of the 2019. This is particularly acute towards the SME sector where funded support is so crucial in establishing long-term, sustainable, social enterprises:

"Government statistics identify around 70,000 social enterprises in the UK, contributing £24 billion to the economy and employing nearly a million people. There remains a steady stream of start-ups coming through: many are small, or micro, and selling directly to the general public. One positive of their smaller size is that over a third operate at a neighbourhood or local level, with reach into communities: more than half say they actively involve their community in decision-making. 28% of social enterprises are based in the most deprived communities in the UK and almost eight out of ten (79%) social enterprises recruit over half of their staff locally." - *Social Enterprise UK State of the Sector Report 2017*

Pre-pre-start up – No enterprise support service in the area specialises in pre-pre start support. The reason being is this need has only recently been identified by Knowle West Media Centre, supported by information from YTKO's recent Refugee-support programme, to demonstrate that some candidates find traditional start-up support too challenging. Without an engaged community service these entrepreneurs will continue to fall between the gaps of enterprise support.

Private Start-Up Support – YTKO's OutSet brand is the leading business start-up

service in the West of England and has been working with Bristol City Council for over 10 years. As part of the Enterprising West of England service, over the past three years, OutSet has worked closely with several disenfranchised communities in the SUD area. Without the support of the South Bristol Enterprise Support project there is categorically no funded business start-up service to build sustainable, long-term businesses in the area.

Private Growth Support – YTKO's GetSet for Growth programme has been funded in the area for nearly five years. As a service it specialised in helping sole traders, micro and small businesses – over 97% of all the businesses in Bristol. This support for businesses which are struggling to access new markets, manage financial pressures and improve profitability met a much under-represented market need in the city – other support programmes tend to focus on high-growth, scale-up SMEs. Obviously this service will now be discontinued as it formed part of the ERDF Enterprising West of England offering and will finish in 2019.

Sectorial Growth Support – Although the growth support service will be across all sectors there are going to be tailored resources available for specific sectors:

Construction – There is a recognised construction supply chain crisis in Bristol. With the ONS estimating that the South West of England will experience the second highest sector growth in the whole of the UK, and 27,000 new jobs needed in the next four years, the area is woefully underprepared. In the SBRA 12.5% of all jobs are related to construction which is over 3 times higher when compared to the rest of Bristol.

There is clearly a construction "hotspot" in the area but only 6% of the SMEs in the construction sector would recognise that business growth skills would be beneficial and there is no tailored support for mainstream construction SMEs in the West of England. Without this project the heart of Bristol's construction supply chain is likely to be stagnant just when the city needs it most.

Foodservice – Bristol is well on the way to becoming a Gold Sustainable Food City but there is little in terms of sector-specific enterprise support for the food economy in South Bristol. Enterprising West of England has supported a large number of food businesses to realise sustainable, long-term, growth but this experience and tailored content will be redundant unless a continuation of the support is enabled. Over the past three years YTKO has supported over 1,000 Bristol-based clients and nearly 20% were foodservice businesses but in SUD there is only 5% of employees working in food-related industries.

Creative and Digital Manufacturing – As mentioned above the start-up rate for creative and digital SMEs is very low in the SUD area – just 0.5% of employees work in this sector in the SUD area. Without a tailored support service there is going to be continued underrepresentation of this sector in South Bristol.

Enterprise Support Services in Business Centres - Filwood Green Business Park, Cater Business Park, Knowle West Media Centre, Hartcliffe and Withywood Ventures, The Park Opportunity Centre and Hartcliffe Community Farm are all important elements of

the community landscape across the SUD area but none of them offer a comprehensive enterprise support service.

Grants and access to finance – the availability of grants in the area is tied to specific sectors (such as manufacturing) or stages of growth (scale-up). There are no grants available for small SMEs looking to expand or manage small-scale growth. There are also no grants available for early stage start-up SMEs and this is a particularly important barrier which often prevents businesses taking that important first step to engage a market.

2.11 European Regional Development Fund only. Demand for the project – please set out the demand for the project; what are the demand projections; how have these been identified?

Over the past three years Knowle West Media Centre has supported over 165 unique businesses in the SUD area. YTKO, Princes Trust, amongst other partners in the Enterprising West of England consortium have supported over 1,000 entrepreneurs and enterprises over a similar period of time.

The project has scaled up the outputs to reflect the continuing momentum and additional engagement which will be received as part of the new service offerings (sector specific support, new grant offerings etc.)

It should be noted that in the last twelve months there has been a specific focus of additional support in the SUD area from the Enterprising West of England partnership. There is little sign of demand for the support decreasing in the area and if anything demand is increasing compared to engagement in 2017. As such there is confidence across the project consortium that the outputs and demand expected can be realised and exceeded.

More details are included in Section 6.

2.12 Explain the impact for the project for each of the following: •   If the project did not receive European Structural & Investment Funds   •   If the level of European Structural & Investment Funds was reduced   •   If there was a delay in European Structural & Investment Funds
If the project did not receive funds: The project would not proceed without funding. Although there are several partners with available cash match, such as the Princes Trust, Bristol City Council and the School for Social Entrepreneurs, this match is only available to undertake activities when matched with the ERDF funds.   The impact of the project not proceeding would be an absence of any enterprise support service in South Bristol: -   There would be no support service tailored to disadvantaged communities in Bristol.

- There would be no improvement in the business start-up and survival rate in South Bristol.
- There would be an increase to barriers to achieving the city's ambition to promote inclusive growth of SMEs.
- There would be a lack of sustainability and resource efficiency support for SMEs.
- There would be a breakdown in the available "soft" enterprise support landscape which would undermine the capital expenditure of building new workspace in the SUD area.
- Fewer jobs created in the area.
- Less investment in the area.

If the level of funds were reduced:

Again the project would probably not proceed. At present there is no excess in terms of delivery budget and for many of the partners a reduced operational budget makes little sense for the project to proceed as many partners would be making a financial loss to achieve the outputs.

A potential way ahead would be to reduce the outputs and scope of the project but this would adversely affect the strategic outcomes of the SUD commission.

If there was a delay in the funds:

Team members likely to become unemployed, or economically inactive, for longer periods and exclude themselves from the teams resulting in a loss of momentum, client pipelines and expertise.

Delay in delivering outputs as new teams would be required to be in place and training, engagement, relationship-building with partners would all need to start from scratch.

Recruitment of new teams would also inflate costs as several of existing roles are allocated to part time staff already on the payroll. Should the project not continue then these staff would be made redundant and a smaller recruitment pool available to fill the part time opportunities.

The risk of delaying allocation of funds from MHCLG which was the primary reason that the capital workspace couldn't proceed as part of this full application.

3.0 Strategic Fit

3.1 How does the project still address the strategic domestic priorities, needs / opportunities set out in the call specification at national, local and sub national level?

"A further project is required promoting entrepreneurship support and grants at community level, and designed around the needs of young people, women, black and ethnic minority and disabled people in order to make a greater impact on the low

business start-up and survival rates." **South Bristol SUD Call 2018**

The South Bristol Enterprise Support project brings together a leading consortium of support services to meet the needs of a variety of entrepreneurs and SME businesses. The Princes Trust, YTKO's OutSet brand and Knowle West Media Centre are the recognised experts in reaching these underrepresented sectors in Bristol which is a key strategic aim of the SUD commission.

- Princes Trust: leading charity for engagement of young people in the city. The Prince's Trust has been delivering ERDF programmes in Bristol and around the South West since 2013. Initially this began with the Inspiring Young Entrepreneurs ERDF project 2013-15 which reached over 250 young people from Bristol postcodes. Since 2017, The Trust has been a delivery partner in ERDF Enterprising West of England (EWoE) 2017-2019 where we have reached over 600 young people who are interested in exploring their entrepreneurial ideas, yet who face significant barriers in order to do so.

  It is anticipated that SBES will be a continuation of both these previous ERDF projects where The Trust has targeted recruitment and outreach to unemployed young people aged 18-30 in the most disadvantaged urban communities. By running our programmes in South Bristol hubs we aim to take enterprise into the heart of South Bristol to encourage an entrepreneurial culture and inspire a new generation of self-employment. The Prince's Trust have found that young people from the following key groups are underrepresented in enterprise: educational underachievers, care leavers, the long-term unemployed and offenders/ ex-offenders and will therefore target these groups as part of the project.
- YTKO's OutSet service: leading start-up service, since 2012, specialising in BAME communities and engagement across the city. In the past 12 months the service has supported Syrian Refugees, the BAME Enterprise HUB, Babassa and Black South West Network; amongst others.
- Knowle West Media Centre: currently leads the Women into Digital, Education or Training (WIDJET) programme to support women into enterprise. They are also combining resources with YTKO who have experience through the Enterprising Women scheme.
- SSE - Social enterprise has much to contribute to the target beneficiaries not least in terms of diverse leadership and inclusive employment. 89% of social enterprise leadership teams have a female director, 34% have Black Asian Minority Ethnic representation and 36% have a director with a disability. More than two-thirds are supporting individuals from disadvantaged groups, and more than four in ten employ them.

"The sustainable urban development strategy proposes a focus on products and services in emerging new sectors for South Bristol such as environmental, creative / cultural, information communication and technology / software, off site modular construction, digital and craft manufacturing activities. Such a project could promote social / community enterprise models alongside the standard private enterprise routes." **South Bristol SUD Call 2018**

Again the Consortium offers expertise in sector-specific enterprise support:

The Knowle West Media Centre has launched the Sensor Lab which provides leading facilities to businesses in the digital sector. This capital workspace boasts expert resources to boost the digital and technology sector in the city. There is also The Factory which is driving the digital manufacturing sector in the South of the City.

The Construction Skills Gap Analysis produced by WECA and CITB in 2017 identified that it was a priority to engage SMEs to boost productivity and build capacity for growth in the construction sector. Strategically the focus on craft trades is important and Bristol City Council's housing policy points towards a need to utilise SMEs at all levels of the supply chain and non-volumetric systems (such as SME-led offsite) will hold the solution to the current housing target to build 2,000 new homes a year.

YTKO has just launched the *Building Growth SW* project, in partnership with the Construction Industry Training Board, to help individuals from hard-to-reach communities enter the construction sector. The potential follow-on from this project would be to support start-up and growth activities under the South Bristol Enterprise Support initiative. Combining expertise with the Knowle West Media Centre's *We Can Make* programme would provide an important focus on the growth of construction SME businesses – particularly modular offsite opportunities.

The importance of focusing support on social enterprises cannot be understated. The inclusion of the Schools for Social Entrepreneurs as a core partner means that the programme partners will have the skills and expertise to deliver a strategically aligned offering to help promote social and community enterprise models alongside the private sector.

"Include advice services tailored to specific sectors of the South Bristol economy, and grant funding or equity/loan finance brokerage programmes." **South Bristol SUD Call 2018**

The inclusion of a blended grant scheme is a very important element of the South Bristol Enterprise Support Programme. We have included support to finance business start-ups, private sector growth, scale-up and social enterprise growth. Having different options of finance and investment opportunities meets the strategic requirements of the call.

The West of England Combined Authority is about to launch the draft of the Local Industrial Strategy for the region. The initial indications are that this strategy will provide important political alignment with the programme.

"We recognise that improving management and leadership and investing in staff not only increases the productivity of businesses but also ensures better jobs for employees." **WECA Local Industrial Strategy 2019**

All partners will provide business strategy to drive internal efficiencies, alongside external market growth and sound financial management. Effective leadership and business strategy will be the foundations of the enterprise support offering and all partners have considerable experience in supporting nearly 3,000 businesses to create long-term sustainable and effective growth.

"Achieving clean growth will increase our productivity, boost earning power and help protect the climate and environment upon which we and future generations depend."
WECA Local Industrial Strategy 2019

Although the project is targeted at the strategic direction of Priority Axis 3 activity there is a commitment to achieve low carbon engagement where appropriate. This could be through the engagement of low carbon economy SMEs or delivery of support which is targeted at building resilient and sustainable business practices.

For example, YTKO has worked closely with the consultancy Planet First to drive the engagement of over 365 SMEs to apply low carbon practices and support the development of a sustainable business model and brand.

3.2 How does the project deliver the objectives of the relevant priority axes set out in the Operational Programme?

The South Bristol Enterprise Support project is directly aligned to the Priority Axis 3 for the SUD call:

Targeted outreach, engagement, coaching and mentoring to strengthen entrepreneurial and enterprise culture in the South Bristol regeneration area;

All partners in the South Bristol Enterprise Support project are experienced in delivering award-winning enterprise support services across both start-up and business growth. Perhaps the most important aspect of the Consortium, however, is the ability to bring together stakeholders from a wide variety of communities and networks to facilitate engagement with the South Bristol regeneration area.

Provision of advice and support for entrepreneurship and self-employment in particular amongst under-represented groups by developing entrepreneurial skills and attitudes with a focus on increasing the number of business start-ups;

As mentioned above the Consortium brings together an unrivalled network of outreach, particularly in the under-represented groups. YTKO's OutSet service and Knowle West Media Centre have been working together for over six years in the area to engage hard to reach communities. This work has resulted in nearly 50% of all supported entrepreneurs being from BAME backgrounds and nearly 60% being women. These important pathways led to the formation of the Community Pathways initiative to broker funding to smaller community groups in the Bristol region.

The Prince's Trust has been working with hardest to reach groups in an entrepreneurial setting since 1983, encouraging 80,000 young people in the UK to set up themselves in business when they have faced barriers to other opportunities.

In 2016/17, 343 young people with Bristol postcodes participated on the Prince's Trust Enterprise programme, which consisted of a four day workshop and mentoring. 17% went on to set themselves up as registered businesses. Out of these participations, 41% of the young people were economically inactive before the programme and 19% were from minority ethnic backgrounds.

In a further breakdown from these 343 young people: 27% regarded themselves as having a disability, 8% were ex-offenders or had an offending background, 8% were Looked After/Care Leavers, 3.7 % were single parents and 1 % were classified as Refugees or Asylum Seekers. 26 % of these young people had mental health issues, 11% were homeless or had insecure housing and 4% had substance misuse issues.

Provision of advice and support for new business and social enterprise start-ups to survive and grow, including grants or seed finance for start-up;

Both the services offered by School for Social Entrepreneurs and Knowle West Media Centre include grant schemes for start-up businesses. These seed finance schemes are very popular and can remove many financial barriers to undertaking early stage business start-up. YTKO is also a UK Government Start Up Loan Scheme provider and can offer business loans to start-up schemes which are deemed too risky for mainstream business finance.

Provision of land and premises for employment sites, including incubation space, managed workspace, or grow-on space;

Although the project won't be directly tied to a capital development for new incubation or workspace there is a commitment from Bristol City Council that the initially proposed capital build will continue in parallel with this support programme. The support service programme has extensive links with several commercial business hubs in the area including Filwood Green Business Park, Cater Business Park, Knowle West Media Centre, Hartcliffe and Withywood Ventures, The Park Opportunity Centre and Hartcliffe Community Farm.

Increasing growth capability in small and medium sized enterprises by improving access to business support services and finance, including grants for productive investment, and investor readiness initiatives;

The growth support elements of the programme will be aimed exclusively at SMEs to develop the three elements of robust business strategy, sound financial management and accessing new markets to accelerate growth. The majority of support will be aimed at existing SMEs which are looking to provide long-term, sustainable growth, but there will also be offerings for **scale-up** SMEs looking to grow rapidly and realise potentially lucrative exit strategies. These businesses will need specific support around leadership

elements such as recruitment, people management and governance structure.

Provision of advice to develop new business models or higher quality products, processes or services tailored to existing or emergent sectors of the South Bristol economy, including manufacturing, engineering, construction, creative, information communication and technology / digital, environmental technology and services, food and drink;

Knowle West Media Centre are experienced in delivering expert enterprise support for ICT, creative and manufacturing. The *We Can Make, Sensor Lab* and *WIDJET* projects, amongst others, are leading SME support in the South Bristol Economy. YTKO delivers the only construction-focused enterprise support service in the region. The *Building Growth SW* project will run alongside the South Bristol Enterprise Support project to provide considerable added value in building engagement with local communities and generating impact with the local construction supply chain. YTKO are also committed to building on their existing food and drink business coaching materials to develop a focused programme of support as part of this project. All programmes will have tailored support materials, expert coaches, peer to peer networks and workshops to build credible and attractive support in these sectorial spaces.

Advice and support for businesses and social enterprises to implement productivity improvements including through the provision of resource efficiency advice;

Each partner in the project consortium offers a variety of resource efficiency support. Particularly tied to the "resilience" for growth, inefficient resource management can lead to dropping profit margins. Tackling waste, diagnostics on productivity, coaching to find alternatives to limited resources and limiting environmental impacts are all crucial elements of the programme.

Provision of advice, consultancy support, mentoring, peer to peer support, and support for collaborative projects within a key sector, or linking sectors or clusters within the South Bristol economy, including shared facilities or co-production;

Although new capital workspace isn't included in this project the Consortium is already engaged in a network of workspaces in the area and developing clusters with SMEs who are looking for workshop or creative spaces in the SBRA.

Cohesion and complementarity with existing business support, international trade and export activities and manufacturing advisory services in the West of England local enterprise partnership area.

The Consortium already has links with Export for Growth and the Department of International Trade programmes, which are both run by Business West who are keen to work with the programme as part of the Enterprising West of England legacy. There are also discussions underway with YTKO and WECA to ensure that any future enterprise scheme supported by the combined authority works in partnership with this SUD commission. There is also engagement with the SWMAS (based in North Somerset) to make sure that grants and enterprise support works cohesively. Referral of clients is

already taking place to best suit the needs of the SME.
3.3 Describe the medium to long-term results/impacts that the project will deliver.

Medium impacts:

The outputs of the project will support 145 entrepreneurs and 142 SME businesses, creating 39 new businesses and 97 new jobs. Alongside this activity the project will broker £133,500 of additional growth and start-up related investment in South Bristol businesses.

These impacts will lead to economic growth in the area. The new businesses and fast-growing SMEs will create job opportunities, while others will safeguard employment through coaching to stabilise their business over the longer-term.

The engagement with the hard to reach groups is important as it will help to target the most economically inactive in the community. Carers, young people not in employment education or training, long-term unemployed all engage well with enterprise schemes which can provide important savings to the public purse.

An independent report from NEF Consulting in March 2015 found that a much higher proportion of unemployed or economically inactive clients enter enterprise (49%) following support relative to national baselines (11%). NEF also reported that clients who remain unemployed after engaging with this type of service (36%) is significantly lower than the national baseline (74%). When the social and economic value to clients, the State and the wider economy are taken into account, NEF conservatively calculated that a leading enterprise service generates approximately £4.12 for every £1 spent.

Long-term impacts:

In the longer-term employment opportunities would continue to increase and investment would be generated by continued growth of local businesses. Based on similar enterprise programmes we have seen additional jobs created as a result of our intervention and continued business investment in capital and revenue services – in some cases this can be as much as a 100% increase on outputs post-project.

The increase in economic development activity would also improve the business case to unlock further commercial workspace construction. These impacts will lead to increased prosperity in the area, more housing, placemaking infrastructure (like community facilities, transport links, community centres etc.)

The project supports local people, who in-turn employ local people and contribute to the business economy in South Bristol. This commitment will create business value by contributing to a culture of responsibility, improving employee engagement and building trust and credibility with external stakeholders, including local government and private investors. These relationships will provide entrepreneurs with crucial information about emerging regulatory trends, market forces and other external influencers that help businesses to prosper.

3.4 Has the applicant identified any organisations offering the same or similar activity? Explain how the proposed project adds value to and doesn't duplicate this, and does not conflict with national policy?

As part of preparing this Full Application we have conducted a comprehensive analysis of the support currently available in the West of England region and any likely duplication with the South Bristol Enterprise Support programme:

- The Enterprising West of England Scheme, funded by ERDF, will finish in 2019 and at present there are no plans for it to be continued.

- Network 4 Creative Enterprise Scheme run by Knowle West Media Centre will finish in 2019 and will not be continued.

- Social Enterprise and Innovation Programme – Currently delivered by the School for Social Entrepreneurs and finishes end of 2019

- The WECA Growth Hub currently offers an initial level of support and diagnostic advice with businesses. However, as there is no ERDF funding this function is not at all comprehensive and is predominantly conducted over the phone or in short "drop-in surgeries". The role of the Growth Hub is to act as a gateway to further support providers and the Consortium has a good relationship with the Hub which results in regular referrals.

- SWMAS currently has several funded support programmes on offer. These are tied to the manufacturing sector and predominantly grant based. However, the support offering is mainly focused on North Somerset as much of their funding is tied to the development of Hinkely Point C.

- Export for Growth is a project run by Business West (with some ERDF funding) to help support SMEs to trial export. Over the past three years several of the South Bristol Enterprise Support partners have referred businesses to this service but they are predominantly the larger SMEs with great expectation to grow. As such the only potential overlap would exist in the scale-up support offering and should the business be keen to explore exporting (rather than more strategic enterprise support) then they would be referred to this service.

- Scale Up Coaching Grants is an ERDF grant scheme run by Business West in Bristol. Again, this programme is aimed at large SMEs looking to undertake large-scale tailored enterprise support in mainstream business networks – such as Engineshed or the NatWest Accelerator Hub. Our programme would be primarily aimed at accessing the hard to reach communities and supporting sole traders, pre-starts, microbusinesses and small SMEs.

- The West of England Combined Authority has recently released a low carbon grant scheme to support purchase of capital elements to reduce an SME's carbon footprint. Obviously these grants are tied to low carbon capital

investment rather than enterprise support and therefore don't really overlap with the proposed activity.

-        Future Bright is another WECA programme to support individuals on benefits to improve their skills and access higher-paid employment opportunities and receive grants to overcome these employment barriers. The programme is aimed at employed individuals and any candidates which want to explore entrepreneurship have been referred to the partners in the project consortium – YTKO was recently awarded a prize for being a leading network partner with Future Bright.

-        The University of West of England has a number of ERDF-backed programmes including: Future Space, Launch Space and Scale UP coaching grants. Most of these activities are tied to their campus in South Gloucester so there is an obvious geographic gap.

-        Engine Shed Two is being built next to the Temple Meads Enterprise Zone and elements of this development (partnership between Bristol University and Bristol City Council) will influence the South Bristol area. However, the development is an almost entirely capital and workspace project with little engagement towards SMEs.

-        The BAME Enterprise Hub, headed up by Black South West Network, is developing a start-up and enterprise support service in East Bristol. Again the Consortium will provide support where applicable but the geographic gap should prevent any overlap or duplication.

-        Community Innovation Fund is a loan scheme, rather than grant scheme, delivered by SSE.

-        The One City Funds are a philanthropic collaboration with the City Mayor's Fund to broker funding into socially advantageous schemes. These funds will be tied to loans (rather than grants) and the South Bristol Enterprise Support Consortium works closely with the governance processes (including representation on the funding decision committees) to ensure that no duplication occurs.

-        Power to Change has several community business grants available but nearly all of them will be unavailable within the ERDF funding window.

-        The City Leap is a major financial investment vehicle to procure a large energy provider to invest in Bristol's energy infrastructure. There are elements of the programme which will include support for SMEs but this is likely to form a capital-based low carbon based programme rather than traditional enterprise support.

-        There is a new Food Business Incubator in North Somerset but this is

again out of area and an existing relationship is already in place to exchange clients (according to location) and build on lessons learnt.

-        Building Growth SW is a CITB funded skills and training programme to help individuals explore a career in construction. Any sole traders identified in the programme will be referred into the SUD commission – pending location.

-        ESF projects – there are a number of skills related ESF programmes in the process of being launched by WECA. Many of these schemes are tied to disadvantaged communities and hard to reach learners and any relevant referral pathways will be utilised to improve the customer journey and quality of service.

-        Digital and technology investment – there are also several sector specific investment funds from WECA which will provide important capital grants to innovative SMEs. However, nearly all these are tied to further or higher education institutes and looking at quite niche areas – like quantum technology.

A particular strength of having an extensive and established Consortium of leading stakeholders is the ability to work closely with other support offerings as they come online in the area. As part of the project Consortium Meetings there will be a standing risk to look at duplicating support with other providers in the area. This risk will be updated, assessed and mitigated as part of the ongoing project governance. A key element of this will be to ensure that every entrepreneur and SME has the most appropriate support service available to them at any given time.

4.0 Project timetable		
4.1 Start date (date from which eligible expenditure will be incurred)	01/01/2020	
4.2 Financial completion date (date by which eligible costs will have been defrayed (European Social Fund – contractual completion date)	31/03/2023	
4.3 Practical completion date (date by which all outputs will be achieved. European Regional Development Fund only)	31/12/2022	
4.4 Activity end date (date by which all the activities described in the funding agreement will be completed)	31/12/2022	
4.5 Other milestones - complete the schedule below with detailed project delivery dates as relevant for the implementation, on-going development and delivery of the project.		
Milestone	**Start date**	**Completion date**
Assignment of skeleton delivery team	Jan 2020	Feb 2020
Agree and sign SLAs with partners	Jan 2020	Feb 2020
Procurement of partner services and resources – see procurement plans attached	Feb 2020	For the lifetime of the contract
Recruitment and induction of full delivery team	Feb 2020	Mar 2020

Draft procurement documents for Scale-up support service	Mar 2020	Apr 2020
Guidance, equality and diversity, sustainability training	Mar 2020	Apr 2020
Tender and procurement of Scale-up support service	Apr 2020	Jun 2020
Planning and launch activities	Apr 2020	May 2020
Create marketing strategy and confirm year one of the project delivery plan	Jan 2020	Mar 2020
Demand generation in partnership with engagement networks and partners	Feb 2020	For the lifetime of the contract
Community outreach/engagement	Feb 2020	For the lifetime of the contract
Partner and contract meetings	Monthly from January 2020	For the lifetime of the contract
1:1 coaching and workshops – start-up and growth including diagnostics and in-depth support	Apr 2020	For the lifetime of the contract
Financial claims and data returns to MHCLG	Quarterly from March 2020	For the lifetime of the contract
Narrative progress report	Quarterly from March 2020	For the lifetime of the contract
Baseline and output data input and analysis	Quarterly from March 2020	For the lifetime of the contract
Consortium meeting	Quarterly from March 2020	For the lifetime of the contract
Write summative assessment brief	Oct 2021	Dec 2021
Tender for and procure evaluator	Jan 2022	Mar 2022
Initial meeting with evaluator	Apr 2022	Apr 2022
Carry out evaluation	May 2022	Sept 2022
Publish summative assessment	Oct 2022	Nov 2022
Final report and claim	Dec 2022	Dec 2022
4.6 Please provide any necessary commentary on the milestones above including any dependencies. n/a		

5.0 Costs and Funding This is an overview. Costs by LEP area are required within the financial annex, if applicable.						
		ESIF (a)	Public	Private	Total (d)	ESIF

		(£)	Match (b) (£)	Match (c) (£)	(£)	Contribution rate (%) (a)/(d)x100
	ERDF capital	189,000		189,000	378,000	
	ERDF revenue	668,530	482,530	186,000	1,337,060	
Sub Total	ERDF	857,530	482,530	375,000	1,715,060	50%
Sub Total	ESF					
Sub Total	YEI					
TOTAL		**857,530**	**482,530**	**375,000**	**1,715,060**	**50%**

5.1 Please provide a breakdown of the sources of funding and detail as to whether or not they are secured and if not when they will be.		
Name of match funder	**Status (inc. date if not yet secured)**	**Type cash or in-kind**
Knowle West Media Centre - £150,000 capital	Secured	Cash
Bristol City Council - £55,500 SMEC match	Not yet secured – will form part of the programme	Cash (SME contribution)
West of England CA - £482,530 public match	Application due 25/09/19. Decision on 6th Dec 2019	Cash
YTKO - £78,000 SMEC match	Not yet secured – will form part of the programme	Cash (SME contribution)
The Prince's Trust - £37,500 cash match	Secured	Cash
Dartington Hall Trust / SSE - £54,000 cash match	Secured	Cash

5.2 Please confirm that you have submitted a very detailed, granular budget breakdown.	Yes	X

5.3 For each line item (not cost category) provide the justification for its inclusion i.e. relevance to the project and the assumptions / research undertaken to come to the figures. For salary costs, please indicate any job role not 100% funded by the project and provide evidence of the hourly rate using the simplified cost methodology.

For all partners, costs have been estimated based on many years of experience of similar projects across regions including: Cornwall, Devon and Somerset, Bristol and Swindon.

All resources, and therefore costs, are modelled on the resources, capacities, and conversion rates achieved in these projects. This provides a very high level of certainty in the forecasting of outputs and outcomes, and in the level and skills of the staff

required, and in the amount and impact of the demand generation needed to achieve the 'pipeline' of prospective clients.

Salaries and local costs such as offices are 100% dedicated to this project are based on many years of operations in the region. We have a high degree of certainty regarding all identified costs.

As in all cost estimates made for the entire project, the assumptions are based on three variables: many years' experience in delivering similar services in the area; intimate knowledge of local and national markets and suppliers, including up-to-date prices and availabilities; and a database of results (outcomes, impact and other performance indicators) from the implementation of a range of services and supplies. Therefore, the partners have extremely high confidence in the availability of the right goods and/or services, the suitability to meet the objectives, and the cost effectiveness resulting from the implementation of the purchased goods and services.

Budget breakdown for this programme is based on the specific requirements needed to ensure effective delivery, especially as its targeted towards deprived, disadvantaged and often economically inactive or unemployed communities. In many cases, support activities have to start at a level of personal confidence, developing skills and abilities that enable the beneficiary to start considering enterprise as a pathway towards sustained employment and business growth. As a result, one-to-one coaching and small seminars/workshops are an essential component in the success of the support delivery model. This requires investment in high-quality staff, with as much face-to-face interaction as possible.

As a result, 60% of the total project budget is allocated to staff. 12% is for face to face client consultant time. 4% of the budget is provided for marketing, including online marketing, reflecting the existing connections and community engagement of the partners which will enable low-cost outreach and demand generation. 1% of the budget covers office and information technology costs, and only 1% for rents rates and utilities. The remaining is based on a flat rate of 22% of the salaries, travel and session costs.

5.4 Please indicate which simplified cost option you are proposing to use for indirect costs.

15%	X	25% ERDF only		40% ESF only		None	

5.4.1 If you have ticked 25% (ERDF only) please provide a detailed justification in line with the eligibility rules.

5.5 Please advise whether or not the project budget includes any VAT you cannot

recover from HMRC (recoverable VAT). Note we may need confirmation of this by way of a letter from the applicant's finance department.

Project does include VAT which will be irrecoverable from HMRC and a letter is attached.

5.6 If irrecoverable VAT will be claimed, please describe how this is captured through the claims procedure and how your financial processes will ensure that it is not being claimed as part of the normal VAT return.

Bristol City Council, as lead accountable body, runs a sophisticated accounting system for ERDF projects in which all project expenditure is flagged as being irrecoverable as regards VAT. The nominal ledger therefore includes all expenditures as inclusive of VAT, and a checks and balances system ensures that none of these items can be included within the regular VAT returns, for VAT reclaims. Additionally, each project is balanced against claim totals and payment totals, which again include VAT at the prevailing 20% rate. Any totals not balancing are referred to the financial controller for immediate action.

5.7 If the project covers more than one Local Enterprise Partnership area or more than one Category of region, explain how the costs have been shared between areas.

N/A

5.8 Have you or will you incur any at risk costs since your notification letter, which you intend to include in an ESF / ERDF grant claim? If yes, how much and on what?

N/A

5.9 <u>European Regional Development Fund only</u> - Will you project generate any income? If yes, please provide details of how and complete annex 2b on revenue generating projects.	Yes		No	X

6.0 Outputs and Results (Results are ESF only)

6.1 Please explain in detail how you have estimated each of the outputs and results for your project, demonstrating clearly how each of the proposed outputs and results directly links to your specific project activities and objectives.

The ERDF and ESF Indicator Annex Tables for Full Applications can both be found here on GOV.UK.

The project outputs are based on extensive experience across the partners who have all delivered similar programmes in the past in the SUD area and across the wider LEP areas.

145 x P11 (split between pre-pre-start and private and social enterprise pre-start)
The 30 pre-pre-start P11s reflect the work that Knowle West Media Centre are

conducting in the SUD communities to engage the most disenfranchised individuals who will require intense support to realise a business ambition. As these outputs represent perhaps the most significant investment of time, in terms of quantity of output, we kept the number relatively low, but yet still an important number considered this is a new format of start-up support.

The 85 private pre-start supports demonstrate the strength and experience of delivering pre-start work in the region from partners such as YTKO's OutSet service and the Princes Trust. This will form the majority of the start-up support.

The 30 additional social enterprise pre-start supports will offer important opportunities to explore ideas within the third sector community of the South Bristol.

Together the 145 x P11s offer 14% of the start-up support available in the Enterprising West of England contract – the easiest to compare as it contained many of the same partners and offered a similar support across the entire West of England region. Obviously compared to the SUD area this equates to a similar proportion of potential enterprises and provides an improved value for money proposition as it builds on existing momentum.

163 x P13 and 142 x C1 (split between private and social sector SMEs)
The throughput from P13 to C1 is very high (in other projects it is around 50% P13 to C1) but we have found through experiences with previous ERDF programmes in the region that nearly all businesses want to utilise the support once they have been properly taken through the diagnostic phase. As such we are using our experience to reduce the number of P13s so as not to create an unmet, and frustrated, client base.

The split between social enterprise and private sector again reflects the SUD commission briefing with just under 25% being in the social enterprise sector.

43 x C2, 142 x C4, £133,500 x C6 and 39 x C5
The split of grant, non-grant and new enterprise support is based on the lessons learnt from previous ERDF programmes in the region.

The 43 x C2 grant supports currently sit under the subcontractor and SSE delivery models. As mentioned before there are a number of grant schemes in the project but these aren't displacing the 12-hour supports while the subcontractor will be brokering grants for SMEs to find their own specific enterprise supports to help with their scale-up journey. This type of grant model is extremely popular in other ERDF programmes however, the relatively low number here (43 compared to 150 in EWOE) demonstrates that the demand in the SUD area is expected to be low.

The 142 x C4s follows on from the P13 diagnostic engagement and will be the most popular form of SME enterprise support. We expect nearly half of these SMEs to be new enterprises as a result of the 145 pre-start programmes which we will undertake.

97 x C8

At present the job creation target is a result of learnings from previous metrics we have recorded in other ERDF programmes. In the Enterprising West of England project we supported a total of 521 businesses with a target to create 232 jobs. However, this (approximate) 2:1 ratio was exceeded and therefore we have an expectation to create a much higher rate of C8s compared to C1s (3:2). Furthermore, we are supporting a large number of new enterprises and entrepreneurs (EWOE was predominantly a growth programme) and therefore expect the number of sole-traders created to be high.

17 x C28 and 35 x C29
It is important to realise the innovation in the SUD area. We expect a number of the organisation to be linked to innovation of materials and services in manufacturing, food, digital and construction. With focus on these growing sectors, and tailored support, we would expect to see a good number of new to the market products. Furthermore, targeting the most in-need sectors, with traditionally inefficient internal processes, leaves lots of opportunities to create new to the business products or solutions.

6.2 Please explain your approach for forecasting each deliverable; including the specific base-lining/research you have undertaken to ensure your projected profiles are realistic and achievable and any assumptions which impact on your forecasts.

The outputs were influenced by a number of ERDF programmes which had delivered similar projects in the region. Enterprising West of England, Network 4 Creative Enterprise, Social Enterprise and Innovation, and Scale Up Business Coaching Grants have all been in the West of England over the past five years and present a useful bank of information to help create a baseline for the outputs.

Combining this baseline with macro-economic data on the SUD area we were able to create a model which factored in outreach and demand generation activities to give us a realistic approach to output generation.

Compared to other programmes in the region we have:
- almost doubled the number of job conversions (44% to 82%)
- increased the rate of enterprise creation (15% to 25%) which is more aligned to national averages
- increased the conversion rate of P13s to C1s (33% to 84%)
- provided a more realistic number of C28s against C29s (in the past this was a flat rate)
- Reduced the demand generation rate as there are better conversion factors – more aligned to support and outreach programmes rather than generic growth support.

In terms of profiling outputs we have assumed a usual S-Curve where the launch of the programme will build steady efficiencies and a ramp down towards the project close. However, should the timescales of the project be realised we will have a shallower S-Curve as the project will capture momentum from previous activities in the area.

7.0 Project Management and Governance

7.1 Fully describe the project management and control systems that will be established for the project, demonstrating that the project (including any delivery partners) has the appropriate capacity to meet the requirements of European Structural & Investment Funds.

For ESF Only – Please also include an explanation on how your project will deal with suspected fraud, in line with published ESF Anti-Fraud guidance. This includes providing a statement on how you will deal with suspected fraud in your organisation and if appropriate, with your sub-contractors.

The project will follow an established methodology placing the delivery partners and beneficiaries at the heart of the governance. In order to maintain a responsive project we would utilise two levels of project management.

Project Consortium: This strategic group would consist of the Core Delivery Partners and Lead Accountable Body – Bristol City Council, YTKO, Princes Trust, Knowle West Media Centre and the School for Social Entrepreneurs. At a later date the Consortium would add representation from the beneficiary SMEs across all the service options.

The Consortium Group will be responsible for managing the project, maintaining KPIs, assessing and owning risks, approval of project reports, strategic policy engagement and supporting the evaluation process. The Steering Group would meet quarterly and be hosted at each of the members alternatively.

Delivery Partners: This operationally focused group would have monthly meetings with the Lead Accountable Body to discuss progress and respond to issues. All relevant subcontractors would also be invited to the meetings. The Delivery Partners will take responsibility for day to day activity such as demand generation, support delivery, communications delivery, updating risk etc.

Issues and risks which are raised by the Partners will be escalated to the Consortium Group if they are not deemed time critical.

Reporting: The Project Consortium will review the project progress with updates from each partner – any relevant delivery contractors will provide updates prior to the Consortium meeting. The Project Consortium will also review the combined claim documentation to monitor output progress, marketing activity, risks and pipeline generation. They will also disseminate best practice and changes to guidance as applicable.

Wider Partnership: This broader stakeholder group currently accounts for local outreach partners, larger employers and promotion partners. Throughout the programme we would build this group further through newsletters, joint events and workshops with local partners. The intention is to create a wider pool of support and networks to ensure a lasting legacy for the project.

Information about the management structure and risk register are attached in the project Annexes.

7.2 Please describe the individual posts within the team that will be delivering the project:

- How is the team set up to manage and deliver the project?
- Identify which posts are not 100% funded by the project.
- What resources, expertise, skills, responsibilities and experience do they have?
- Will existing staff be employed, or will new staff be recruited (if yes, how)?
- What are the reporting lines and accountabilities of individual posts?

Please include details of Delivery Partners (if relevant).

Please attach a structure chart (organogram) and job descriptions for project delivery staff: See the 'Supporting Documents checklist'.

Please refer to job titles rather than the actual names of individuals when describing project management and governance arrangements and responsibilities.

Bristol City Council:
- Project Manager – 1 FTE 100% dedicated to the ERDF project (to be appointed)
- Project Support Officer – 0.6 FTE 1720 methodology (to be appointed)

YTKO:
- Head of Construction – 0.1 FTE fixed percentage 1720 methodology (existing staff)
- Project Director – 0.2 FTE fixed percentage 1720 methodology (existing staff)
- Senior Business Advisor – 0.5 FTE 100% dedicated to the ERDF project (existing staff)
- Senior Business Advisor – 0.5 FTE 100% dedicated to the ERDF project (existing staff)
- Finance – 0.1 FTE fixed percentage 1720 methodology (existing staff)

Knowle West Media Centre:
- Project Manager – 0.8 FTE fixed percentage 1720 methodology (to be appointed)
- Materials and Innovation Enterprise Producer – 0.8 FTE fixed percentage 1720 methodology (to be appointed)
- Pre-start up Engagement Coordinator – 0.8 FTE fixed percentage 1720 methodology (to be appointed)

Princes Trust:
- Contracts Manager – 0.1 FTE fixed percentage 1720 methodology (existing staff)
- Head of Operations – 0.1 FTE fixed percentage 1720 methodology (existing staff)
- Contract Management Executive – 0.2 FTE fixed percentage 1720 methodology (existing staff)
- Operations Manager – 0.2 FTE fixed percentage 1720 methodology (existing staff)
- Operations Executive – 0.8 FTE 100% dedicated to the ERDF project

(existing staff)

- Operations Executive – 0.8 FTE 100% dedicated to the ERDF project (existing staff)

SSE:

- Head of School – 0.1 FTE fixed percentage 1720 methodology (existing staff)
- Business Manager – 0.2 FTE fixed percentage 1720 methodology (existing staff)
- Business Coach – 1720 methodology (to be appointed)
- Lead Learning Manager – 0.3 FTE fixed percentage 1720 methodology (existing staff)
- Marketing Associate – 0.2 FTE fixed percentage 1720 methodology (to be appointed)
- Project Administrator – 0.7 FTE fixed percentage 1720 methodology (to be appointed)
- Project Facilitator – 0.5 FTE fixed percentage 1720 methodology (to be appointed)

7.3 If this application form has been drafted by individuals who will <u>not</u> be involved in the delivery of the project, how will you ensure that the project delivery team understands the rationale and detail of the project?

This application has been developed and finalised by operational staff, alongside senior staff at Bristol City Council, all of whom are creators, deliverers and developers of enterprise support programmes. They are also involved at a senior and consultative level with the delivery of current enterprise support programmes in the region.

Additionally, we have developed a comprehensive induction process for all delivery teams, and for the customer service support staff. This is an intensive introduction and briefing to all aspects of the service.

Other parts of the partner support given include project monitoring and reporting, key issues, risks and mitigation, and state aid considerations.

Examples of all of the workshop content, checklists, handouts and guides are also made available to staff at induction, and a continual improvement policy provide updates and enhancements to all materials delivered.

7.4 If applicable, how will you ensure that Delivery Partner(s) comply with the requirements of European Structural & Investment funding? How will you monitor and manage the performance of Delivery Partner(s) and or sub-contractor(s)?

Bristol City Council have developed a partner handbook to issue to all delivery partners. The guide helps to support partners to ensure that all paperwork, processes, governance and delivery of service is compliant with all ESIF requirements.

The handbook will be finalised and issued at the first Consortium Meeting alongside an induction to the topics.

Quality assurance and underperformance: Bristol City Council as Lead Accountable Body will undertake checks to ensure compliance is maintained – firstly with regards to the progress of achieving outputs but also against the paperwork, spend and processes of the delivery partners and subsequent subcontractors. In preparing each claim all outputs will be reviewed and paperwork checked against latest guidance.

Bristol City Council have experience of delivering several ERDF projects and maintain knowledge in the leadership team of how to manage partners and subcontractors effectively.

Should a delivery partner or contractor be experiencing slippage in achieving outputs, measures will be put in place to increase monitoring – up to fortnightly checks – and further information on remedial measures to ensure quick and effective steps are taken. This will also be added to the risk register and relevant processes applied as part of the Consortium Meetings.

7.5 Please describe how you will collate, calculate and verify deliverables to ensure that interventions are recorded and an audit trail is retained to prove their validity

Bristol City Council and partner CRM systems are fully aligned for ERDF output and outcome capture, have up to 64 data fields for each beneficiary, including location, sectors, ages, diversity and equality criteria, turnover and employees. We record jobs created and safeguarded, full or part time, businesses assisted, finance raised, source and a range of other data.

We also collect substantial qualitative information on clients and their businesses which looks in detail at all important aspects of their business. These diagnostic scores are recorded, together with the results form post intervention benchmarking, and captured on the system to provide evidence of the skills impact.

The system is used to record all client 1:1 meetings, durations, key actions, attendance at workshops, duration of time spent on client support, inbound and outbound referrals, key milestones, outputs and outcomes. Emails can be sent through the system for comprehensive support audit trails, and future actions/follow ups, and reminders are flagged.

Clients sign a range of hard-copy evidence records during their progress through the service, including jobs created or safeguarded, support provided, business assisted declarations, workshop attendance records and so on, which are kept securely in their personal file, with the data also entered into the CRM system for comprehensive real-time monitoring, reporting and analysis. Exceptionally secure data protection systems and processes in place and we abide by the Data Protection and GDPR Acts at all times.

All partners are experienced at delivering EU funded programmes so have robust systems in place for data recording and evidence collection and storing, during and post project. As part of the Project Consortium Meetings all partners will be kept up to date with data protection regulations and these will be transposed into their Service Level Agreements.

7.6 If applicable, what checks will be carried out to ensure the end beneficiaries (for example, businesses or learners) benefitting from the proposal or individuals engaged as part of the proposal is eligible and belongs to the target group?

Each Delivery Partner will carry out evaluation on all workshops and 1-2-1 coaching sessions. This data will be fed back via the quarterly Claim Reports and reviewed as part of our regular internal audit processes.

In addition, feedback will be gathered from the beneficiaries via the Consortium Meeting where we will invite recipients of the different services to join the members and provide important information about their customer journey.

Important eligibility checks will be carried out across all potential clients as part of the client registration process. This initial diagnostic will establish that the potential SME is based in the SUD area, is an eligible SME, micro business or sole trader and has not received in excess of the EU state aid de minimis (currently €200,000 over a three-year period) of public funding or support.

7.7 Describe the controls put in place by the applicant to check that it is maintaining compliance with the eligibility rules during the delivery of the project.

The Service Level Agreement will also stipulate the need for compliance with the eligibility requirements. In addition, the Project Manager will spot check and audit the Delivery Partners' compliance with eligibility rules. This will form a standard part of the claims process on a quarterly basis.

In terms of determining the size and type of business there will be checks against the paperwork which includes a signed declaration from the business or entrepreneur, and any relevant public record or register (such as Companies House). There will also be paperwork checks to determine if the de minimis has been exceeded and a signed declaration from the business.

Finally postcodes will be sampled and checked against the business website or registered office (can be checked again on Companies House if a limited company) to make sure they are within the SUD area.

8.0 Financial Management and Control (In all responses reference delivery partners where appropriate).

8.1 Describe the financial management and control procedures for the project; including the process for compiling, authorising and ensuring only eligible and defrayed expenditure is included in European Structural & Investment Funds claims for payment.

Please refer to job titles rather than the actual names of individuals when describing Financial Management and Control procedures and responsibilities.

Bristol City Council have a Principal Accountant and Senior Accountant allocated from its Budget support team that enable the Growth and Regeneration Directorate and Economy

of Place Division to undertake effective financial management & control, the processing of Grant claims, data collection, reporting and auditing. Financial management of the project will be overseen by the Growth and Regeneration Finance Business Partner, with day to day transactions and quarterly claims preparation and reporting undertaken by the Project Manager and Senior Accountant with support from the Accounting Support officer.

We will maintain full records related to both BCC and individual partner transactions and processes, in a secure on-line document management system commencing from the ERDF offer letter and budget confirmation, to include original invoices, purchase orders, payment advice, bank statements, contracts, payroll information, budget and progress reports, recruitment, correspondence and other legally required records.

The originals are scanned in by the accounts payable team and we can view the scanned copies in our "Unit 4 Business World (ABW) system" used by Accounts Payable team. This enables a clear audit trail for all income and expenditure related to the project.

All new members of staff in both the lead and partner organisations working on EU funded projects, from project administrators to project directors, will have a comprehensive induction about ERDF rules and regulations on eligible expenditure, and procurement. This will cover internal timescales within the consortium each quarter for submitting expense claims and supplier invoices so that they can be checked, paid and evidenced prior to inclusion on a claim.

 Within BCC Budget support, there are various control processes in place and system control mechanisms on ABW. Following the procurement process, an order is raised and goes through an approval process (value will determine which approval route). Once the order is issued and the goods or services received, an invoice is sent in by the provider and it is checked against the order and approved.

Steps as follows: The local administrator receipts the invoice electronically and enters it to ABW (BCC accounting system) after comparing it with the purchase order, and checking that the product or service was received, and procured according to guidelines. The administrator codes the invoice to the Council's ERDF project cost centre and accounting category. The invoice then passes to the Project Manager to confirm in ABW that it is in order for payment.

Quarterly claim submissions to MHCLG on behalf of the consortium will be prepared by the Project team collating financial and outputs information across the Partners using a common set of templates, and checking this in conjunction the Accounts team, including verification that payments for invoices and salaries have been made. A list of defrayed expenditure items will be sent to the Project Consortium members for additional checking and confirmation (where necessary).

Prior to claims submission, a final audit will be carried out by a different member of the Finance Team to ensure a) that purchase descriptions are clear and intelligible, so that someone with no familiarity with the project within the Managing Authority team should be easily able to understand the purpose, and b) that there are no ineligible items on the

claim.

We will also closely monitor on a quarterly basis outputs, forecast and financial performance against budget within BCC and across the consortium. This forms a major part of our internal / external reporting systems and processes.

The Council has considerable experience from its role within the previous round of ERDF contracts. We have taken this recent experience and adapted our financial management and control processes accordingly. These now include more active contacts by phone or email, and an in-person finance meeting between the Lead Accountable Body and Partners (including the BCC Senior Accountant).

We will mandate that each Partner attends with the appropriate personnel and we spend as long as required familiarizing the Partners with the claim forms, requirements and time frames, all of which they will have received in advance in a pack.

This has proved invaluable (in the past) in ensuring the accuracy of the claims financial information and, most importantly, building a good rapport between key senior team members from day one of contract delivery.

The Council's Project Manager and Finance team, as needed, will maintain regular contact with the MHCLG contract management team to ensure that any issues can be dealt with swiftly.

8.2 Please describe the document management system for the project and how the audit trail will be maintained and accessible for the period required under the terms of the European Structural & Investment Funding Agreement, this includes retrieving original invoices and ensuring evidence of costs incurred is available.

The document management system to be used for the project will be Microsoft Dynamics. Microsoft Dynamics is a business process management software that manages and integrates financials, operations, and reporting forming a secure repository of electronic copies of all financial information related to quarterly claims and all contract procurement documentation.

In parallel with this system, the specific accounting systems and processes to be used within BCC and each Partner for financial control have already been summarized above. Given the large volume and variety of transactions across the consortium, additional measures are needed to streamline and reinforce the audit trail.

8.3 Please set out your organisation's financial policy which describes processes, roles and schemes of delegation.

Bristol City Council abide by the CIPFA code of practice on accounting which states that a true and fair view of the financial position, performance and cash flow is in place (including the Group Accounts where a Local authority has material interests in subsidiaries, associates or joint ventures).

The Schemes of Delegation explain who can take which decisions on behalf of the Council. They come from the Council's constitution where the Mayor has executive powers and Full council who have non-executive powers

In the constitution, powers are delegated to the Chief Executive, the Strategic directors and a few other statutory officers like Service Directors for Finance and Legal. These individuals then delegate many of their powers to officers within the scheme of delegation.

The full paper can be found here: with summary

The Economic Development Manager has delegated authority for European funding management:

3. City Growth, Investment and Infrastructure including Culture Function	Post authorised to carry out function
All functions relating to Culture including (but not exclusively): - bidding for small scale funding Bids - Awarding of small scale arts grants - Support of the cultural sector - Operational running of our Cultural Venues -Events in the city	Head of Culture
Functions relating to Economic Development including (but not exclusively): - European Funding Management, Delivery and resource procurement - Managed workspace provision and management	Economic Development Manager

The tables below is a extract highlighting some of the relevant Roles and Responsibilities within BCC's Service area as well as Corporate Finance:

Service Roles and Responsibilities			
Strategic Director	Service Director	Service Manager (Budget Manager)	Cost Managers
Ensure Directorate meets its financial objectives	Ensure Service Area meets its financial objectives	Continuous monitoring on ABW of revenue and capital spend	Continuous monitoring on ABW of revenue and capital spend
Monthly review of Directorate revenue and capital forecasting and report significant variances	Monthly review of Service Area revenue and capital forecasts and report significant variances	Monthly reporting to Service Director on revenue and capital budget positions, variances and forecast to year end on ABW	Monthly reporting to Service Manager on revenue and capital budget positions, variances and forecast to year end on ABW

Roles & Responsibilities – Finance

Co-ordinate quarterly reporting to Cabinet	Support to budget managers and cost managers for revenue and capital budget monitoring
Final accounts and external reporting requirements	Investigate and report on complex business issues – financial implications
Maintain U4BW	Review, challenge and support YTD and monthly revenue and capital forecasting
Control account analysis	Validate and quality assure budget variances – work

	with managers to support the identification of action plans to mitigate variances
Maintain self-service toolkit for budget managers	Exception reporting and reporting to DLT's, SLT's and variance analysis for quarterly reporting to cabinet

8.4 If applicable, how will you ensure that Delivery Partners/financial beneficiaries engaged in the delivery of the project will comply with the requirements relating to defrayal of expenditure?

As mentioned at 8.2, Partners' invoices and SME beneficiaries' evidence of expenditure related to grant payments are checked and approved at several stages within the BCC project team before being included in quarterly claims.

Prior to payment, invoices over certain value thresholds must be verified by the Partner's Accounts Manager and/or by an independent member of their Management Team.

All Partners are mandated to supply 100% claim evidence to their Accounts teams, where a random sample of 20% will be checked for accuracy. Once verified the combined transaction list is submitted to the BCC Accounts Team where another random sample of 20% is checked as further quality assurance. Only when the BCC Accounts Manager is fully satisfied with quality of partner information will Bristol City Council's transaction list be added and the claim submitted to MHCLG.

These checks and the separation of duties within BCC and each Partner's financial teams, involving staff at arm's length from the project and the finance functions, are designed to maximize the avoidance of errors and strengthen financial control.

Any queries raised by MHCLG as part of claims assessment will go back to the BCC Accounts Manager who will then liaise directly with the other finance teams as required. The agreed operating procedure will be to allow 72 hours to provide an acceptable response to any queries raised. If the response is not received within 72 hours, or is deemed to fall short of what the BCC Accounts Manager feels is acceptable, the item in question will be removed from the claim.

It is the responsibility of BCC as Lead Accountable Body to ensure a timely turnaround of quarterly claims. Although due diligence is done on the financial standing and capacity of partners to maintain robust cash flow, BCC is aware that delays in processing claims can have a significant financial impact on small local SMEs as well as local / regional / national third sector organizations who may not have anywhere near the same level of cash liquidity as a local authority. Thus we will aim to implement appropriate measures and standards, in line with the Council's financial regulations and policies, of management, control and document accessibility to minimize the cash flow exposure beyond what is absolutely necessary.

Through the 'induction process' and ongoing management of partners outlined in 8.1 8.2

and above, BCC will assure a robust process in terms of financial operations and control. In addition, regular contact between the operational leads, combined with monthly in-person meetings and evidence review of each Partner by the Project Manager, will ensure that the Partners are meeting the required transactional quality standards and financial delivery targets as committed and profiled. Where operational performance falls short, we will support Partners through a formal performance improvement plan. This will include making clear the importance of maintaining the highest standards and profiles of spend within a clear and defined time frame.

If necessary the Council will look to ramp up activity, in addition to measures specified in the SLA, in order to support Partners to maintain agreed performance profiles.

8.5 Please explain how the accounting software and systems used will be capable of maintaining separate records for the project and producing detailed reports to demonstrate where the European Structural & Investment Funds is being spent. If applicable, please describe how your partner's software/systems will manage project finances.

We will put in place a claims team, experienced in MHCLG and EU data collection, reporting and auditing. We will maintain full records from offer letter and budget, correspondence, variations, original invoices, bank statements, contracts, payroll information, progress reports, recruitment and legal requirement records. This enables a clear audit trail for all income and expenditure related to the project, with links between each stage.

Partner claims will be evidenced from expenses in the form of receipted invoices, pay slips, receipts, supported by BACS documentation and, if necessary, bank statements.

Bristol City Council will check all claim data and aggregate this onto a single claim form. Separate nominal ledger accounts are held for each accounting line per project, conforming to ERDF expenditure headings.

The BCC accounting system will be utilized to generate transaction listings for all the relevant projects/schemes funded by this grant. Cost centers will be setup in the system, so that each distinct project can be reported separately or as part of a larger scheme. Our ABW system generates relevant financial reports to support every grant claim we make.

8.6 As European Structural Investment Funds are paid quarterly in arrears it could be up to 5 months from spending money to receiving payment. Please explain how you are able to cash flow the project.

All partners are experienced in the organisation and delivery of ERDF projects, and fully understand the principles of ERDF funding.

All partners financial planning and management reflects the "payment in arrears" nature of ERDF, and in all cases partners have made the necessary provisions – typically through use of reserves and debt financing (overdrafts) – to ensure that there is sufficient

cash flow for project expenditure, and that cash outflows can be sustained for typically a period of between four and six months from date of expenditure to receipt of claimed funds.

Bristol City Council is similarly well versed in evidence and claim procedures, and prides itself on its swift turnaround and high accuracy, which enables partners to be in receipt of claim funds within one or two days of them being received – as lead partner – from MHCLG.

Please see relevant excerpt from Treasury Management Strategy below;

"4 Borrowing
4.1 The capital expenditure plans set out in Section 3 provide details of the service activity of the Council. The treasury management function ensures that the Council's cash is organised in accordance with the relevant professional codes, so that sufficient cash is available to meet this service activity. This will involve both the organisation of the cash flow and, where capital plans require, the organisation of appropriate borrowing facilities. The strategy covers the relevant treasury/prudential indicators, the current and projected debt positions and the annual investment strategy."

The following sections are technical and have historically been the cause of financial irregularity. As a result some applicants chose to seek independent advice. If you do not take independent advice your responses should be consistent with the level of detail you would obtain from independent advice.

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9. Procurement Requirements		
9.1 Confirm that you have read and understood the European Structural & Investment Funds requirements for procurement, as set out in the published European Structural and Investment Funds National Procurement Requirements and that you/your Delivery Partner(s) can meet the relevant requirements	Yes x	No
9.2 Is your organisation a "Contracting Authority" as defined in the Public Contracts Regulations 2015?		
Yes		
9.3 If not, please set out the reason(s)		
9.4 Confirm that you have completed Annex 4a, listing all contracts that will be used to provide goods, works or services to the project, which have already been procured and awarded/contracted prior to this application, or which are in the process of being procured at the date of this application.		

For the avoidance of doubt this includes all previously procured contracts that will be used by the applicant and/or its delivery partner(s) to provide goods, works or services to the project.
Do not complete Annex 4a if you are using the ESF 40% Simplified Cost Option.

No. Annex 4A has not been completed, as no contracts have been or are being procured prior to the submission of this application.

9.5 Confirm that you have completed Annex 4b, listing all the contracts that will need to be awarded to deliver the Project but which have not yet been tendered/procured at the date of this application

For the avoidance of doubt this includes all contracts that will need to be awarded by the applicant and/or its delivery partner(s) to provide goods, works or services to the project during its lifetime.
Do not complete Annex 4b if you are using the ESF 40% Simplified Cost Option.

Yes

9.6 Describe the system that will be put in place to:

- Test that the contracts listed at Annex 4a can demonstrate compliance with the ESIF Procurement Requirements

Plan the tender processes listed at Annex 4b to ensure that they comply with ESIF Procurement Requirements.

- Ensure that all relevant documents are retained with a view to providing relevant information in the event of an audit or other investigation.

Please provide further information on any contracts you have referred to in Annex 4a in which there has been a single tender action, the use of a framework or dynamic purchasing system (in particular if this has not been set up by the applicant) or where the contract has been extended.

Bristol City Council and all partners will abide by the EU Treaty Principles and follow the ESIF National Procurement Guidance for procuring goods and services, to ensure sound financial management of public funds and secure the benefits of competitive purchasing and commissioning.

The procurement processes we will use for items listed in the attached annexes 4A and 4B are designed to provide sufficient and specific information to potential bidders about the tender opportunity; manage any potential conflicts of interest; offer impartial assessment of each bid against identical criteria; and provide selection procedure that selects a winning bidder on merit. Our procurement processes, documentation, associated policies, and tender brief have all been reviewed by a BCC Procurement Advisor with knowledge of ESIF / ERDF procurement rules expert and a BCC Legal Advisor for this project. They have confirmed our process and contract documentation to be fully compliant.

The value of the purchase or commission determines the depth of the procedure and the public advertising that is put into place. Copies of the full procurement policy (which has been assessed as fully compliant by our professional advisors) and other relevant documentation is available.

Documents to be retained by Bristol City Council will include electronic documents as appropriate to the specific purchasing and procurement process and use of our ProContract e-portal and management system as set out in our policy, such as:

- specifications of goods or services required, including budget, timescale, special provisions, any special terms or conditions, and indicative buying process

- Quotations and proposals and tender responses

- Request for proposal or invitation to tender or similar advertising

- Log sheets of dates/times of tender receipts

- Selection criteria

- Questions from bidders

- Assessor declarations

- Scoring and assessment documentation

- Contract awards

- Notifications to unsuccessful bidders

10 State Aid Law

10.1 Please list all the organisations (if known) which may benefit from the funding of the project. If they are not known, list the types of organisations that might benefit from the funding.

The beneficiaries will be individuals (potential entrepreneurs) and SME businesses eligible and qualifying for the programme. Individuals will not be liable for State Aid but any undertakings will be subject to the De Minimis approach to determine if they are in breach of State Aid legislation.

These individuals and business beneficiaries are unknown at present, but will likely be sole traders, social enterprises and micro businesses.

10.2 For each organisation or type of organisation that may benefit from the project, (including the applicant and any Delivery Partners) identify whether they meet the State Aid test. If you believe an organisation or type/ group of organisations is outside the scope of State Aid, please provide the reasons.

Applicants may wish to refer to the European Commission's "Notion of State Aid" guidance and the Department for Communities and Local Government's European Regional Development Fund guidance on State Aid law available at
https://www.gov.uk/government/publications/european-structural-and-investment-funds-

state-aid-documents.

For ESF Applicants should refer to the published [European Social Fund 2014 to 2020 State Aid Guidance](#) on GOV.UK.

Article 107(1) of the Treaty on the Functioning of the European Union (Treaty) provides that:
"Save as otherwise provided in this Treaty, any aid granted by a Member State or through State resources in any form whatsoever which distorts or threatens to distort competition by favouring certain undertakings or the production of certain goods shall, in so far as it affects trade between Member States, be incompatible with the common market."

Bristol City Council (BCC) and the Delivery Partners have considered the Treaty, EDRF guidance and state aid implications for each group of potential recipients of EDRF funds for this project, and have concluded, as follows:

4 Lead Authority (BCC) and Delivery Partners beneficiaries:
Aid is being granted to BCC and the Delivery Partners through State resources and favours certain undertakings (i.e. BCC and the Delivery Partners). This is because Bristol City Council and the Delivery Partners are acting jointly as an economic entity in the delivery of support for South Bristol enterprises.

However the aid received by BCC and the Delivery Partners does not distort or have potential to distort competition nor does it affect trade between member states. BCC and the Delivery Partners will be acting as intermediaries and will not receive a benefit relative to any competitors. They will only receive payment for eligible costs defrayed. Payment for indirect costs will be limited to 15% of eligible direct salary costs, and therefore they will receive no benefit. The aid they receive is therefore compatible with the common market.

BCC and the Delivery Partners will procure all goods, works and services in accordance with the EU Treaty, BCCs Corporate Procurement Policy which is in line with the national Public Contract Regulations 2015 and ensure that any eligible costs defrayed are done so in accordance with the EDRF procurement rules. Any aid flowing through to third parties will be compatible with the common market.

5 Individuals beneficiaries in receipt of Pre-start up support
BCC together with its Delivery Partners (under the ERDF programme) will provide Pre-start up support. Pre-start up support will be provided to individuals and not to any undertaking carrying out economic activity. Because the support will be provided to individuals and not to an undertaking the support will not amount to state aid. In addition any funding provided to an individual will be on a small scale and will not

exceed €200,000 over a three-year fiscal period.

6 SME beneficiaries – Post-start up support
BCC together with its Delivery Partners will provide post-start support to SME's under the ERDF programme. The support will favour certain undertakings (i.e. SME's), may distort or threaten to distort competition, may have an effect on trade between Member States, and thus constitute state aid. However BCC and its Delivery Partners will ensure that the following measures are put in place before any undertaking receives aid:-

• a grant application process will be conducted. SME's and grant recipients will be required to go through an open, transparent and competitive process before receiving aid. This will ensure that any undertaking who receives aid will not receive a competitive advantage over its competitors;
• and before any EDRF funds are received by an undertaking an assessment will conducted to ensure that funds are defrayed in accordance with the de minimis exemption. The value of funds received by SME will be small scale and would be lower than €5000 per support intervention. The recipient will be asked to confirm that they have not received state aid (including any funds from this application) that exceed €200,000 over a three-year fiscal period calculated at gross grant equivalents (GGE). Only once confirmation has been received that the grant will be within the de minimis limits will funds be defrayed.

Not all public funding constitutes State Aid. Only a measure which satisfies <u>all</u> of the conditions set out in Regulation 107(1) of the Treaty for the Functioning of the European Union is regarded to be a State Aid. Where financing of the project constitutes state aid, the measure will still not require notification because measure will be put in place by BCC and the delivery partners to ensure that the total amount of grants (cash and in-kind)for the same eligible costs over any period of three fiscal years does not exceed EUR 200 000 ("de Minimis" rule)

To test whether a potential beneficiary is outside the scope of State Aid the following criteria have been applied:

Potential Beneficiaries	BCC and delivery partners	Suppliers to BCC and delivery partners (procured – contract for works/service	Individuals Pre-start up	SME Post-start up

		Transfer of state resources	Yes	Yes	Yes	Yes	
		To an undertaking	Yes	Yes	No	Yes	
		Advantage	No Payment based on cost defrayed. No potential to include a profit margin. No economic advantage received over competitors, no distortion of trade between Member States	No. All goods, works or services to be procured via an open, transparent and competitive process. No economic advantage received over competitors no distortion of trade between Member States	No All grants procured via an open, transparent and competitive process. No undertaking, economic advantage received or distortion of trade between Member States	No/Yes All grants procured via an open, transparent and competitive process.	
		Potential to distort competition	No – as above	No – as above	No – as above	Yes - potential	
		Affects trade between Member States	No – as above	No – as above	No – as above	Yes - potential	

State Aid applies?	**No**	**No**	**No**	**Yes**	
Exemption Or Notification	N/A	N/A	N/A	**Aid provided in accordance with De Minimis exemption**	

10.3 For each beneficiary and or type of beneficiary that the applicant regards as being in receipt of State Aid, identify which exemption(s) they will be using to provide the aid in accordance with State Aid law[2].

Name of beneficiary or type of beneficiaries	Name of Exemption	Scheme reference number
Individuals	**Not subject to state aid**	
Enterprises	**De minimis**	

Where a project is funded under an exemption based on the General Block Exemption Regulations (651/2014), the Applicant is required to either (a) confirm that the project falls within the scope of Regulation 6(5) or (b) to submit a separate document to demonstrate incentive effect in line with Regulation 6(2) containing the following information:

(a) the applicant undertaking's name and size
(b) a brief description of the project, including start and end dates
(c) the location of the project
(d) a full list of the project costs used to determine the allowable level of funding
(e) the form of the aid
(f) the amount of public money needed for the project.

10.4 If you intend to use exemption(s) to deliver the Project, have you read the terms of the scheme and meet all the relevant terms.

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[2] For notified schemes the answer should include the full name of the scheme and the Commission reference number.

Yes

10.5 If you intend to use De Minimis, please outline what work has been undertaken to ensure that this is the most appropriate mechanism.

The activity value undertaken on an individual basis as part of the project is on a small scale and will not exceed €200,000 over a three-year fiscal period. We consider that all activity will have a negligible impact on trade and competition and is therefore suitable for state aid compliance under the de minimis regulations. Typical state aid amounts – calculated at gross grant equivalents (GGE) – would be lower than €5000 per support intervention, and only applied to SME's (not when the beneficiaries are individuals) - well within the de minimis limits. We therefore propose, for efficiency and customer satisfaction, to utilise de minimis for all aid given under this project. We will, as standard, gain written confirmation from all participants that they have enough de minimis allowance before proceeding with any SME post start support interventions.

Under the EC General Block Exemption Regulation, State Aid up to the agreed amounts per undertaking, at varying intensities, is allowed. The level of state aid in the SUD area would enable delivery of the project to be allocated under one of the GBER categories, since the state aid element of the total value of the project is 50% (the remaining 50% coming from other sources of match funding).

10.6 Are you subject to an outstanding recovery order in respect of State Aid?

No

10.7 For projects which involve vouchers / grants, what system will be put in place to assess the eligibility of beneficiaries, activities, costs, and compliance with aid intensity levels prior to the intervention?

N/A

10.8 Describe the system in place for collecting and recording the required information for audits and returns?

De Minimis

In all cases, clients that are undertakings will sign a declaration that they have not received any form of State Aid, or if they have, that it is less than the current State Aid threshold, prior to receiving support.

Upon enrolment, we will inform the recipient in writing of the prospective amount of aid and of its de minimis character, referring to the de minimis regulation;

All clients receive formal notifications of the value of the service provided.

These records will be available for audit.

11. Publicity

11.1 Please explain how the project will meet the European Structural & Investment Funds Publicity Requirements available at
www.gov.uk/government/publications/european-structural-and-investment-funds-programme-guidance.

Branding and publicity requirements for 2014 to 2020 ERDF and ESF are disseminated to all teams, including HR and IT, (for publicity on job adverts and job descriptions, website), as well as our marketing teams. This forms part of the initial Project Consortium meeting and any future changes to the guidance will be updated to Partners immediately.

Bristol City Council has ERDF approved templates for press releases, email blasts, letterheads, printed literature, PowerPoint presentations, websites and various marketing collateral (business cards, email signatures, banner stands etc.), and a robust internal briefing and sign off process for any project material that is being created to ensure that the correct statement appears at the end of press releases, and that logo positioning and size follow publicity requirements. Additional template materials, drawn from section 2.6 of the ESIF publicity and branding requirements / guidance, will be provided as part of the Handbook to ensure compliance for online marketing via social media channels (Facebook, Twitter etc.)

All project offices have appropriate signage/plaques recognising EU funding support in accordance with requirements, and examples of evidence of our compliance are held at each project.

Our project partners will be managed in accordance with EU publicity requirements and we have never had a penalty or correction for non-compliant publicity.

11.2 For projects who have already incurred costs which they intend to include within their first claim, please provide confirmation and evidence to show how you have complied with these publicity requirements on expenditure incurred to date.

N/A

12. Cross Cutting Themes

12.1 Support for the Sustainable Development theme
How does the project respect the principle of sustainable development? In particular how does the project maximise positive environmental impacts or mitigate potential negative impacts (with regard to the "polluter pays" principle where appropriate)?

For ESF only, applicants should refer to Action Note 019/18 published on GOV.UK which sets out minimum expectations for this specific Selection Criteria, aligned to the

ESF Scoring Framework.

Applicants must prepare and attach a Sustainable Development Policy and Implementation Plan along with their Full Application. Applicants should refer to the requirements regarding Sustainable Development Policy and Implementation Plans set out in the published ESF Cross Cutting Themes Guidance.

Bristol City Council delivers services and works in accordance with its energy and climate change, waste and resource use strategies and in partnership with other civic organisations such as the Bristol Green Capital Partnership to ensure sustainable development and deliver positive environmental impacts. The overarching policy framework includes 'Our Resilient Future: a Framework for Climate and Energy Security' (2015) and including the targets to reduce Bristol's carbon emissions by 65% by 2020 and become carbon neutral by 2050 and reduce energy use by 30% by 2020 from a 2005 baseline, and 'Towards a Zero Waste Bristol – Waste and Resource Management Strategy' (2016) provide the basis on which the SBES project is managed and delivered.

Specific measures to maximise potential positive environmental impacts and mitigate potential negative impacts will include:

- Through the project's information and dissemination strand, proactively communicating ERDF opportunities and best practice in relation to environmental sustainability, e.g. in relation to enterprise support;

- Using targeted communication channels to promote the participation of the environmental sector in project activities and events, including dissemination through specialist organisations and networks (such the Bristol Green Capital Partnership, and other Bristol-based organisations, the West of England LEP Low Carbon Sector Group and other sector groups such as the cross-cutting SME Enterprise support Group);

- Adopting green working practices and communication methods, including use of home working, video/teleconferencing, electronic documentation and e-communication tools (including e-mail, websites, social media and e-newsletters) wherever possible;

- Where paper-based communication is unavoidable, using recycled / sustainable materials;

- Where travel is unavoidable, promoting the use of public or green transport options to project staff and event participants; and

- Wherever possible, using event venues which demonstrate a commitment to sustainability, including in relation to waste minimisation, recycling and energy consumption.

In terms of the enterprise support services, across all Delivery Partners, there is a

commitment to sustainability. In terms of content all programmes contain workshops or sessions on resource efficiency, waste and resilience. It is important that entrepreneurs and SMEs shape themselves to be ethical, sustainable and long-term in their thinking. We push our businesses to plan for a future where resources could be finite, where markets value ethical products (80% of consumers buy green but only 45% of businesses demonstrate these values) and where cutting carbon internally can lead to increases in profits. Furthermore, BCC is currently leading an initiative on the Going for Gold Award in Food Sustainability. The aims of Going for Gold will be integrated into the food sector elements of the programme to ensure that sustainability excellence is at the heart of the Project's enterprise support services (see Annexes for more information).

In terms of the markets we have made specific focus on the built environment which is perhaps the most unsustainable – buildings account for nearly half of UK carbon emissions. Supporting the construction sector to improve productivity and reduce carbon and waste could have a significant impact on the sustainability for the sector in the SUD area.

Food waste, availability and ethical production all form part of the core delivery of the coaching programme to food SMEs.

The Bristol City Council Sustainability and Implementation plan is attached as an Annex.

12.2 Support for the Equality and Diversity theme (for European Regional Development Fund this is defined as 'Equality and Anti-Discrimination'; for European Social Fund this is defined as 'Gender Equality and Equal Opportunities') (Application of Article 7 of Regulation 1303/2013) and the Public Sector Equality Duty (s149 of the Equality Act 2010).

How will you ensure that equality between men and women as well as gender perspective are taken into account and promoted throughout the preparation and implementation of the project?

What steps will you take to ensure accessibility for persons with disabilities are taken into account throughout the preparation and implementation of the project?

In light of the Equality Act 2010 how does your proposed project further the following aims:

- The need to eliminate unlawful discrimination, harassment, victimisation and other conduct prohibited by the Act.
- The need to advance equality of opportunity between people who share a protected characteristic and people who don't.
- The need to foster good relations between people who share a protected characteristic and people who don't.

For ESF only, applicants should refer to [Action Note 019/18](#) published on GOV.UK which sets out minimum expectations for this specific Selection Criteria, aligned to the ESF Scoring Framework.

Applicants must also prepare and attach an Equal Opportunities Policy and Implementation Plan along with their Full Application. Applicants should ensure their Equality & Diversity Policy & Implementation Plan adheres to the ESF specific requirements set out in the published [ESF Cross Cutting Themes Guidance](#)

Bristol City Council is committed to promoting excellence in equal opportunities, valuing diversity and tackling social exclusion in everything it does. As such it has in place a new robust equality and diversity policy and implementation plan to ensure we continue to meet our obligations and promote good practice in this area.

The policy specifically addresses discrimination on the grounds of:
- age discrimination
- disabled people
- minority ethnic communities
- religious beliefs
- lesbians, gay men and bi-sexual people
- women
- trans people
- community safety

Within this policy framework Bristol City Council will actively work with project partners and contractors to embed procedures which not only meet the equality requirements as outlined in the 2010 Equalities Act but promote excellence. Specific measures to promote equality between men and women will include:

- Conducting recruitment in line with equal opportunities principles, including explicitly stating in job adverts that BCC and/or the relevant partner is an equal opportunities employer, that posts can be filled at part-time or at job-share where operationally possible and that equal pay principles apply.
- Seeking equal representation of men and women in the project governance structures;
- Considering the needs of those with caring responsibilities and in the design and delivery of events (e.g. venues, timings and formats);
- Using targeted communication channels to promote equal participation in events, including dissemination through established gender equality organisations and networks that exist within Bristol and the West of England.
- Monitoring service take-up and satisfaction rates amongst men and women,

taking remedial action to address any significant under-representation.

• Proactively communicating opportunities and best practice in relation to gender equality through the project's information, publicity and promotions strand.

Enterprise support Service
Entrepreneur and start-up support is in itself focused on addressing the equality and diversity issues, through being accessible to all, inclusive, flexible and tailored to suit the needs of individuals, and removing barriers. It's designed specifically to promote equality of opportunity in business creation.

For example, it has recently been estimated by the House of Commons that women constitute around 11% of self-employed people in the UK and19% of small to medium size enterprises in UK are led by women (Source: Women and the Economy House of Commons Library briefing paper CBP06838 8th March 2019). The former enterprise support programmes engagement rate of 56% for women is significantly above the national average. As well as running women-only sessions, after starting a business the women received further support this includes, online promotion, networking, mentoring, training and tailored resources for female entrepreneurs which has mobilised a great community and has aided sustainability. The results show the project has made great strides in redressing the balance of male/female business owners within the SUD area.

The recently published Rose Review, to which the Delivery Partners contributed, highlighted that gender parity gap between male and female entrepreneurs in the UK has been worsening steadily since 2013. Whilst the number of men starting businesses rose steadily, the number of women becoming entrepreneurs has decreased. The report goes further to state that the declining trends suggests that targeted efforts to encourage women entrepreneurs needs to be maintained and reinforced constantly over time if they are to have lasting effect.

What steps will you take to ensure accessibility for persons with disabilities are taken into account throughout the preparation and implementation of the project?

As mentioned above, the programme is intended and designed to be accessible to all. Our approach focuses on the need to adapt society to enable (rather than disable) people with impairments. We support the United Nations Convention on the Rights of Disabled Persons and are committed to the maxim adopted by the Disability movement "nothing about us without us".

Our training and support services recognise that individuals with different abilities may need different facilities and approaches. All coaching and events will be delivered in venues that are physically accessible, provide hearing loops, colour corrected resources, scribes etc. and are also easily accessible by public transport.

Workshop participants are asked for details of any additional needs (e.g. health, medical, food, access) in advance and their preference for how these should be accommodated. All communications material, including the project website, will be

accessible by those with a vision or hearing disability with large print, audio typing or signing provision. All participants accessing the services of the programme will be required, and sensitively assisted, to fulfil data-collection requirements, including data relating to ethnicity, gender and disability.

Monitoring data will be used to highlight whether inequalities exist and, if so, to seek to explore the underlying causes of the inequality and to instigate their removal.
There is also a blend of online resources available (over 40 hours of start-up and growth support, which serves to increase our reach to this audience even further, especially if they are housebound.

In light of the Equality Act 2010 how does your proposed project further the following aims: -

The need to eliminate unlawful discrimination, harassment, victimisation and other conduct prohibited by the Act.

As previously stated, the project itself is focused on addressing the equality and diversity inequalities, reintegrating those who have been excluded, working continuously to be accessible and inclusive to all, flexibly tailoring to suit the needs of individuals, and removing barriers and supporting the development of new skills. It's designed specifically to promote equality of opportunity in business creation where possible counteracting inequality and discrimination.

We take steps to ensure the environments in which we deliver minimises the chance of discrimination, harassment or victimisation, by asking all clients to commit to a charter contract. Our workshops are held in venues that are safe, well lit, physically accessible and are easily accessible by public transport. Their timing takes into account carer requirements, particularly for parents looking after young children, therefore avoiding the "school run" and half-term holiday times.

We try to ensure, where possible that the delivery team has representation from both genders. For some cultural or religious groups, the choice of a female adviser is very important, and the positive role modelling which female business advisers present, is essential for our project to meet the needs of our diverse client group.

The need to advance equality of opportunity between people who share a protected characteristic and people who don't.

The Bristol City Council Equality and Inclusion Policy and Strategy 2018-2023 sets out the ways in which exclusion is manifest in communities that do not have legislatively protected characteristics yet experience exclusion. This exclusion may exist on the grounds of socio-spatial and socio-economic exclusion and as such the Equality and Inclusion Policy and Strategy has informed the South Bristol Sustainable Urban Development Strategy and the proposed target treatment area is representative of such socio-spatial and socio-economic exclusion(s). The cohort and delineated customer journey effect will bring different groups together from across the target treatment area

and will include people with protected characteristics and people that don't.

The need to foster good relations between people who share a protected characteristic and people who don't.

The project has continued to make considerable efforts to engage and foster strong relationships with all groups that are under-represented in enterprises and provide opportunities for all, including those from with a wider ethnic group and those classed as having a disability. The engagement rate with non-white BME ethnic group clients on the Enterprising West of England contract was 24%. This exceeds the BME ethnic group presence in the Bristol population, which is 16% (Source: ONS 2011 Census). The former projects engagement rate, with people classed as having a disability was 16%, which is reflective of the 16.7% of the Bristol population that are deemed to have a disability or long-term health issue (Source: ONS 2011 Census). We therefore feel that the project can demonstrate it has fostered excellent practices of providing opportunities for those people who share protected characteristics. Everyone on the programme has their shared interest in starting a business in common, the strong relationships are developed by focussing on our commonalities whilst at the same time respecting and accommodating our differences and what makes us unique.

Additional Action taken by BCC to promote excellence in equality and inclusion:

BCC is a signatory of the Ban the Box initiative. Ban the Box calls on UK employers to create a fair opportunity for people with convictions to compete for jobs by removing the tick box from application forms and asking about criminal convictions later in the recruitment process. This enables those with convictions to more fully engage in the labour market, this initiative will be shared with consortium partners and partners will be encouraged to enact these principles as part of the funded programme.

Stonewall Trans Allies Programme - BCC is currently undertaking the process of entering the Stonewall Trans Allies Programme, this includes training for staff on trans and non-binary specific equalities issues. The programme will include changes to our procurement and commissioning policy and will be operational by the time of the Project's commencement. Any additional materials or changes to policies required to be compliant will be shared with Consortium Partners at the earliest opportunity and will be included in the Consortium Partner Handbook.

For more information see our policy and the Bristol Equality Charter attached in the Annexes.

13. ERDF Only - Summative Assessment

Please refer to Project Summative Assessment Guidance (ESIF-GN-1-033) available on GOV.UK ESIF page

13.1 Have you read and understood the Project Summative Assessment Guidance and provided a logic model using the Summative Assessment Logic Model form? (A copy of the logic model should have been provided when you were invited to proceed to full application - if not please get in touch with your nominated contact)

Yes, we have read and understood the Summative Assessment Guidance and we have provided a Logic Model form.

13.2 Have you allocated a budget for the summative assessment, which does not exceed 1% of the project eligible expenditure **or** £100,000, whichever is the lower amount?

We have allocated a budget of £15,000.

For ERDF

General Data Protection Regulation (GDPR) and Freedom of Information Act 2000

The Ministry for Housing, Communities and Local Government is the `data controller' for all ERDF-related personal data and controls and processes personal data (including sensitive special data) under the lawful bases of **Article 6 (1) (e) and Article 9(2)(b) GDPR respectively.**

As a data processer of ERDF personal data, your organisation must ensure that ERDF personal data is processed in a way which complies with requirements of the General Data Protection Regulation (GDPR) and **all applicable laws and regulations relating to processing of personal data and privacy**, including, where necessary, the guidance and codes of practice issued by the Information Commissioner and any other relevant data protection regulations.

You must also comply with the practices and requirements described in the ERDF programme guidance published by the Managing Authority.

By proceeding to complete and submit this form, you consent that we may process the personal data (including sensitive personal data) that we collect from you, and use the information you provide to us, in accordance with our Privacy Policy.

For ESF

The Department for Work and Pensions is the `data controller' for all ESF-related personal data and it controls and processes personal and special category data under the lawful bases of **Article 6 (1) (e) and Article 9(2)(b) GDPR respectively.**

As a data processer of ESF personal data, your organisation must ensure that ESF personal and special category data is processed in a way which complies with requirements of the General Data Protection Regulation (GDPR) and **all applicable laws and regulations relating to processing of personal data and privacy**, including, where necessary, the guidance and codes of practice issued by the Information Commissioner and any other relevant data protection regulations.

You must also comply with the practices and requirements described in the ESF programme guidance published by the Managing Authority.

By signing and accepting this Full Application Form you are accepting and consenting to the practices described in the [Operating Policy in respect of ESF Online Applications](#)

You can also find further information about the Department for Work and Pension Personal Information Charter [here](#).

Declaration & Signature

I declare that I have the authority to represent Bristol City Council in making this application.

I understand that acceptance of this Full Application does not in any way signify that the project is eligible for ESI Funding support or that ESI funding has been approved towards it.

On behalf of Bristol City Council and having carried out full and proper inquiry, I confirm to the Department:

- Bristol City Council has the legal authority to carry out the project; and

- That the information provided in this application is accurate.

- I am not aware of any relevant information, which has not been included in the application, but which if included is likely to affect the decision of the Department whether to endorse the application.

I confirm to the Department:

- I have informed all persons in relation to whom I have provided personal information of the details of the personal information I have provided to you and of the purposes for which this information will be used and that I have the consent of the individuals concerned to pass this information to you for these purposes.

- That I shall inform the Department if, prior to any ESI funding being legally committed to Bristol City Council, I become aware of any further information which might reasonably be considered as material to the Department in deciding

whether to fund the application.

- Match funding will be in place prior to any award of ESI funding.

- I am aware that if the information given in this application turns out to be false or misleading Department for Communities & Local Government (DCLG, for European Regional Development Fund) and the Department for Work and Pensions (DWP, for European Social Fund) may demand the repayment of funding and/or terminate a funding agreement pertaining to this Application.

I confirm that I am aware that checks can be made to the relevant authorities to verify this declaration and any person who knowingly or recklessly makes any false statement for the purpose of obtaining grant or for the purpose of assisting any person to obtain grant is liable to be prosecuted. A false or misleading statement will also mean that approval may be revoked and any grant may be withheld or recovered with interest.

You should not commence project activity, or enter in to any legal contracts, including the ordering or purchasing of any equipment or services before the formal approval of your project and you have signed a European Regional Development Fund or European Social Fund Funding Agreement. Any expenditure before the approval date is incurred at your own risk and may render the project ineligible for support.

Signed For and on behalf of the Applicant Organisation	*Richard Marsh* (signature)		
Name (Print)	RICHARD MARSH		
Position	HEAD OF REGENERATION	Date	30/08/2019

Annexes

Annex 1   Supporting documents checklist
Annex 2   Article 61 Revenue Generating Projects (ERDF only)
Annex 3   Capital Project requirements (ERDF Only)
Annex 4 a   Procurement to date
Annex 4 b   Procurements forward look

Annex 1   Supporting documents checklist

Document	Notes	Applicant comments
Confirmation of match funding from each funder	Confirmation must be in place prior to the Grant Funding Agreement.	Letters attached
Detailed Granular budget breakdown	All costs must be itemised, eligible, appropriate for the project and profiled across the project period	Finance annex and individual budgets attached for each partner
Equality and Diversity Policy and Sustainability Policy	Applicant is responsible for ensuring that Delivery partners also hold relevant policies	Attached for each partner
Independent state aid advice.	If applicable	N/A
Job Descriptions		Attached for each partner
Organogram		Attached for each partner
Applicants procurement policy		Attached for each partner
SLA with Delivery Partners	Not applicable if there are no delivery partners. If not available, comment when it will be available.	Draft attached and will be signed if full application approved
ERDF only - Summative Assessment Logic Model	Using form ESIF-Form-1-011 ERDF Summative Assessment Logic Model - provided by your nominated appraiser	Attached
Capital project requirements	See additional checklist for capital projects at the end of Annex 3	N/A
Project level risk register	This should cover areas such as financial risk, output risks, delivery risks etc. please ensure that the register covers how these risks will be managed and mitigated.	Attached
ESF Only – High Level End-to-End Customer Journey	A visual, high level customer journey document e.g. flow chart	N/A
ESF Only – Anti-Fraud Statement	A statement on how you will deal with suspected fraud in your organisation and if appropriate, with your sub-contractors.	N/A

Annex 2

Article 61 - Revenue Generating Projects
Projects which generate net revenue must comply with Article 61 (1-8) of EU Regulation (EU) No. 1303/2013.
Is the project expected to generate any net revenue?
N/A
How will revenue and/or income be recorded and reported?
Explain how the audit trail for the revenue and/or income will be demonstrated.
For infrastructure projects, the economic lifetime of the fixed asset often exceeds the term of the European Structural & Investment Funds project. Will this be the case in your project? If so, describe how the net revenue will be monitored for the economic lifetime and what arrangements are in place to report on the final revenue position.

Annex 3

EUROPEAN REGIONAL DEVELOPMENT FUND Only:

Capital Projects (land and property)		
For each site where capital project activities will be undertaken, please provide the following information:		

Site name	Land Registry Number	Applicant's legal interest on the site
N/A		

If any site has been purchased for the project, please identify the site, the purchase price and the date on which the site transferred. .

Please list all approvals needed for the project to proceed as envisaged:

a) which have already been obtained

b) which are to be obtained (include timescales)

Please list all existing restrictions registered against the title and all charges registered against the title to on the project site(s) at the date of the Application, supplying up to date office copy entries where possible.

Please provide details of any charges the Applicant expects to be removed or added to the site(s) in the 6 months following the submission of this application. Please list all options to purchase the project site(s) at the date of the Application or which are expected to be put in place within 6 months of the submission of this application.

Please provide a clear statement on the sources of match funding. This should detail the source, the contribution amount, its current status and any conditionality.

Please provide a clear statement on the intended use of the completed asset(s) and the sectors you are targeting for occupiers. Please provide details of any planned disposals.

If the project is awarded European Regional Development Fund you will be expected to

enter into DCLG's precedent legal documentation. This includes a Grant Funding Agreement, and a Deed of Covenant to protect the approved use backed by an appropriate restriction registered against the title, and may also include a Collateral Warranty (for the Quantity Surveyor) and/or a Legal Charge.

The following accompanying documents should be provided for all Capital Projects applying for European Regional Development Fund.

Accompanying documents for Capital Projects applying for European Regional Development Fund	Specification of document or acceptable alternative	Comment including name of document and explanatory description. Please advise whether a document is not applicable for the project.
Evidence that the applicant has/will have control of the site to deliver the project.	Freehold or leasehold title for the project, or signed Heads of Terms between applicant and vendor for land/building acquisition.	
Evidence of full planning permission and, where applicable, listed building consent.	Copy of full planning permission and evidence of obtaining any other consent required before the project activities can commence.	
Evidence of match-funding	Documents establishing the amount of match funding provided and any conditions attached.	

When using value of land/buildings as evidence of match	Independent valuation report produced by a suitably qualified expert body listing:	
	• the land/buildings, to be used as match-funding;	
	• their current condition/use;	
	• the date purchased and consideration paid, where applicable;	
	• the open market value at the date of the Application taking into account legal, planning or physical constraints to development; and	
	• the open market value at the date of the Application if all legal, planning and physical constraints to development were not present.	
State Aid Report	A State Aid Report, addressed to the Applicant and produced by a suitably qualified professional organisation (e.g. a law firm or accountant) which (a) lists all the Project costs used to determine the State Aid intervention rate (b) gives an opinion as to whether each cost is eligible (c) analyses whether the proposed award to the Applicant meets all the requirements of the specified State Aid scheme and (d) sets out all the information required for Article 6 of Regulation 651/2014 (if applicable).

If the Applicant intends to use the value of any land or buildings in the match funding calculation, the report must provide an express explanation as to how this is State Aid compliant, if necessary using the information set out in the independent valuation report. | |

Detailed Cost Plan prepared by a suitably qualified Quantity Surveyor.	As a minimum designed to the equivalent of RIBA Plan of Work Stage '3' which prices the schedule of works with quantities and rates, cash-flows the works and provides a development programme for completion of the project activities.	
Supporting design information	Architect drawings and plans, specification, schedule of accommodation, pre-project photographs and post-project Computer Generated Images (CGI).	
BREEAM pre-assessment	Completed by a suitably qualified BREEAM Assessor and specific to the project	
Environmental Impact Assessment where applicable		

The following accompanying documents MAY also be required for Capital Projects which are applying for EUROPEAN REGIONAL DEVELOPMENT FUND. A member of the Managing Authority should have advised you of the additional information required to support your application.

Additional information for Capital Projects	Specification of document or acceptable alternative	Comment including name of document and explanatory description.
Development appraisal for the project	This will include: ○ An assessment of end value of the completed development based on market assumptions of rent, yields, void periods, rent-free periods and floor areas and specification. ○ Estimated project costs of undertaking the development which may include cost of buying land/building, construction, professional fees.	N/A
Independent valuation report prepared by a suitably qualified Valuation	To certify the valuation and end value assumptions in the development appraisal and provide a detailed view of market conditions including current property supplies, the development pipeline and demand.	
Independent cost consultancy report prepared by a	To certify the construction related assumptions in the development appraisal and comment of realism of cash flow and development programme.	

Funding Calculations	Three separate calculations showing (1) the State Aid eligible costs, subject to the relevant maximum aid intensity (2) the gap-funding calculation and (3) the European Regional Development Fund eligible costs. The lower of the three calculations represents the	
Market demand report prepared by an independent property	This will provide an in-depth analysis of current property supply, the property development pipeline and likely market demand including likely sectors	
Business Plan prepared by a suitably qualified property or economic development consultant	To certify assumptions submitted by the applicant for the Article 61 calculation, including: ○ Revenue stream based on projected occupancy levels, rents, service charges and any other income; ○ Operating costs including maintenance,	
Independent valuation report prepared by a suitably qualified Valuation Surveyor and cost consultancy report prepared by a	Valuation report will confirm (a) the current open market value of land/buildings and (b) the projected open market value of land/buildings following European Structural & Investment Funds investment. Cost consultancy report will undertake assessment on the suitability of the proposed remediation strategy (in comparison to	

Annex 4a

Contracts that have been procured

Please provide details of all contracts that will be used to provide goods, works or services to the project and which have already been awarded prior to this application.

	Value of the contract[3] (Highest value first)	Anticipated value of works, supplies or services which will be provided to the Project under the contract	OJEU reference number (where applicable)	Name of supplier	Date of the contract[4]	Description of works, supplies or services provided under the contract	Process used to select supplier e.g. OJEU	How was the contract advertised?	Core procurement documentation provided with the full application? *		
									Y	N	Comment:
1	£										
2	£										
3	£										
4	£										
5	£										

*Applicants should refer to the invitation to full application letter for details of any conditions relating to required procurement documentation to be submitted with the full application.

The Managing Authority reserves the right not to take forward the Full Application if any aspects of procurement are identified as non - compliant at the Full Application stage. Applicants should note that procurements will be tested in detail in the lifetime of a project and by different independent bodies. In the event of non - compliance/irregularity financial penalty will be imposed in line with EU guidance. This can be up to 100% of the procurement expenditure.

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[3] If the contract relates to recruitment managed by an agency, this will be the cumulative value of annual salaries

[4] Estimated if procurement is underway

Annex 4b
Please note that the following table is in respect of Bristol City Council only and partner procurement plans are attached as annexes to this document:

A copy of the planned procurements for each partner is attached in individual Annex 4bs.

Appendix D

South Bristol Enterprise Support Project – Risk Register

The South Bristol Enterprise Support project will monitor risk at both Delivery Partner and Project Consortium levels.

The initial risk register (see below) will be updated and reviewed at the first Consortium Meeting and risks allocated ownership to individual members. Additional risks will be added at each Consortium Meeting with mitigation and scoring agreed by consensus.

At an operational level risks will be addressed in monthly meetings and any which are deemed high risk will be notified to the Consortium Chair to see if the risk requires an exceptional notification across the Consortium members for approval of mitigation steps. If a risk is low or medium rating then it will be put on the agenda for the next Consortium meeting.

The risk register currently assesses risk against:

- Impact - the disruption which would be caused to the project progress should the risk not be addressed. This is scored out of 10.
- Probability - the likelihood that the risk would happen should the mitigating action not be taken. Again this is scored out of 10.
- Score - the score from the Impact x Probability out of 100.
- Ratings - a low scoring risk 0 - 25, medium risk 26 - 66 and high risk 67 - 100.

Risk	Impact	Probability	Score	Mitigation
ERDF funding reduced	7	2	14 - low	Project Consortium requested feedback on the value for money case given the removal of the workspace element. MHCLG fed back that the value for money case is well aligned to the proposed outputs so we wouldn't expect any reduction in funding.
Funding unsuccessful at full application	10	5	50 - med	Although the SUDs committee provided confirmation that a full application could proceed there were no indications of how a support only project would be viewed. As such there has been limited resource investment from the Project Consortium until the project is approved.
Project start-up is delayed	4	8	32 - med	All previous ERDF projects have been delayed in approval and contracting processes – in fact an anticipated delay was the main reason MHLCG suggested the capital element couldn't proceed. Outputs and financial projections have been amended to anticipate this delay.
Partners fail to	7	3	21 - low	The project management and

meet output profile				governance is in place to address any output slippage and react quickly to manage underperformance. Important lessons have been learnt from previous projects to tackle underperformance with the most urgent and stringent action.
Issues with match funding	10	3	30 - med	Bristol City Council has received indicative approval to utilise its budget, however, the project still requires approval from Council Cabinet which will be undertaken as the highest priority should the full application be successful. All other delivery partner match is in place and secured. Update at 18.10.19 – Project will go to Cabinet in Dec 19.
Issues with grants	5	3	15 - med	In past ERDF programmes SME grants have proved difficult in terms of generating demand, meeting too much demand, and providing clear messaging for customers. Although there are several SME grants available they don't overlap and referrals based on a diagnostic of the SME will help ensure that the best grants are available to the most appropriate enterprises.
Issues with demand generation	5	7	35 - med	In previous ERDF projects generating demand from entrepreneurs and businesses has, at times, proved difficult. A key strength of the consortium is that it already has established networks, demand generation pathways, and brand presence in the region and therefore partners have confidence they can generate the demand from individuals and customers across the SUDs region. Should any shortfall be experienced then the Consortium would address this together and boost referrals, re-profile marketing spend and
Issues with scale up subcontract	3	5	15 - low	The subcontract for scale-up support will be tendered shortly after the project goes live. However, there is a risk that demand for the contract could be relatively low. As such BCC conducted a PIN notice exercise to assess the market and ensure that there was sufficient demand for the

				contract.
Failure to meet timescales	8	2	16 - low	Again the contract management and governance processes will ensure that the project remains on target and timescales are met. Claims, reporting and outputs will all be managed with regular checkpoints on a monthly (via the Partner Meetings) and quarterly basis (via the Consortium Meetings).
Failure to recognise risks and take appropriate actions	3	1	3 - low	The risk register will form a central part of the project governance and will be regularly updated and assessed. As explained above there is sufficient project infrastructure to be reactive in addressing risks.
Workspace delayed or cancelled	2	5	10 - low	Construction of the original workspace (contained in the outline application) is now separate to this full application and therefore the impact on this project is relatively low.
Funding process from WECA	8	2	16 - low	The Funding Board at WECA has been briefed on the project, with an outline submission, and we have been advised to submit a full business case in October – which has been completed. A decision will then be made before the end of 2019 as to whether or not they proceed. As the intervention is relatively low (28% of total contract value) compared to the additional investment it leverages, then the likelihood is quite high of a successful application.
WECA match funding is not successful	8	4	32 - med	In the case the WECA match funding is not successful then the funding case will be put to Bristol City Cabinet as part of the approval process. Additional finances could then be made available to offset this risk.

Bristol City Council Equality Impact Assessment Form

Name of proposal	South Bristol Enterprise Support Project
Directorate and Service Area	Growth and Regeneration, Economic Regeneration
Name of Lead Officer	Robin McDowell

Step 1: What is the proposal?

1.1 What is the proposal?

The South Bristol Enterprise Support Project ('the Project') will deliver tailored advice, coaching and grants to individuals and businesses across South Bristol; primarily targeting the South Bristol Regeneration Area, including industrial and development sites on the south western periphery (as defined in the South Bristol Sustainable Urban Development (SUD) Strategy).

Bringing together a leading consortium of key partners, with specific understanding of the unique challenges facing the area, the programme will offer a number of solutions to help businesses effectively start-up, grow and deliver economic investment to the South Bristol community.

"The South Bristol Regeneration Area (SBRA) represents 22% of the City of Bristol and 8.8% of the West of England population. It is distinctive in being one of the most disadvantaged areas, yet with great untapped potential, in one of the wealthiest cities in the UK." Bristol SUDs Strategy 2018

The South Bristol Enterprise Support Project aims to meet several of the strategic aims of the South Bristol SUD Strategy. The project has been tailored to meet these priorities and contribute added value to the ongoing regeneration of the area by:

- Promoting and enabling increased entrepreneurship and enterprise formation in the SBRA communities through both private and social enterprise models;
- Supporting existing businesses and social enterprises, across the wider South Bristol area, who do or will employ SBRA residents, at both early and later development stages, to survive and grow, creating jobs and local supply chains;
- Offering more specialist advice and financial support to strengthen both new and longer-established sectors of the South Bristol economy, including creative, cultural and film/media, digital manufacturing, software/apps development, and green tech, alongside construction, food service, small-scale manufacturing and engineering.

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 South Bristol Regeneration Area (SBRA) consists in whole or in part the wards of Filwood, Hengrove and Whitchurch Park, Hartcliffe and Withywood, Bishopsworth, Bedminster, Windmill Hill, Knowle and Stockwood. The SBRA is predominantly White British with a high of 93.9% in Bishopworth and a low of 79% in Windmill Hill as compared to 77.9% for Bristol as a whole. Residents within the SBRA identifying as being from a Black, Asian or other Minority Ethnic group are below the city wide average (16%) with all wards with the exception of Windmill Hill below 10%. The SBRA includes neighbourhoods within the most disadvantaged 1-10% nationally in the Index of Multiple Deprivation, with income, employment, education, skills, training, health and disability being particular issues.

The unemployment rate within parts of the SBRA remains consistently higher than the Bristol average and in the Bristol City Council Quarterly Economic Bulletin (September 2019) three of the five wards with the highest claimant count (Hartcliffe and Withywood, Hengrove and Whitchurch Park and Filwood) are in the SBRA. When we consider these figures in light of enterprise formation by women and young people we see fewer formations and systemically poor take-up of traditional enterprise support packages. The recently published Rose Review, to which delivery partners in the consortium contributed, underscores this and highlighted that gender parity gap between male and female entrepreneurs in the UK, has been worsening steadily since 2013. Whilst the number of men starting businesses raised steadily, the number of women becoming entrepreneurs has decreased. The report goes further to state that the declining trends suggests that targeted efforts to encourage women entrepreneurs needs to be maintained and reinforced constantly over time if they are to have lasting effect.

Enterprise formation within the SBRA is further limited by higher than average rates of disability prevalence, particularly among older women. Indeed, Filwood has the highest prevalence of disabled people in the city with Bishopworth, Hartcliffe, Whitchurch Park and Hengrove also consistently higher than the city average (fig.1). The Bristol City Council report "Disabled People Living in Bristol" (2015) notes that:

- Economic activity levels are much lower for the disabled population than for the non-disabled population. Three quarters (75.4%) of the disabled population aged 16 and over are economically inactive compared to a quarter (24.9%) of those not disabled.
- Of the people who do work, disabled people are more likely to work part time (39.6%) than people who aren't disabled (28.4%).
- Disabled people have much lower qualification levels than the population as a whole. Half (47.9%) of disabled people aged 16 and

over have no qualifications compared to just 13.4% of people without a disability; 16.5% have a degree or higher compared to 36.7% of those not disabled.

- Disabled people are less likely to be employed in a managerial or professional occupation (19.8%) than those not disabled (34.7%) but a higher proportion work in routine and semi-routine occupations (37.8%). 11.5% of disabled people have never worked or are long-term unemployed.
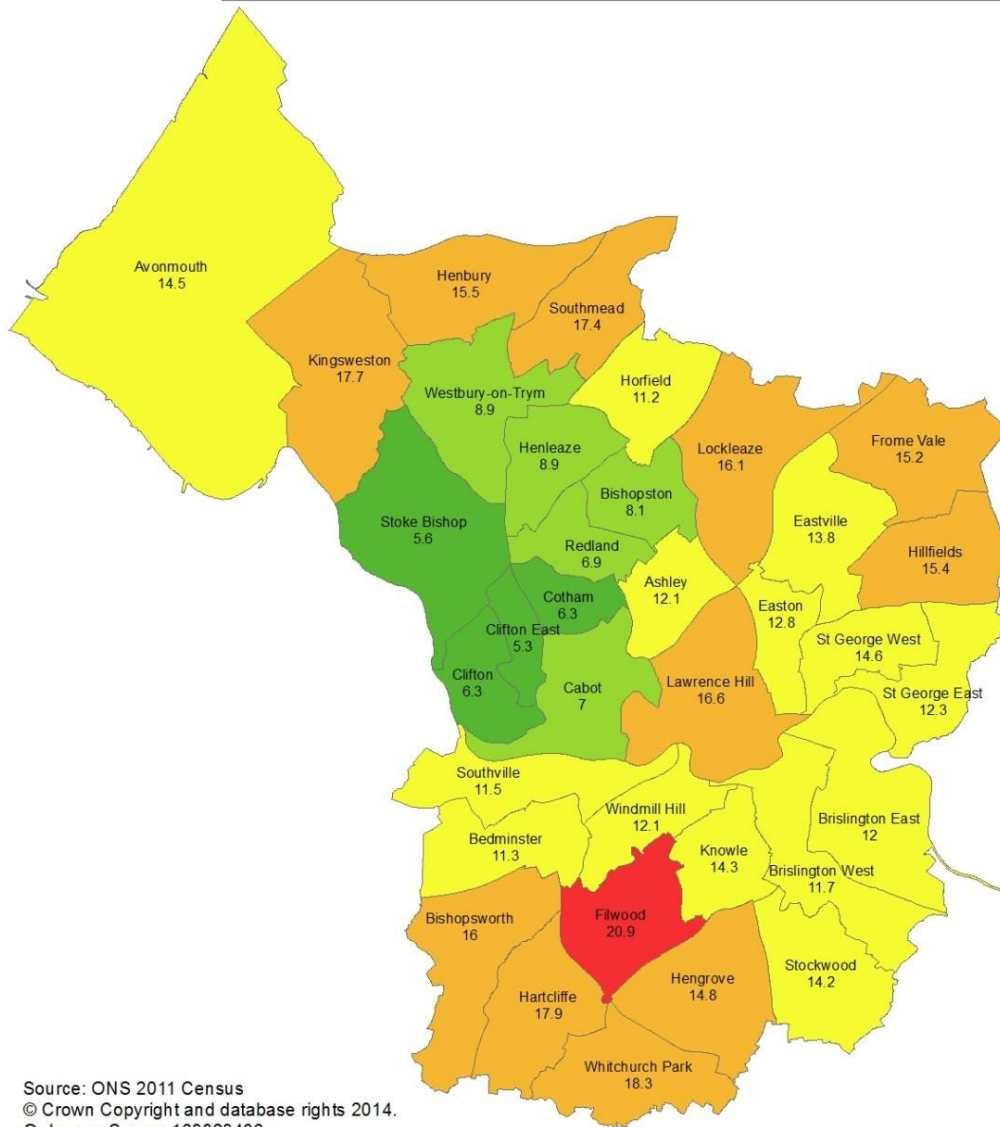
Fig 1

Legend

Longterm health problem or disability by ward

Proportion of working age people whose day-to-day activities are limited

- Much better than the city average [< -1.5 Std. Dev.]
- Better than the city average [-1.5 - -0.50 Std. Dev.]
- Similar to the city average [-0.50 - 0.50 Std. Dev.]
- Worse than the city average [0.50 - 1.5 Std. Dev.]
- Much worse than the city average [1.5 - 2.1 Std. Dev.]

Avonmouth 14.5
Henbury 15.5
Southmead 17.4
Kingsweston 17.7
Westbury-on-Trym 8.9
Horfield 11.2
Henleaze 8.9
Lockleaze 16.1
Frome Vale 15.2
Bishopston 8.1
Eastville 13.8
Stoke Bishop 5.6
Redland 6.9
Hillfields 15.4
Ashley 12.1
Cotham 6.3
Easton 12.8
Clifton East 5.3
St George West 14.6
Clifton 6.3
Cabot 7
Lawrence Hill 16.6
St George East 12.3
Southville 11.5
Windmill Hill 12.1
Brislington East 12
Bedminster 11.3
Knowle 14.3
Brislington West 11.7
Bishopsworth 16
Filwood 20.9
Stockwood 14.2
Hartcliffe 17.9
Hengrove 14.8
Whitchurch Park 18.3

Source: ONS 2011 Census
© Crown Copyright and database rights 2014.
Ordnance Survey 100023406.

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

Given the age of the data (2011 Census) we have to accept that there may be population demographic change that is not captured in the underlining equality and diversity data and those assumptions made on the basis of this data are

therefore incorrect. However, where possible, we have attempted to augment this data with on the ground intelligence via Council Officers, VCSE and private sector actors in the SBRA and wider South Bristol as well as drawing on the extensive evidence base developed over a number of years by partners within the consortium. The proposal has significantly benefitted from the expertise of the consortium partners working with targeted equalities groups and within the SBRA.

2.3 How have we involved, or will we involve, communities and groups that could be affected?
The Project has been developed in line with demand identified with a focus on community organisations, business networks and sectors with growth potential that have a pre-existing presence in the SBRA and/or experience of participation in previous business support programmes and initiatives in South Bristol, eg. Knowle West Media Centre, Hartcliffe & Withywood Ventures, South Bristol Business Group, Federation of Small Businesses, Cater Business Park, VOSCUR and others.

Step 3: Who might the proposal impact?

3.1 Does the proposal have any potentially adverse impacts on people with protected characteristics?
No, the proposal has been developed specifically to positively engage and impact cohorts with protected characteristics and those under-represented in enterprise and entrepreneurship such as young people, BAME communities, women and people with disabilities.
3.2 Can these impacts be mitigated or justified? If so, how?
N/A.
3.3 Does the proposal create any benefits for people with protected characteristics?

Consortium Lead	Service Type	Target Beneficiary	Service Details
Knowle West Media Centre	Pre-pre-start	Hard to reach potential entrepreneurs	Intensive support to engage potential entrepreneurs – via 1:2:1 coaching, engagement with hard to reach communities etc. Bursary is available to cover expenses and facilitate attendance.
YTKO Ltd	Pre-start (private)	Established entrepreneurs	Introduction to Enterprise workshops, via the OutSet brand, to support entrepreneurs to explore business idea and start trading.
The Princes Trust	Pre-start (youth)	Entrepreneurs under the age of 30	Enterprise Programme supports young people to explore their business idea in workshop format.

Dartington Hall Trust / the School for Social Entrepreneurs	Pre-start (social)	Entrepreneurs creating social enterprises	Social enterprise programme supports people to explore their social enterprise idea in workshop format. Bursary is available to cover expenses and facilitate attendance.
Knowle West Media Centre	Growth (private)	Existing enterprises with a sector focus on creative, digital and manufacture	Workshop and 1:2:1 coaching programme aimed at SMEs to develop marketing, finance and business strategy growth. Tailored materials and resources for key sectors.
YTKO Ltd	Growth (private)	Existing enterprises with a sector focus on construction and food	Workshop and 1:2:1 coaching programme aimed at SMEs to develop marketing, finance and business strategy growth. Tailored materials and resources for key sectors. Additional capital and revenue grants are available to unlock further SME investment.
The Prince's Trust	Growth (youth)	Existing enterprises where the owner is under 30	Workshop programme aimed at SMEs (where the business owner is under 30) to develop marketing, finance and business strategy growth.
Dartington Hall Trust / SSE	Growth (social)	Existing social enterprises	Workshop and 1:2:1 coaching programme aimed at social enterprise SMEs to develop marketing, finance and business strategy growth. Additional grant available defined against turnover increase in SME.
BCC – subcontractor (to be procured)	Growth (pre-scale up)	Existing enterprises demonstrating considerable growth	Grants to support growth issues, such as leadership and governance, for businesses which are not official Scale Ups (20% increase in turnover year-on-year).

As the table above demonstrates there are significant potential benefits to people and groups with protected characteristics. The "pre-pre start" elements contain a package of support, including subsidised childcare, which enable those with additional barriers to enterprise formation to engage in start-up support. Monitoring and evaluation from previous schemes suggests the overwhelming majority of participants in this work stream of the proposal have protected characteristics, primarily young people, women and people with impairments.

Furthermore, DCMS and BEIS research, Social Enterprise: Market Trends 2017 shows that 31.5% of Social Enterprise employers are in *"Social and other*

services (education, health, arts etc)" as compared with 8% for SME employers so we can assume with some degree of rigor that there will be additional benefits to people and groups with protected characteristics as a result of the proposed interventions.

Table 5.3: Sector that the business operates in (1- digit SIC 2007 codes)

SIC Code	Business sector	SME employers	Social enterprise employer
unweighted base		619	181
		%	%
ABCDEF	Production	25.3	17.8*
GH	Retail/Distribution	22.2	24.7*
I	Food service/accommodation	9.8	**17.8***
JKLMN	Business services	34.8	**8.2***
PQRS	Social and other services (education, health, arts etc.)	8.0	**31.5**
	Total	100	100

1. Figures in bold were statistically significant (at the 95 per cent confidence level) against the figures for SME employers not defined as social enterprises.
2. * denotes that there were fewer than 50 observations for this cell and should therefore be treated with caution.
3. Percentages may not sum to 100 due to rounding.

3.4 Can they be maximised? If so, how?

Benefit maximisation will be achieved via a networked approach to programme delivery. This includes delivering programme content in community based venues providing an income stream to VCSE actors within the South Bristol Regeneration Area simultaneously supporting community venues as well as being as physically assessable as possible for those with additional barriers whether they are caring responsibilities, physical impairments or low self-esteem.

Furthermore, the networked approach is embedded in consortium delivery partners approach to cross and intra-referral across the programmes to ensure participants are receiving the most appropriate support, delivered by the most appropriate consortium partner. This approach extends to stakeholders outside of the consortium delivering programmes in this space and geography this includes Bristol City Council Employment Skills and Learning, Community Learning Team as well as external partners such as New Enterprise Allowance contract holders. This networked approach allows the consortium partners to provide value-added support and assistance in-programme to participant groups and individuals.

Step 4: So what?

4.1 How has the equality impact assessment informed or changed the

proposal?
The proposal has been designed with those facing significant additional barriers in mind and as such the project team have worked hard to embed equalities best practice into the development of the proposal. Having said that, throughout the process of developing the equality impact assessment some gaps have presented themselves which have required re-thinking some of the underlying assumptions regarding the delivery elements of the programme to ensure greater accessibility. Predominately these have been with regard to emerging best practice and council policy to better support transgender and gender non-binary people, increasing the benefit maximisation via a community based and networked approach and enhancing support in the "pre-pre start" element of the programme.
4.2 What actions have been identified going forward?
To meet the gaps identified in the course of the development of the equality impact assessment we have identified and agreed the following actions: 1. A commitment from delivery partners to update their organisations equality and diversity policy to bring them in line with emerging council policy regarding Trans and gender non-binary people. 2. Commitment to cross and intra refer participants within and outside of the consortium to ensure maximum benefit to the end user. 3. The "pre-pre start" work stream has been enhanced to better suit the needs of groups facing additional barriers including the time, setting and duration of 1:1 and group activity to ensure delivery is as flexible as possible to meet the needs of participant groups.
4.3 How will the impact of your proposal and actions be measured moving forward?
A structured monitoring and evaluation plan has been developed as part of the Full Business Case and Application to the EU / MHCLG and the West of England Combined Authority which has mainstreamed equality and diversity monitoring. Quarterly meetings with all consortium partners are already scheduled and the development of a partner handbook containing supporting documentation and guidance, including additional information on equalities best practice. Bristol City Council Officers, as the lead consortium partner, has committed to refreshing the handbook as new best practice emerges. Monitoring information requested from participants and reported against to the programme funders includes capturing information on protected characteristics and outcomes and the quarterly reporting meetings shall have equality and diversity impact assessment as a standing agenda item to ensure that specific actions regarding equalities impact assessments are maintained

throughout the life of the programme.

Service Director Sign-Off:	Equalities Officer Sign Off: Simon Nelson
Date:	Date: 30th Oct 2019

Appendix F - Eco Impact Checklist

Title of report: South Bristol Enterprise Support Project
Report author: Robin McDowell
Anticipated date of key decision 3rd December 2019

Summary of proposals:
A £1.715 m project over 3 years from Jan/Feb 2020 until Dec 2022, subject to external funding from ERDF and WECA Investment Fund being approved, to provide pre and post start up and growth advice and support, including grant schemes, to prospective entrepreneurs and existing businesses and social enterprises across a range of industry sectors based in South Bristol, with a particular focus on the Regeneration Area around Filwood, Hartcliffe & Withywood, Hengrove and Whitchurch Park, and parts of Bedminster, Windmill Hill, Knowle, Bishopsworth and Stockwood. The project will be led by Bristol City Council, as lead and accountable body for the external funding, and delivered by YTKO Ltd, School for Social Entrepreneurs, The Prince's Trust, and Knowle West Media Centre, and a 'pre scale up' support contractor (to be procured), and will work with community-based organisations and local business / trader groups to engage residents and businesses in need of support to start up and grow. Advice and support workshops, communications and on-line platforms will include content and advocacy of environmental business and resource efficiency (EBRE) measures.

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	As a result, most new and existing businesses supported across sectors should minimise their operating emissions	Advice / support / grants given to adopt or increase EBRE measures. Positive policies and advocacy by BCC & delivery partners.
		+ive/-ive	Workspaces will be used by start-up businesses	It is anticipated that spaces can be offered when the Bottle yard expansion and Hengrove Park plans are completed, these will go through cabinet separately but it can be expected that they will built to a high environmental/ energy specification.
Bristol's resilience to the effects of climate change?	No			
Consumption of non-renewable resources?	Yes	+ive	As a result, most new and existing	Advice / support / grants given to adopt or

			businesses supported should use resources more efficiently.	increase EBRE measures. Positive policies and advocacy by BCC & delivery partners.
Production, recycling or disposal of waste	Yes	+ive	As a result, most new and existing businesses supported should minimise their production of waste and/or re-cycle it.	Advice / support / grants given to adopt or increase EBRE measures. Positive policies and advocacy by BCC & delivery partners.
The appearance of the city?	No			
Pollution to land, water, or air?	Yes	+ive	As a result, most new and existing businesses should avoid or minimise such pollution	
Wildlife and habitats?	Yes	+ive	As a result, most new and existing businesses should avoid or minimise harm to wildlife or habitats (where applicable)	Advice / support / grants given to adopt or increase EBRE measures. Positive policies and advocacy by BCC & delivery partners.

Consulted with: BCC Sustainability Service and the Project Delivery Partners

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

The significant impacts of this proposal are…that a substantial number of start up entrepreneurs and existing businesses in South Bristol will be assisted by the project and coached / supported to reduce their emissions and other harmful environmental practices

The proposals include the following measures to mitigate the impacts…Inclusion of content on Environmental Business and Resource Efficiency measures and best practices in the enterprise advice/support workshop programme and on-line platforms, and positive policies and advocacy by BCC and partners to improve business practices.

The net effects of the proposals are Positive.

Checklist completed by:

Name:	Robin McDowell
Dept.:	Economic Regeneration
Date:	4th October 2019
Verified by Environmental Performance Team	Nicola Hares

Decision Pathway Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 03 December 2019

TITLE	Local Growth Fund Re-allocation, including Portway Park & Ride Rail Station	
Ward(s)	Avonmouth & Lawrence Weston	
Author:	**Andrew Davies / Douglas Sole**	**Job title: Principal Transport Planner**
Cabinet lead: Cllr Kye Dudd		**Executive Director lead: Stephen Peacock**
Proposal origin: *BCC Staff*		
Decision maker: Cabinet Member **Decision forum:** *Cabinet*		

Purpose of Report:

1. To provide information on the status of the remaining Bristol allocation of the Local Growth Fund (LGF) Sustainable Transport Package (STP) funding.
2. To seek approval to submit requests to the West of England (WoE) Local Enterprise Partnership (LEP) to re-allocate £1m LGF STP funding to the Portway Park & Ride Rail Station project and to spend this funding subject to requests being approved.
3. To provide an update on the Portway Park & Ride (P&R) Station Project, including changes to project costs and programme.

Evidence Base:

1. There is £3.266m LGF STP funding remaining to be allocated to Bristol projects; Cabinet approval was granted on 4 September 2018 to submit an outline business case for this funding to be utilised on Redcliffe Corridor. This funding was not given effect to as delivery of the project was deemed unachievable during the timescales of the funding. This funding is therefore eligible for re-allocation to schemes which meet the desired objectives.
2. £1.824m of this funding is provisionally allocated to the A4018 project, subject to completion of Full Business Case; this leaves £1.442m to be allocated. BCC Cabinet approval for the allocation of LGF STP funding to the A4018 Corridor project was given on 18 June 2019.
3. LGF STP funding is required to be utilised by March 2021 or it will be returned to central government. The West of England LEP administers the fund on behalf of the local councils.
4. This funding must be used on projects to promote sustainable transport by delivering infrastructure improvements.
5. Following detailed development of the Portway P&R Station project, the cost estimate for completing the project now has a funding gap of £1m to £1.3m, so it is recommended that £1m of the unallocated LGF funding be requested for this project, subject to WoE LEP approval, in order to secure the project's delivery.
6. The remaining £0.442m is intended to be allocated to the Hengrove Junctions Improvement Project, but the details of this will not be included in this report, as the costs for this project have not yet been confirmed.

Portway P&R Rail Station Background

7. The Portway P&R Rail Station project was considered by BCC's Cabinet in November 2016 when approval was given to bid for funding to deliver the project, and if that bid(s) was successful, to enter into agreements with Network Rail to undertake design and construction of the new station. Following this, BCC successfully bid to both the LEP LGF and the Department for Transport's (DfT) New Stations Fund (NSF) as follows:

- DfT NSF: £1.672m
- LGF: £553k

8. In the meantime, the project has been progressing through Network Rail's project development process, known as 'GRIP', which all rail projects must comply with. The 'GRIP4' development work (the detailed development of the preferred option) has now been completed and this has highlighted an increase of total project costs. The cost to complete the core rail elements of the project from this point is now £2.842m plus additional industry risk and fee costs. The full cost of the station, including development work already undertaken and funded, is in the range of £3.4m to £3.6m, depending on detailed design and the level of allowance made for risk, which will be refined with further project development.

9. The funding gap for completion of the project, including the delivery of wider access arrangements within the Park & Ride site, is in the region of £1m to £1.3m. It is hoped that refined costs following further project development will come in at the lower end of this scale, with potential reductions in risk allowances and opportunities for savings in construction given that it is likely to be a relatively simple construction project in rail station terms. It is therefore proposed to allocate £1m of LGF STP funding with any further funding requirements to be identified and approved as part of the wider annual transport capital programme, funded by the Integrated Transport Block.

10. There are a number of key areas which have influenced the project's cost increase:
    - Network Rail's presentation of previous project scheme costs did not comprehensively represent full project costs, such as the cost of work already undertaken, project management and contractor overheads / profit.
    - Detailed development of the scheme has highlighted additional costs associated with track drainage, and other construction costs such as foundations for signals, lighting, walkways and associated preliminary works.
    - Platform length design has increased from 105m to 126m and an additional passenger waiting shelter has been included, to future proof the station for longer trains which is an aspiration for the Severn Beach line.

11. There has been a reduction of costs in some areas of the project as it has developed, for example overall risk costs have reduced, in recognition of a more detailed understanding of overall project costs, which has been informed by a Quantified Cost Risk Assessment that has appraised risk across all areas of the project. The risk allowance is now approximately 18% of total costs to complete the project from this point.

12. The previous programme set out in the 2016 Cabinet Report aimed to complete the project in 2019. Due to delays in completing the GRIP4 study, and the further delays incurred due to the cost estimate increase, the programme has now been revised for completion at the end of 2020.

13. The next phase of the project is detailed design. Officers are working with Network Rail and DfT to agree the key deliverables to enable the project to progress into this stage with no financial risk to BCC as the cost of deliverables will be drawn down against the New Stations Fund. However, to enable the project to continue without further delay, BCC needs to identify funding to complete the project and it is felt that the LGF STP is appropriate for this.

14. Whilst it is disappointing that project costs have increased, it is felt that the reasons for the cost increase relate predominantly to Network Rail project development processes and future proofing of the station, so the project is still considered to be feasible. If the project was to be further delayed, the LGF and DfT grants already allocated to the project would be put at risk, making the station far more challenging to deliver in the future.

Cabinet Member / Officer Recommendations:
That Cabinet
1. Delegate authority to the Director, Economy of Place, to submit a request to the West of England Local Enterprise Partnership to allocate £1m of the remaining LGF STP funding to meet the additional Portway Park & Ride Rail Station project costs as set out in this report.
2. If the request is approved, delegate authority to Director, Economy of Place, to spend up to £1.3m on the Portway Park & Ride Rail Station project. Any additional funding requirements over and above those already covered by these grants will be met from the transport capital programme budget.
3. Delegate authority to the Director, Economy of Place, to procure and enter into all contracts required for the

| | Portway Park & Ride Rail Station project. |

Corporate Strategy alignment:
1. The Portway P&R Station project is seeking to deliver a new station at the existing Portway P&R site, linking the site to the Severn Beach Rail line, thereby widening access to the rail network, better linking the local community to the rail network and encouraging modal shift from private car trips.
2. 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:
1. The Portway P&R Station project is seeking to deliver a new station at the existing Portway P&R site, linking the site to the Severn Beach Rail line, thereby widening access to the rail network, better linking the local community to the rail network and encouraging modal shift from private car trips.
2. Park & Ride sites are perceived to be safe for users to use and the ability to park close to the station, in an area covered by CCTV and lighting, widens access to the rail network to some citizens who may feel excluded, for example by not feeling comfortable using local rail stations at quieter times. The station will include accessible parking bays close to the entrance and secure cycle parking.
3. The station forms part of the wider MetroWest programme of rail enhancements, which will improve cross city rail services and; deliver new rail lines and stations.
4. The new station will be designed to be fully accessible and will be manged and operated by the Great Western rail franchise operator who is required to comply with franchise requirements around accessibility and assisted travel.

Consultation Details:
1. Internal and member consultation undertaken via the Cabinet approval process in November 2016.
2. Periodic progress updates and discussions with key stakeholders via the West of England MetroWest Stakeholder Group.
3. Ongoing engagement with West of England colleagues and rail industry stakeholders.

Background Documents:
Cabinet Approval 'Transport Investment Programme' (4 October 2012):
https://democracy.bristol.gov.uk/CeListDocuments.aspx?CommitteeId=135&MeetingId=466&DF=04%2f10%2f2012&Ver=2
Cabinet Approval 'Portway Park and Ride Rail Station bid proposal' (1 November 2016):
https://democracy.bristol.gov.uk/ieListDocuments.aspx?CId=135&MId=235
Cabinet Approval 'Redcliffe Corridor Improvements – Local Growth Fund Bid' (4 September 2018):
https://democracy.bristol.gov.uk/ieListDocuments.aspx?CId=135&MId=3094
Cabinet Approval 'A4018 outcome of consultation & request to submit full business case to WECA' (18 June 2019):
https://democracy.bristol.gov.uk/ieListDocuments.aspx?CId=135&MId=3684

Revenue Cost	£0	Source of Revenue Funding	*N/A*
Capital Cost	£1,300,000	Source of Capital Funding	Grant
One off cost ☒	Ongoing cost ☐	Saving Proposal ☐	Income generation proposal ☐

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

1. Finance Advice:
The Portway P&R Rail Station project was considered by BCC's Cabinet in November 2016 when approval was given for funding to be bid for to deliver the project. BCC successfully bid to both the LEP LGF and the Department for Transport's (DfT) New Stations Fund (NSF) as follows:

- DfT NSF: £1.672m
- LGF: £553k

1. Recent 'GRIP4' development work (the detailed development of the preferred option) has now highlighted an increase of total project costs. The full cost of the station, including development work already undertaken and funded, is in the range of £3.4m to £3.6m, depending on detailed design and the level of allowance made for risk, which will be refined with further project development.

2. The funding gap for completion of the project, including the delivery of wider access arrangements within the Park & Ride site, is in the region of £1m to £1.3m (including contingencies).

3. This report is seeking approval to submit a request to WECA to reallocate £1m already allocated to BCC projects to the Portway P&R project, and also to approve up to an additional £1.3m spend on the Portway P&R project. There are no additional funding requirements for BCC. Any additional funding requirements over and above those already covered by these grants will be met from the transport capital programme budget.

Finance Business Partner: Kayode Olagundoye, Interim Finance Business Partner, Growth and Regeneration, 5 November 2019

2. Legal Advice:
The Council has the power to apply for the funding detailed in the recommendations and spend such funding as set out in the recommendations under Section 1 of the Localism Act 2011.

The Council will be in receipt of a grant which has the potential to constitute State aid, which is prohibited under the Treaty on the Functioning of the European Union, and is likely to remain prohibited following Brexit. It is likely the project can be structured to ensure the grant does not constitute State aid, or that any State aid present falls under one of the available exemptions. However, officers will need to ensure legal advice is obtained to ensure this risk is mitigated.

The procurement process must be conducted in line with the 2015 Procurement Regulations and the Councils own procurement rules. Legal services will advise and assist officers with regard to the conduct of the procurement process and the resulting contractual arrangements.

Legal Team Leader: Sinead Willis, Team Leader Commercial and Governance, 5 November 2019

3. Implications on IT: No impact expected to IT Services

IT Team Leader: Simon Oliver, Digital Transformation – Resources, IT, 16 October 2019

4. HR Advice: No HR implications anticipated

HR Partner: Celia Williams, HR Business Partner, 27 October 2019

EDM Sign-off	Patsy Mellor	9 October 2019
Cabinet Member sign-off	Cllr Kye Dudd	14 October 2019
For Key Decisions - Mayor's Office sign-off	Mayor's Office	4 November 2019

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

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

Bristol City Council Equality Impact Relevance Check

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

What is the proposal?	
Name of proposal	Local Growth Fund Re-allocation, including Portway P&R Rail Station
Please outline the proposal.	Delivery of a new rail station to serve the existing Portway Park & Ride site. The specific proposal is to re-allocate £1m of Bristol's Local Growth Fund (LGF) allocation to the project, following identification of a funding increase.
What savings will this proposal achieve?	None
Name of Lead Officer	Andrew Davies

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 new station will provide a safe environment for users to access the rail network via the Portway Park & Ride site, which includes a safe parking environment. The station will include additional accessible parking bays for rail users and the ability for passengers to be dropped off close to the station entrance. The platform and access from the car park will be step free with Equality Act Compliant gradients. The station will form part of the local station network managed by the Great Western Rail Franchise holder and as such will offer Assisted Travel options for passengers who require assistance. As an alternative to car use, the rail station will provide air quality improvements benefitting the health of Bristol's residents.
Please outline where there may be significant negative impacts, and for whom.
There will be some minor negative impacts associated with additional train stops, such as increased noise. The Planning Consent is subject to a condition requiring that the use of any public address system shall not commence until details of the system has been approved by the Council, in order to safeguard the amenities of adjoining residential occupiers.

The LGF funding proposed to be re-allocated was previously allocated to the Redcliffe Corrridor highway scheme but the development of this project is now deemed unachievable during the timescales of the funding. The funding is therefore eligible for re-allocation to schemes which meet the desired objectives. |

Could your proposal impact staff with protected characteristics?
(i.e. reduction in posts, changes to working hours or locations, changes in pay)
Please outline where there may be significant opportunities or positive impacts, and for whom.
This project will not impact on posts, working hours or pay.
Please outline where there may be negative impacts, and for whom.
This project will not impact on posts, working hours or pay.

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.	The proposal to re-allocate additional LGF funding to the project will enable full delivery of the project. The project will improve access to the rail network for people with protected characteristics. The scheme design is subject to Network Rail's Diversity Impact Assessment process, with approval required by their Built Environment Accessibility Panel.
Service Director sign-off and date:	Equalities Officer sign-off and date: Simon Nelson – 30th Oct 2019

Eco Impact Checklist

Title of report: Local Growth Fund Re-allocation: Portway Park & Ride Rail Station
Report author: Andrew Davies / Douglas Sole
Anticipated date of key decision 3 December 2019

Summary of proposals:

The Purpose of the Cabinet report is:

- To provide information on the status of the remaining Bristol's allocation of the Local Growth Fund (LGF) Sustainable Transport Package (STP) funding.
- To seek approval to submit requests to the West of England (WoE) Local Enterprise Partnership (LEP) to reallocate £1m LGF STP funding to the Portway Park & Ride Rail Station project and to spend this funding subject to requests being approved.
- To provide an update on the Portway Park & Ride (P&R) Station Project, including changes to project costs and programme.

The project has been progressing through Network Rail's project development process, known as 'GRIP', which all rail projects must comply with. The 'GRIP4' development work (the detailed development of the preferred option) has now been completed and this has highlighted an increase of total project costs. An additional £1m is now required to complete the project and it is proposed to allocate an additional £1m of LGF funding.

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	Enhancements to the rail network contribute to a reduction in emissions through increased sustainable travel choices. Some negative impacts deceleration and acceleration associated with an additional stop in terms of noise and diesel use. Providing a rail link at the existing Portway P&R site will encourage a mode shift from car to rail for all or part of some journeys.	Enhancement of the local rail network offsets negative air quality impacts of an additional station stop.
		-ive	Construction of the	The project is being

			station will result in the emission of climate changing gases; including the whole life embedded carbon in materials used and the use of associated construction tools.	progressed through Network Rail's GRIP process to identify and manage environmental risks associated with the construction and operational phases of the project.
Bristol's resilience to the effects of climate change?	y	+ve	Providing a rail link at the existing Portway P&R site will encourage a mode shift from car to rail for all or part of some journeys and improves the resilience of the transport network due to reduced reliance on private motor transport. The station and route are not in flood risk zones.	
Consumption of non-renewable resources?	Y	-ve +ive	Construction of new infrastructure consumes materials and fuels Promotion of sustainable travel modes that results in modal shift away from single occupancy vehicle use will reduce consumption of non-renewable fossil fuels.	Construction management plan to be agreed (conditioned at planning consent), which will seek to minimise effects of construction traffic. Explore the use of recycled aggregate materials as well as the reuse of salvageable materials on site in the construction of the facility
Production, recycling or disposal of waste	Y	-ve	Waste will be produced through infrastructure and engineering works.	Ensure that waste is disposed of according to the waste hierarchy and waste legislation. A waste management plan will need to be created by the contractor.
The appearance of the	Y	+ve	Enhancements to the	Enhancement of the local

city?			rail network contribute to wider travel choices and less reliance on the private car.	rail network.
Pollution to land, water, or air?	Y	+ve	Enhancements to the rail network contribute to a reduction in emissions through increased sustainable travel choices. Some negative impacts of increased diesel train frequency. The historic Portway Landfill site is located to the South East of the site. It is a 1970s commercial and household waste landfill site, so there may be contaminated land and landfill gas may have migrated, to the proposed location of the station. Excavation may create pathways for the escape of gas or contaminants.	Enhancement of the local rail network off sets negative air quality impacts of increased train frequencies. Seek advice from the Pollution Control Team and undertake thorough site investigation to identify protective measures and possible remediation.
Wildlife and habitats?	Y	+ve	Development of infrastructure has the potential to harm wildlife and habitats during construction.	Planning consent has conditioned that prior to the commencement of development, an ecological mitigation and enhancement strategy must be prepared and approved by BCC.

Consulted with:

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

The significant impacts of this proposal are…

The proposals include the following measures to mitigate the impacts…

The net effects of the proposals are

The reduction in emissions of pollutants and carbon from fewer cars being driven into the city is likely to exceed the emissions from building the station and running more trains, although this will depend on uptake. The city's vulnerability to climate change is not likely to be affected and there will be little visual impact. A site waste management plan will be implemented to manage any waste associated with construction. The most significant potential impacts would associated with works causing a release of migrated landfill gas or contaminants from the adjacent former landfill site, or affecting any non-native invasive plant species, or protected species. Liaison with the council's Pollution Control team, biodiversity surveys, and use of the Network Rail GRIP methodology will ensure that these potential impacts will be investigated and mitigated.

The overall impact is expected to be positive, provided that there is sufficient uptake of the service.

Checklist completed by:

Name:	Andrew Davies
Dept.:	Strategic Transport
Extension:	
Date:	16 October 2019
Verified by Environmental Performance Team	Nicola Hares

Decision Pathway Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 03 December 2019

TITLE	Challenge Fund: Transport Maintenance Funding bid
Ward(s)	City Wide
Author: Jacob Pryor	**Job title:** Principal Transport Planner
Cabinet lead: Kye Dudd, Cabinet Member for Transport	**Executive Director lead:** Stephen Peacock
Proposal origin: BCC Staff	
Decision maker: Cabinet Member **Decision forum:** Cabinet	

Purpose of Report:

1. Two bids to the government's Challenge Fund competition were submitted on the October 31st 2019. This report seeks permission to deliver the '**Bid A'** (see below for details) if successful in securing the grant and approve the submission of a Full Business Case for the **'Bid B'** (see below for details) subject to a successful Expression of Interest. The intention would be that the acceptance of Bid B (if successful) would be subject to Cabinet approval in early 2020 dependent on when government announces the outcome of the competition.

2. Both bids aim to bolster our transport maintenance funding budgets, helping the council to repair local roads and structures.

3. Both bids will, if successful, will require match-funding as detailed below.

Evidence Base:

1. On the 7th August government released guidance for applying to the Challenge Fund competition which aims to bolster local authority budgets for the maintenance of local roads and transport structures.

2. Two tranches of funding are open to applicants: smaller funding bids (Bid A) of <£5m for delivery in 2019/20 to contribute to road re-surfacing, maintenance of drainage assets and/or reconstruction of footways, cycleways and carriageways.

3. The 2nd tranche of funding is for larger funding bids (Bid B) >£5m for delivery in 2020/21 and is targeted at major maintenance projects including bridges, viaducts, retaining walls and other significant structures.

4. BCC are permitted to (and have) applied for both grants.

5. The deadline for both bid submissions was the 31st October: a full business case was required for Bid A and an Expression of Interest for Bid B.

6. **Bid A:** BCC has submitted a bid to undertake structural carriageway repairs to the resilient, strategic bus and cycle networks using innovative road condition survey techniques developed over the past year. The additional investment in the area will target highways that require surfacing in the next 2 years allowing the 20/21 and 21/22 road resurfacing programmes to be expanded. This will reduce potholes and temporary works, whilst improving road safety, customer experience and meeting the Highways Maintenance Efficiency Programme which states that "Prevention is better than cure." In addition, we intend putting Bristol's waste plastics from the recycling centres into the base layers of the structural repairs. The repairs are estimated to cost £3,888m

7. **Bid B:** BCC have recently undertaken an inspection of St Philips Causeway (Spine Road) that runs from Lawrence Hill to the A4 Bath Road. The structure is now reaching 30 years old and requires its first major service. We have already reduced the speed limit on the 1km structure to 40 mph due to the condition of the

central barrier. The surface and waterproofing are at the end of life and the structural bearings need servicing. The parapets do not meet safety standards for cyclists and the entire steel structure requires repainting as it is on the verge of needing total removal if it is not re-covered and re-protected. As part of this work we will be looking at the sustainable transport offer across the structure including a new segregated cycle lane and a new footway. The repairs are estimated to cost in the region of £20m. An Expression of Interest has been submitted , and should this be accepted there will be a further opportunity to refine costs and the project plan as we take the proposal to Full Business Case for submission to the DfT later in the year.

8. Other options considered for the **Bid B** included Vauxhall Footbridge, the Avon Fixed Bridge and New Brislington Bowstring Bridge. These were not taken forward due to not meeting the criteria set by the funding body, most notably the requirement that repairs must exceed £5m.

Cabinet Member / Officer Recommendations:

That Cabinet:

1. Notes the 2 funding bids detailed in the report recognising that if successful they will require match funding of up to £6m.
2. Authorises the Executive Director for Growth and Regeneration (in consultation with the Director for Finance, the Director for Management of Place and the Cabinet Member for Transport and Energy), to accept the funding award for **Bid A** of £3.88m and to thereafter deliver the project detailed in the report, including the procurement of all necessary contracts (goods, services or works) which may include individual contracts above the key decision threshold, and including the use of council match funding of up to £1,104m
3. Authorises the Executive Director for Growth and Regeneration (in consultation with the Director for Finance The Director for Management of Place and the Cabinet Member for Transport and Energy), to proceed with the development and submission of a Full Business Case for the **Bid B** (subject to a successful Expression of Interest) with a further report to Cabinet should the bid be successful.
4. Authorises the use of the Councils Highways Maintenance Budget for match funding in respect of both projects, to the extent that this cannot be secured from other sources, up to a maximum of £2.2m

Corporate Strategy alignment:

- Well Connected – Take bold and innovative steps to make Bristol a joined up city, linking up people with jobs and each other.

City Benefits:

1. Improving the quality of local roads will have benefits for all users. Cyclists and pedestrians will be at less risk of injury through potholes and other road defects. Safety for motorised traffic (inc. public transport) will also be improved and instances of damage to vehicles through poor surface quality will be reduced.
2. By adopting an approach of "Prevention is better than cure" and tackling maintenance issues before they become critical or unsalvageable, the projects will help ensure more efficient and effective use of the existing maintenance budgets.
3. The introduction of a segregated cycle facility and new footway will improve safety for those users crossing St Phillips Causeway

Consultation Details:

Consultation with internal teams is ongoing to identify opportunities, risks and constraints. There is no precedent for public consultation on essential maintenance works, representing as they do a statutory duty.

Background Documents: The sub £5m 'smaller' bid will be available on travelwest.info/projects. The 'larger bid' EoI is at stage 1 of a 2 stage bidding process and to ensure we are competitive with other local authority submissions this is not publicly available at this stage.

Revenue Cost	n/a	Source of Revenue Funding	n/a
Capital Cost	**Bid B** £22,732, 000 **Bid A** £3,888,000	Source of Capital Funding	**Bid B** DfT Funding: £21,732,000 Match Funding: £1m Prudential Borrowing **Bid A**

Version April-2018

			DfT Funding: £2,784,000 *Match Funding:* Maintenance Budget: £500,000 Prudential Borrowing: £450,000 S106: £154,000
One off cost ☒	**Ongoing cost** ☐	**Saving Proposal** ☒	**Income generation proposal** ☐

Required information to be completed by Financial/Legal/ICT/ HR partners:
Finance Advice: BCC has been invited to submit bids for the challenge fund competition. A smaller bid (<£5m) that covers carriageway repairs works and the total bid amount is £3.88m (includes match funding from S106 as well as other existing budgets). Also a larger bid (>£5m) for major infrastructure works that is in need of larger cash injection and has wider benefits for the area. BCC bid for Bid B totals c£23m (includes Match funding of £1m from within existing budgets). Only expressions of interest are required at this stage for Bid B, thus the costs are very high level at this stage. If successful, BCC is expected to develop and submit a full business case in support of Bid B, and will need to come back to Cabinet with a separate report seeking approval to submit the FBC and/or accept any grant awarded Bid A This report asked Cabinet to note that bids had been submitted in October 2019. It asked for delegated authority to be granted to senior officers (as stated above) to accept any grants awarded as well as to lead the development of the FBC for the larger bid (if successful at the first stage). There are no new costs implications for BCC as a result of this decision.
Kayode Olagundoye, Interim Finance Business Partner, Growth and Regeneration, 30/10/19
Legal Advice: The submission of bids for grant funding raises no particular legal issues. If successful, the procurement process must be conducted in line with the 2015 Procurement Regulations and the Councils own procurement rules. Legal services will advise and assist officers with regard to the conduct of the procurement process and the resulting contractual arrangements. The recommendation seeks approval to proceed with the smaller project, notwithstanding that it may involve contracts valued above the key decision threshold, and also approval to match fund from the maintenance budget
Eric Andrews, Team Leader, Legal Services, 30/10/19
Implications on IT: '**No impact anticipated on IT Services'**
Simon Oliver, Director of Digital Transformation: 11/09/19
HR Advice: '**No HR implications are evident'**
Celia Williams, HR Business Partner, G&R: 13/09/19

Appendix A – Further essential background / detail on the proposal	**YES**
Appendix B – Details of consultation carried out	**NO**
Appendix C – Summary of any engagement with scrutiny	**NO**
Appendix D – Risk assessment *risks documented in Appendix B*	**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**

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Local Highways Maintenance Challenge Fund

Application Form: bids for funding in 2019/20

The level of information provided on this form should be proportionate to the size and complexity of the works proposed. An Excel data proforma should also be completed.

Note that DfT funding is a maximum of £5 million per project for bids in 2019-20. An individual local highway authority may apply to bid for only one scheme. Funding will be provided in 2019/20, but it is recognised that construction may go into 2020/21 as well. The closing date for bids is 31 October 2019.

For schemes submitted by a Combined Authority for component authorities a separate application form should be completed for each scheme, then the CA should rank them in order of preference.

<u>**Applicant Information**</u>

Local authority name:

Bid Manager Name and position:

Name and position of officer with day to day responsibility for delivering the proposed scheme.

Contact telephone number: **Email address:**

Postal address:

             Postcode

Combined Authorities

If the bid is from a local highway authority within a Combined Authority, please specify the contact and ensure that the Combined Authority has submitted a Combined Authority Application Ranking Form.

Name and position of Combined Authority Bid Co-ordinator:

Contact telephone number: **Email address:**

Postal address:

When authorities submit a bid for funding to the Department, as part of the Government's commitment to greater openness in the public sector under the Freedom of Information Act 2000 and the Environmental Information Regulations 2004, the local highway authority must also publish a version excluding any commercially sensitive information on their own website within two working days of submitting the final bid to the Department.
Please specify the weblink where this bid will be published:

SECTION A – Description of works

A1. Project name:

A2. Headline description:

Proposed start date _____

Estimated Completion date _____

Brief description

A3. Geographic area:

Please provide a short description of the location referred to in the bid (in no more than 50 words)

OS Grid Reference:
Postcode:

You might wish to append a map showing the location (and route) of the proposed project, existing transport infrastructure and other points of particular interest to the bid.

A4. Type of works (please tick relevant box):

DfT funding of **up to £5 million in 2019/20**

Structural maintenance, strengthening or renewal of bridges, viaducts, retaining walls or other key structures, footbridge or cycle bridge renewal
☐

Major maintenance, full depth reconstruction of carriageways, structural maintenance of tunnels
☐

Resurfacing of carriageways including improvements to footways or cycleways that are within the highway boundary
☐

Renewal of gullies and replacement of drainage assets
☐

Highways Maintenance Challenge Fund 2019/20 Application Form

SECTION B – The Business Case

B1. The Financial Case – Project Costs and Profile

Before preparing a proposal for submission, bid promoters should ensure they understand the financial implications of developing the project (including any implications for future resource spend and ongoing costs relating to maintaining and operating the asset), and the need to secure and underwrite any necessary funding outside the Department's maximum contribution.

Please complete the table below. **Figures should be entered in £000s** (i.e. £10,000 = 10).

Funding profile (Nominal terms)

£000s	2019-20	2020-21
DfT Funding Sought		DfT funding not available in 2020-21
LA Contribution		
Other Third Party Funding		

Notes:
1) Department for Transport funding will be granted in the 2019-20 financial year but local highway authorities may carry that funding over to following financial years if necessary.
2) There is no specific amount for a local contribution by the local authority and/or a third party but if this is proposed please state what this is expected to be.

B2. Local Contribution / Third Party Funding

Please provide information on the following points (where applicable):

a) The non-DfT contribution may include funding from the local authority or a third party. This should include evidence to show how any third party contributions are being secured, the level of commitment and when they will become available.

b) Please list any other funding applications you have made for this project or variants of it and the outcome of these applications, including any reasons for rejection (e.g. applications made through any similar competition).

B3. Strategic Case (sections (a) to (g) below)

This section should **briefly** set out the rationale for making the investment and evidence of the existing situation, set out the history of the asset and why it is needs to be repaired or renewed. It should also include how it fits into the overall asset management strategy for the authority **and why it cannot be funded through the annual Highways Maintenance Block Funding grant.**

Highways Maintenance Challenge Fund 2019/20 Application Form

a) What are the current problems to be addressed by the proposed works? (Describe economic, environmental, social problems or opportunities which will be addressed by the scheme).

b) Why the asset is in need of urgent funding?

c) What options have been considered and why have alternatives have been rejected?

d) What are the expected benefits / outcomes?

f) What will happen if funding for this scheme is not secured? Would an alternative (lower cost) solution be implemented (if yes, please describe this alternative and how it differs from the proposed scheme)?

g) What are the economic, environmental and social impacts of completing this project?

B4. Equality Analysis

Has any Equality Analysis been undertaken in line with the Equality Duty? ☐ Yes   ☐ No

B5. The Commercial Case

This section categorises the procurement strategy that will be used to appoint a contractor and, importantly for this fund, set out the timescales involved in the procurement process to show that delivery can proceed quickly.

What is the preferred procurement route for the scheme? For example, if it is proposed to use existing framework agreements or contracts, the contract must be appropriate in terms of scale and scope.

Framework contract   ☐

Direct labour   ☐

Competitive tender   ☐

It is the promoting authority's responsibility to decide whether or not their scheme proposal is lawful; and the extent of any new legal powers that need to be sought. Scheme promoters should ensure that any project complies with the Public Contracts Regulations as well as European Union State Aid rules, and should be prepared to provide the Department with confirmation of this, if required. An assurance that a strategy is in place that is legally compliant and is likely to achieve the best value for money outcomes is required from your Section 151 Officer below.

B6. Delivery of project

Are any statutory procedures, such as planning permission, required to deliver the project? If yes please provide details below;

☐ Yes ☐ No

Details of statutory procedures before works can commence

Highways Maintenance Challenge Fund 2019/20 Application Form

SECTION C: Declarations

C1. Senior Responsible Owner Declaration	
As Senior Responsible Owner for [*scheme name*] I hereby submit this request for approval to DfT on behalf of [*name of authority*] and confirm that I have the necessary authority to do so. I confirm that [*name of authority*] will have all the necessary powers in place to ensure the planned timescales in the application can be realised.	
Name:	Signed:
Position:	

C2. Section 151 Officer Declaration	
As Section 151 Officer for [*name of authority*] I declare that the scheme cost estimates quoted in this bid are accurate to the best of my knowledge and that [*name of authority*] - has allocated sufficient budget to deliver this scheme on the basis of its proposed funding contribution - will allocate sufficient staff and other necessary resources to deliver this scheme on time and on budget - accepts responsibility for meeting any costs over and above the DfT contribution requested, including potential cost overruns and the underwriting of any funding contributions expected from third parties - accepts responsibility for meeting any ongoing revenue requirements in relation to the scheme - accepts that no further increase in DfT funding will be considered beyond the maximum contribution requested - has the necessary governance / assurance arrangements in place - has identified a procurement strategy that is legally compliant and is likely to achieve the best value for money outcome - will ensure that a robust and effective stakeholder and communications plan is put in place	
Name:	Signed:

Submission of bids:

The deadline for bid submission is 5pm on **31 October 2019**
Successful bids for Challenge Fund Tranche 2B are to be funded in 2019/20.
An electronic copy only of the bid including any supporting material should be submitted to:

roadmaintenance@dft.gov.uk copying in Paul.O'Hara@dft.gov.uk

Highways Maintenance Challenge Fund 2019/20 Application Form

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	Challenge Fund: Transport Maintenance Funding Bid
Please outline the proposal.	1. On the 7th August government released guidance for applying to the Challenge Fund competition which aims to bolster local authority budgets for the maintenance of local roads and transport structures. 2. Two tranches of funding are open to applicants: smaller funding bids of <£5m for delivery in 2019/20 to contribute to road re-surfacing, maintenance of drainage assets and/or reconstruction of footways, cycleways and carriageways. 3. The 2nd tranche of funding is for larger funding bids >£5m for delivery in 2020/21 and is targeted at major maintenance projects including bridges, viaducts, retaining walls and other significant structures. 4. BCC are permitted to (and have) applied for both grants. 5. The deadline for both bid submissions was the 31st October: a full business case was required for the smaller bid and an Expression of Interest for the larger bid. 6. **Bid A** BCC has submitted a bid to undertake structural carriageway repairs to the resilient, strategic bus and cycle networks using innovative road condition survey techniques developed over the past year. The additional investment in the area will target highways that require surfacing in the next 2 years allowing the 20/21 and 21/22 road resurfacing programmes to be expanded. This will reduce potholes and temporary works, whilst improving road safety, customer experience and meeting the Highways Maintenance Efficiency Programme which states that "Prevention is better than cure." In addition, we intend putting Bristol's waste plastics from the recycling centres into the base layers of the structural repairs. 7. **Bid B:** BCC have recently undertaken an inspection of St Philips Causeway (Spine Road) that runs from Lawrence Hill to the A4 Bath Road. The structure is now reaching 30 years old and requires its first major service. We have already reduced the speed limit on the 1km structure to 40 mph due to the condition of the central barrier. The surface and waterproofing are at the end of life and the structural bearings need servicing. The parapets do not meet safety standards for cyclists and the entire steel structure requires repainting as it is on the verge of needing total removal if it is not re-covered and re-protected. As part of this work we will be looking at the sustainable transport offer across the structure including a new segregated cycle lane and a new footway. The repairs are estimated to cost in the region of £20m. Should the Expression of Interest be accepted there will be a further opportunity to refine costs and the project plan as we take the proposal to Full Business Case for submission to the DfT later in the year. 8. Other options considered for the **Larger Bid** included Vauxhall Footbridge, the Avon Fixed Bridge and New Brislington Bowstring Bridge. These were not taken forward due to not meeting the criteria set by the funding body, most notably the requirement that repairs must exceed £5m.
What savings will this proposal achieve?	If successful both bids will bolster BCC's transport maintenance budget. Alleviating some of the pressure off of this budget will allow additional essential repairs to be undertaken across the network.
Name of Lead Officer	Jacob Pryor

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 scheme will improve safety for all road users by treating highway defects that will reduce the risk of accident and injury.   - Additional benefits will be realised through the introduction of a new segregated cycle path and a new footway facility across St Phillips Causeway.
Please outline where there may be significant negative impacts, and for whom.
There are no anticipated negative impacts from this proposal

Could your proposal impact staff with protected characteristics?
(i.e. reduction in posts, changes to working hours or locations, changes in pay)
Please outline where there may be significant opportunities or positive impacts, and for whom.
This proposal will not impact staff with protected characteristics.
Please outline where there may be negative impacts, and for whom.
This proposal will not impact staff with protected characteristics.

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 potential impacts from this funding bid. Individual Equality Relevance Checks and, where required, Equality Impact Assessments will be carried out by scheme project managers for major works on a case by case basis.
	Reviewed by Equalities and Community Cohesion Team 11/9/2019

Eco Impact Checklist

Title of report: Challenge Fund: Transport Maintenance Funding Bid	

Report author: Jacob Pryor

Anticipated date of key decision 5th November 2019

1. On the 7th August government released guidance for applying to the Challenge Fund competition which aims to bolster local authority budgets for the maintenance of local roads and transport structures.
2. Two tranches of funding are open to applicants: smaller funding bids of <£5m for delivery in 2019/20 to contribute to road re-surfacing, maintenance of drainage assets and/or reconstruction of footways, cycleways and carriageways.
3. The 2nd tranche of funding is for larger funding bids >£5m for delivery in 2020/21 and is targeted at major maintenance projects including bridges, viaducts, retaining walls and other significant structures.
4. BCC are permitted to (and have) applied for both grants.
5. The deadline for both bid submissions was the 31st October: a full business case was required for the smaller bid and an Expression of Interest for the larger bid.
6. **Bid A:** BCC has submitted a bid to undertake structural carriageway repairs to the resilient, strategic bus and cycle networks using innovative road condition survey techniques developed over the past year. The additional investment in the area will target highways that require surfacing in the next 2 years allowing the 20/21 and 21/22 road resurfacing programmes to be expanded. This will reduce potholes and temporary works, whilst improving road safety, customer experience and meeting the Highways Maintenance Efficiency Programme which states that "Prevention is better than cure." In addition, we intend putting Bristol's waste plastics from the recycling centres into the base layers of the structural repairs.
7. **Bid B:** BCC have recently undertaken an inspection of St Philips Causeway (Spine Road) that runs from Lawrence Hill to the A4 Bath Road. The structure is now reaching 30 years old and requires its first major service. We have already reduced the speed limit on the 1km structure to 40 mph due to the condition of the central barrier. The surface and waterproofing are at the end of life and the structural bearings need servicing. The parapets do not meet safety standards for cyclists and the entire steel structure requires repainting as it is on the verge of needing total removal if it is not re-covered and re-protected. As part of this work we will be looking at the sustainable transport offer across the structure including a new segregated cycle lane and a new footway. The repairs are estimated to cost in the region of £20m. Should the Expression of Interest be accepted there will be a further opportunity to refine costs and the project plan as we take the proposal to Full Business Case for submission to the DfT later in the year.
8. Other options considered for the **Larger Bid** included Vauxhall Footbridge, the Avon Fixed Bridge and New Brislington Bowstring Bridge. These were not taken forward due to not meeting the criteria set by the funding body, most notably the requirement that repairs must exceed £5m.

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	Repairing facilities to improve traffic flow and encouraging more people to walk and cycle through providing new	

		- ive	facilities will provide a reduction in greenhouse gas emissions. Repairing and Construction of new facilities will result in the emission of greenhouse gases, from the embedded carbon in new materials used, onsite machinery and increased traffic congestion during works.	Officers in transport will work with the Environmental Performance Team to identify opportunities for the reuse of materials and/or use of recycled materials in the construction of the scheme.
Bristol's resilience to the effects of climate change?	Y	+ve	Providing improved facilities for sustainable transport contributes to the resilience of the transport network due to reduced reliance on private motor transport.	Staff will work with the Strategic Resilience Officer to enhance the opportunities to improve the city's resilience.
Consumption of non-renewable resources?	Y	+ve	Promotion of sustainable travel resulting in mode-shift from single occupancy vehicle use will reduce consumption of non-renewable fossil fuels.	
		+ive	We intend to use sustainable tarmac where possible (For example using Bristol's waste plastics from the recycling centres into the base layers of the structural repairs, warm mixes and rubber crumb)	
		-ve	Construction of the new facilities will require the use of non-renewable	Officers in transport will work with the Environmental

			materials	Performance Team to identify opportunities for the reuse of materials and/or use of recycled materials in the construction of the schemes.
Production, recycling or disposal of waste	Y	+ve	The use of waste plastics in the resurfacing material provides an opportunity to 'reuse' materials that would otherwise be recycled or landfilled	
		-ve	Development of the facilities will result in the production of waste products associated with construction.	Ensure waste is disposed of according to waste legislation and that the waster hierarchy is followed.
The appearance of the city?	Y	+ve	Improvements to pedestrian and cycle facilities and condition of the carriageway have the potential to improve public realm.	
Pollution to land, water, or air?	Y	-ve	Works may cause noise, dust, odour, or light pollution.	Works will be restricted to equipment, times and days that minimises the impact.
		+ve	Promoting sustainable transport will have a positive impact on air quality in the city - especially those interventions that encourage more cycling and walking trips. Encouraging residents to switch from private car to public transport also has a net positive impact on air quality.	Staff will work with the Project Officers with responsibility for air quality to enhance the opportunities to improve the air quality within the city.
Wildlife and habitats?	N		Planned works will take place on	

			existing highway.	
Consulted with:				
Summary of impacts and Mitigation - <u>to go into the main Cabinet/ Council Report</u>				
Checklist completed by: Jacob Pryor				

Name:	Jacob Pryor
Dept.:	Transport
Extension:	07837 006 372
Date:	11/09/19
Verified by Environmental Performance Team	Nicola Hares – Environmental Project Manager

Decision Pathway Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 03 December 2019

TITLE	Access Fund Extension 2020/21
Ward(s)	Citywide
Author: Jacob Pryor	**Job title:** Principal Transport Planner
Cabinet lead: Kye Dudd, Cabinet Member for Transport and Energy	**Executive Director lead:** Stephen Peacock, Executive Director of Growth and Regeneration
Proposal origin: BCC Staff	
Decision maker: Cabinet Member **Decision forum:** Cabinet	

Purpose of Report:

1. A bid for £2.301m of revenue funding was submitted to the Department for Transport's (DfT) *Access Fund Extension 2020/21* grant on the 29/11/19, following an announcement of the competition on 01/11/19

2. Subject to notification from the DfT that the application has been successful, this report requests permission to accept the funding and deliver the project in partnership with the West of England councils - North Somerset, Bath & North East Somerset and South Gloucestershire councils – in the financial year 2020/21.

3. The bid will provide an additional year of funding to the council's existing Access WEST programme which is being delivered between 17/18 and 19/20

4. The bid requires a minimum of 10% match funding - £230,100 (10%) - to be sought from a combination of private sector and local match funding

5. The Access Fund Extension grant will continue the work undertaken in Access WEST, providing a range of behaviour change and engagement events alongside a package of incentives to encourage people to walk, cycle and use public transport more frequently.

6. The project will continue to work across 3 tranches: communities, schools and business and offer incentives such as free loan bikes and discounted bus tickets to help people access work, skills and training; match-funded grants for businesses to install sustainable travel infrastructure (e.g. lockers, bike stands) and support for schools to encourage pupils to walk more often.

7. The original Access WEST project bid submission which the extension funding would replicate (albeit with reduced targets reflecting a 1 year programme, compared to the initial 3 years granted) can be found here: https://travelwest.info/projects/access-west

Evidence Base:

Promoting sustainable forms of travel to citizens has a range of benefits, both for the individual and the city. Examples include economic benefits (through reduced absenteeism), health benefits (through increased physical activity), air quality benefits (through reduced NO_2 emissions), greenhouse gas reduction (through reduced CO_2 emissions) and congestion benefits (through more efficient use of roadspace) *Source: walking and cycling the economic benefits, TfL, 2018*

Evidence suggest that the most effective types of transport project are those that combine both infrastructure (requiring capital funding)) and engagement and promotional activities (requiring revenue funding) *Source: Finding the Optimum, Revenue/Capital Investment Balance for Sustainable Travel*

Cabinet Member / Officer Recommendations:

1. Notes the funding bid detailed in the report recognising that if successful it will require match funding up to

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    £230,100 (10%)

2. Authorises the Executive Director for Growth and Regeneration (in consultation with the Director for Finance, the Director for Management of Place and the Cabinet Member for Transport and Energy), to accept the funding award and to thereafter deliver the project detailed in the report, including procurement of all necessary contracts (goods, services, or works) and including the use of council match-funding up to £231,000

</div>

Corporate Strategy alignment:
Well Connected: Take bold and innovative steps to make Bristol a joined up city, linking up people with jobs and each other

City Benefits:
Promoting Sustainable Transport will: improve health outcomes for our residents, reduce CO2, reduce air pollutants, reduce congestion and provide economic benefits.

Consultation Details:
As this fund is an extension of an existing project and will have no impact on the built environment no consultation is planned.

Background Documents:
The original Access WEST bid, on which this proposal is based, can be found here:
https://travelwest.info/projects/access-west

Revenue Cost	£2,532,000	Source of Revenue Funding	DfT Funding: £2,301,000 Local match/private sector funding: £230,100
Capital Cost	£N/A	Source of Capital Funding	N/A
One off cost ⊠	Ongoing cost ☐	Saving Proposal ⊠	Income generation proposal ☐

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

1. Finance Advice: The Council has submitted a bid to DfT for £2.301m which has requirement to match fund at least 10% of the value of the bid. This report asked Cabinet to note that bids had been submitted in October 201 and for delegated authority to be granted to senior officers (as stated above) to accept any grants awarded and incur £2.532m expenditure to deliver the project as detailed.

Work is on-going to seek local match funding. If additional funding to match the 10% of the grant is not available will be funded from the transport capital programme budget. There are no on-going revenue implications as a result of the expenditure, any on-going maintenance or related costs would be met from existing budgets.

Finance Business Partner: Michael Pilcher, 21/11/2019

2. Legal Advice: <u>Procurement</u>
Provided the agreement is a grant agreement and not a contract for services, it will not need to be procured in compliance with the Public Contracts Regulations 2015. Client officers will need to seek legal assistance to ensure the agreement is a grant agreement.
<u>Equalities</u>
The Council must comply with the requirements of the Public Sector Equality duty when making any decisions. The 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.
In order to do this the decision maker must have sufficient information about the effects of the proposed decision on the aims of the Duty. The Equalities Impact Assessment is designed to assist with compliance with this duty. Its purpose is 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.
<u>State Aid</u>
Whenever the Council receives a benefit or gives a benefit to a third party, there is a risk that benefit may constitute

State aid, which is prohibited (unless it falls under one of the available exemptions).

A benefit must meet a cumulative 4 limb test in order to constitute State aid. One of those limbs is that the beneficiary must be acting as an economic undertaking (e.g. buying and/or selling goods on a market). Provided the Council when spending the grant is not acting as an economic undertaking, the grant will not constitute state aid. When promoting sustainable transport the Council is unlikely to be acting as an undertaking, however the client officers will need to seek detailed legal advice regarding how the grant is to be used by the Council to ensure the Council is not acting as an economic undertaking, and so not in receipt of State aid.

Legal advice will also need to be sought to ensure that any part of the grant transferred to any third parties by the Council does not at that point constitute State aid (or alternatively falls under one of the available exemptions, e.g. if a beneficiary receives grants from any source that constitute State aid, they will be permitted provided the total is less than E200k over any rolling 3 year period).

Legal Team Leader: Sinead Willis, Solicitor/Team Leader, 19/11/19	
3. Implications on IT: No anticipated impact to IT Services	
IT Team Leader: Simon Oliver, Director of Digital Transformation, 18/11/19	
4. HR Advice: There are no HR implications evident	
HR Partner: Celia Williams, HR Business Partner, Growth and Regeneration 18/11/19	

EDM Sign-off	Denise Murray	25.11.19
Cabinet Member sign-off	Cllr Kye Dudd	19.11.19
For Key Decisions - Mayor's Office sign-off	Mayor's Office	13.11.19

Appendix A – Further essential background / detail on the proposal	**NO**
Appendix B – Details of consultation carried out - internal and external	**NO**
Appendix C – Summary of any engagement with scrutiny	**NO**
Appendix D – Risk assessment	**NO**
Appendix E – Equalities screening / impact assessment of proposal	**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**

Decision Pathway Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 03 December 2019

TITLE	Hartcliffe Household Reuse & Recycling Centre (HRRC)	
Ward(s)	Filwood and Bishopsworth	
Author: Oliver Roberts	**Job title:** Senior Project Manager	
Cabinet lead: Cllr Pearce	**Executive Director lead:** Stephen Peacock	
Proposal origin: *Mayor*		
Decision maker: Cabinet Member **Decision forum:** *Cabinet*		
Purpose of Report: 1. To update on the development of a new Household Reuse and Recycling Centre (HRRC) at Hartcliffe Way in south Bristol; to seek approvals for the Capital budget and to enter a Development Agreement and Lease with the Bristol Waste Company.		
Evidence Base: 1. Bristol's "Waste and Resource Management Strategy" (April 2016) makes a commitment to address the inadequacy of the current Household Waste Recycling facilities (HWRC) in Bristol. 2. The need for a new HRRC at Hartcliffe Way is strengthened by land at the Days Road HWRC not being within Council ownership. The Council presently leases part of the site from Network Rail and a new lease to secure its continuing use is presently being negotiated. 3. The administration is committed to the delivery of a third facility for the city. 4. Design Proposals for a standalone HRRC have been developed by Bristol Waste Company's (BWC) Professional Team. It is proposed that enabling construction works will commence in early 2020 and that the new HRRC will become operational in early 2021. 5. A capital allocation of £4m in the Capital Programme was made as part of the 2017 budget process. Following project development the Capital Programme budget requirement has increased to £6m, this reflects increased allowances for purchase of operational plant and equipment; depot relocation costs; additional contingencies; increased egress/access and other operational requirements. 6. The Bristol Waste Company will make a Capital contribution of £1m, which will be in addition to the Council's £6m budget. 7. The feasibility of delivering a Street Cleansing Depot alongside the HRRC as a second phase of development has been discounted since the previous Cabinet Paper in July 2020; this change has required the HRRC to be redesigned as a standalone facility. The change was due to the significant development costs associated with expansion over adjacent land which was a landfill site active in the 1950's. This former use was undocumented on Council and Environment Agency records of ormer landfill sites and was confirmed through site investigations and review of historic ordnance survey records. 8. The future location of the Street Cleansing Depot will be confirmed as part of a City wide review of depot provision. 9. Additional supporting information and detail for the above evidence base is provided in Appendix A.		
Cabinet Member / Officer Recommendations: That Cabinet		

1. approves the Council entering a Development Agreement with Bristol Waste Company to deliver the HRRC facility as detailed in Appendix A,
2. approves allocation of £2m from current capital contingency to this scheme.
3. approves expenditure of the £7m to deliver the works required to deliver the HRRC facility.
4. approves to lease the Council-owned site to Bristol Waste Company on completion of the works, on terms to be negotiated and agreed by the Executive Director Growth and Regeneration;
5. notes that the ongoing revenue costs for the operation of the HRRC are still being developed on but may be in the region of £1m. If this is not containable within the current service budget envelope this will need to be considered when setting the annual when the facility is operational.
6. notes that a City Wide Depot Strategy will be produced to inform arrangements for the longer-term Street Cleansing Depot provision and that a report identifying the capital costs associated with delivery of this will come back to Cabinet at a future date.

Corporate Strategy alignment:
1. Theme 4 Wellbeing - 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:
   - Moving towards a more 'circular economy', where goods and materials are reused and recycled rather than discarded as waste can also help contribute to protecting both our economy and our environment, with positive wellbeing outcomes.
   - Cleaner, greener environments help support a wide range of positive objectives – on health, education, the local economy and community safety. We are working with many partners to improve our environment and will encourage everyone to play their part in this.

City Benefits:
1. The potential to increase yet further the already high levels of recycling of domestic waste through additional HRRC provision. The provision of reuse facilities to support this goal of maintaining the City's position near the top of the recycling league table.

Consultation Details:
Internal: Finance, Legal, Property, Waste Client lead
External: Bristol Waste; Consultation with Stakeholders by Bristol Waste in support of the planning application.

Background Documents:

2nd July 2019 Cabinet Papers

Revenue Cost	*Estimated circa £1m*	**Source of Revenue Funding**	Mitigation to be agreed with BWC
Capital Cost	**£7m**	**Source of Capital Funding**	Prudential borrowing and £1m contribution from BWC reserves.
One off cost ☒	**Ongoing cost** ☒	**Saving Proposal** ☐	**Income generation proposal** ☐

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

1. Finance Advice:
In December 2018 a progress report regarding the development and delivery of a third Household Reuse & Recycling Centre (HRRC) at Hartcliffe Way in South Bristol was presented to Cabinet for reference.
The HRRC project now provides a further update, recommends a delivery approach and seeks approval of this same approach.

It continues to be envisaged that building development of the new HRRC will be contracted out to BWC and, once

complete, that the site will be commercially leased to BWC and operation managed by BWC (under Teckal contract).

Capital
The current Capital Programme (2019/20 to 2023/24) includes a budget of c£4m for the HRRC scheme (item reference NH04). The £4m was based on historical "high-level" estimates taken over 5 years ago. It also assumed single access to the site; however this has changed due to Metro Bus works that has resulted in the need for double access. The revised (full costed by professional QS) project is estimated to cost c£7m (including contingencies).

There are two sources of funding for the project (Table 1 below provided the profile):
1. BCC – Prudential borrowing
2. BWC- Reserves

Table 1

	2018/19	2019/20	2020/21	2021/22	Total
BCC Funding	46,000	604,000	4,150,000	1,200,000	**6,000,000**
BWC Funding			1,000,000		**1,000,000**
	46,000	**604,000**	**5,150,000**	**1,200,000**	

Due to the forecasted increase in costs (c£3m) bringing the total to £7m Bristol Waste Company has indicated that it will contribute £1m from its reserves towards the development costs, this has been approved by the BWC Board.

To fund the shortfall approval is being sort to reallocate £2m from capital contingencies to part-fund the extra cost of this project. The balance of the additional funding required (£1m) will be from Bristol Waste Company.

Revenue
Preliminary assessment of the running (operational) costs of new site have been estimated as c£1m. This covers staffing as well as disposal of non-recyclable waste. BWC will be funding revenue cost implications, alongside other mitigation measures agreed between BWC and the Council.

As the budget for this scheme is within the current approved Capital Programme the capital financing costs are contained within current budgets.

VAT
Once constructed, the site will be leased to BWC on a commercial basis, with opt to tax. For the construction work, it is expected that BWC will be charging BCC for all the development costs (including the VAT), however further advice will be sought on this.

Finance Business Partner: Kayode Olagundoye, Interim Finance Business Partner, Growth and Regeneration, date 25/11/19

2. Legal Advice:

BWC is a Teckal subsidiary company of the Council which means that BCC can award a contract to them without the need of any formal procurement process. However, BWC in this case would become a company set up under public law and will itself be deemed as a "contracting authority". That would require that any purchases of works, supplies or services will have to be procured in accordance with the Procurement Regulations as and where applicable. The report informs that BWC have appointed a professional team to undertake preliminary design work, undertake technical assessments and pre planning –application engagement. It is expected that regard will have been had to the procurement regulations while making those appointments.

The development agreement needs to clearly provide for the role and responsibility of BCC and overarching monitoring arrangements throughout the project period to ensure that the Reuse and Recycling Facility is progressing in accordance with the Council's requirement, and the Councils interests are protected.

As stated in the report the property is owned by BCC but the project will be undertaken by BWC so they will need some form of preliminary lease or licence to enter the property and also to enable the works contractor to deliver the works.

The facility after completion is intended be leased to BWC for operation, hence, an appropriate longer term building lease will be needed for that purpose. It is recommended that the terms of such lease are agreed as early as possible to facilitate a seamless transition to BWC as operator.

Legal Team Leader: Eric Andrews, Team Leader, Legal Services, 20 November 2019

2. Implications on IT:

The below advice was provided for the July 2019 Cabinet Paper this will be updated shortly:

Although Bristol Waste have independent IT service provision, BCC IT provides technical governance and some infrastructure services. Therefore, BCC IT Services will need to be engaged at design stages of the proposed site.

IT Team Leader: Simon Oliver 28/10/19

3. HR Advice:

The new household waste recycling centre will be wholly staffed by BWC employees, under the existing waste services contract. It is not proposed that any BCC staff will be located onsite or involved in the operation of the project. For the Capital delivery, Bristol Waste will manage the design and construction. BCC staff will be will be involved in aspects of the project delivery, including relocation of services, which is expected to be managed within existing resources.

HR Partner: Celia Williams, HR Business Partner 29/10/19

EDM Sign-off	Patsy Mellor	9th October 2019
Cabinet Member sign-off	Cllr Pearce	14th October 2019
Mayor's Office sign-off	Mayor's Office	**4ᵗʰ November 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 Exempt and not for publication by virtue of paragraph(s) 3 of Part 1 of Schedule 12A of the Local Government Act 1972 (Information relating to the financial or business affairs of any particular person (including the authority holding that information))	YES
Appendix J – HR advice	NO
Appendix K – ICT	NO

3rd December 2019 Cabinet

Hartcliffe Way Household Reuse & Recycling Centre (HRRC)

Appendix A - Further essential background / detail on the proposal

Contents

Additional documents:

Appendix A – Part 2 - Supporting Plan

1. Hartcliffe Household Reuse and Recycling Centre (HRRC)

1.1 Design

Bristol Waste appointed a professional team to develop detailed designs for the proposed HRRC. A planning application was submitted in October 2019, the application reference is: 19/05204/F.

Detailed designs are being developed for tendering the works; these will be split into:

- an enabling package including demolition of redundant building, removal of below and above ground fuel tanks and other site preparation works.
- main contractor works, including all highway works required for the site ingress and egress arrangements.

 A Site Plan is provided as Appendix A Part2.

1.2 Development Agreement

A form of development agreement has been developed by BCC Legal Services. Under the agreement BWC will appoint the professional team and contractor/s and recharge the Council for the cost of the works and associated professional services, as summarised in section 1.4 of this appendix. The agreement includes provision for BWC to make a £1m capital contribution from their reserves.

1.3   HRRC Operation

BWC will operate the new HRRC under their waste contract with the Council. They will develop an operations plan for the new facility and be responsible for recruitment of all staff.

There will be annual operating costs for the new HRRC from April 2021 onwards; these are not covered by the existing BWC business plan approved by Cabinet in January 2019. The Council will review with BWC the costs that can be accommodated by BWC within their future Business Plans and other measures that will be implemented by BWC and the Council to mitigate the impact of these. Full details of the estimated costs and mitigation measures will come back to Cabinet or Full Council (as appropriate) at a future date once these have been fully explored.

1.3.1   Lease

Upon completion of the works it is proposed that the new HRRC will be leased to BWC on terms to be negotiated and agreed by the Executive Director Growth and Regeneration. Terms are expected to be on a similar basis to other leases between the Council and BWC.

1.4 Project Costs

The Project delivery costs are £7m, of which the Council will contribute £6m and Bristol Waste Company £1m. A full breakdown is provided in Appendix I, which is exempt due to the commercial nature of the detailed cost breakdown. A summary of the main cost items is included below.

Project Development Costs
- The Council's Direct Management and other costs
- Legal Agreements
- Statutory Fees
- BWC Management costs
- Professional Fees
- Surveys and Studies

Relocation Costs:
- Relocation of Winter Services to Days Road
- Temporary relocation of Street Cleansing Services

Construction Costs
- Enabling Works
- Highway Works
- Principal Contractor Works

Operational Capital Costs
- Site Fit Out
- Operational Plant

Contingency Costs
- Construction contingency allowance, including for contamination.
- Project Contingency allowance

1.5   Programme

The below table details the forecast key milestone dates for development of the HRRC. The construction durations will be finalised following appointment of the Contractor.

Milestone	Dates
Planning Application (13 week determination period)	October 2019 to January 2020
Enabling Works Procurement	November 2019 to January 2020
Contractor Procurement	December 2019 to March 2020
Relocation of existing Street Cleansing Depot and Winter Services	January 2020 to February 2020
Enabling Works	February 2020 to April 2020
Construction	May 2020 to March 2021
Operational lead in period	March 2021 – April 2021
HRRC Operations Commence	April 2021

2. Street Cleansing Depot

The existing depot buildings will be demolished and the street cleansing depot temporarily relocated for up to 18 months to the Hawkfield Business Park site purchased in December 2018 by the Council.

The HRRC Outline Business Case investigated the following options for the permanent Street Cleansing Depot provision.

A. Provide Street Cleansing Depot as facilities alongside the HRRC development

This option has been discounted due to the high costs associated with development on to the adjacent land to the existing Hartcliffe Way site, which has been identified as an undocumented former landfill site.

B. Rehouse the Street Cleansing Depot at a new site

This option will require repurposing of existing Council owned land; purchase of a new site or leasing of a privately owned site.

C. Split Street Cleansing Depot provision across a number of existing sites.

This option considers options for more efficient use of existing depot sites, these are predominantly in Central and North Bristol. The loss of the Hartcliffe Way Depot for development of the standalone HRRC will result in there being no South Bristol Depot Provision and consideration will be required whether a suitable satellite site can be identified, particularly taking account of a relatively localised workforce in South Bristol.

2.1 City Wide Depot Strategy

The permanent location/s for the street cleansing depot provision will be identified as part of a city wide depot strategy. The strategy will require resourcing as a Capital Project and has an indicative cost range of between £1m and £4m depending on the selection of sites, existing infrastructure and works requirements. The developed strategy will be bought to a future Cabinet for approval.
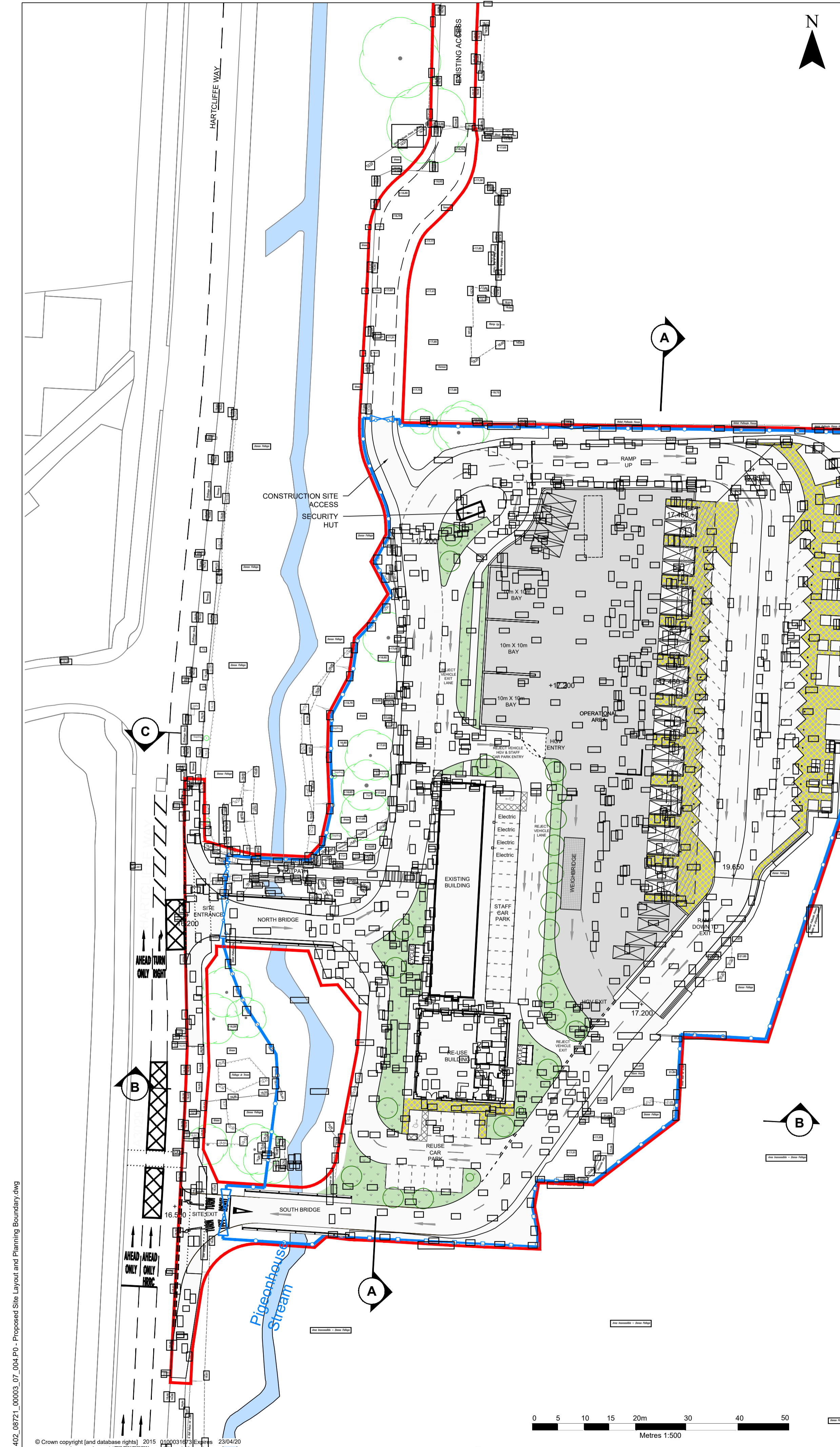
FOR SECTIONAL ELEVATIONS
SEE DRAWINGS 03 AND 06

N

LEGEND

	PLANNING SITE BOUNDARY 16,427 16,461m²
	LINE OF PALISADE FENCING
	LOCATION OF GATE IN PALISADE FENCING
	LINE OF EXISTING FENCING
	CONCRETE SURFACE
	PUBLIC ACCESS AREAS
	INDICATIVE LANDSCAPING
	CANOPY AT UPPER LEVEL

HARTCLIFFE WAY

EXISTING ACCESS

A

CONSTRUCTION SITE
ACCESS

SECURITY
HUT

RAMP
UP

17.200

10m X 10m
BAY

10m X 10m
BAY

10m X 10m
BAY

+17.200

REJECT
VEHICLE
EXIT
LANE

HGV
ENTRY

OPERATIONAL
AREA

REJECT VEHICLE
HGV & STAFF
CAR PARK ENTRY

C

C

19.650

Electric
Electric
Electric
Electric

REJECT
VEHICLE
LANE

EXISTING
BUILDING

STAFF
CAR
PARK

WEIGHBRIDGE

RAMP
DOWN
EXIT

SITE
ENTRANCE

NORTH BRIDGE

HGV EXIT

17.200

B

AHEAD TURN
ONLY RIGHT

RE-USE
BUILDING

REJECT
VEHICLE
EXIT

B

16.500

SITE EXIT

SOUTH BRIDGE

REUSE
CAR
PARK

AHEAD AHEAD
ONLY ONLY
HRRC

A

Pigeonhouse Stream

A

BRISTOL
waste

SLR
global environmental solutions

TREENWOOD HOUSE
ROWDEN LANE
BRADFORD-ON-AVON
WILTS. BA15 2AU
T: 01225 309400
F: 01225 309401
www.slrconsulting.com

HARTCLIFFE WAY HRRC

HRRC DEVELOPMENT

PROPOSED
SITE LAYOUT
& PLANNING BOUNDARY

004

Scale	Date
1:500 @ A2	OCTOBER 2019

0 5 10 15 20m 30 40 50
Metres 1:500

402_08721_00003_07_004-P0 - Proposed Site Layout and Planning Boundary.dwg

Project Risk Log

Please refer to tab 3 'Risk Matrix Guidance' before completing
Negative Risks = a threat to Project and its aims (*aim to reduce Level of risk*); Positive Risks = an opportunity to the project and its aims (*aim to increase level of opportunity*)

Project ID and Title:	Hartcliffe Household Waste Recycling and Reuse Centre
Project Manager:	Oliver Roberts
Last update:	25/11/19

Type of risk (+ve / -ve)	Ref/ID (risk)	Risk Description	Key Causes	Key Consequence	Status	Risk Category	Risk Owner	Key Mitigations	Direction of travel	Likelihood	Impact	Risk Rating	Monetary Impact of risk £K	Likelihood	Impact	Risk Rating	Date	Actions to be undertaken (Include dates as appropriate)	Resp. Officer	Escalated to: DRR/CRR	Escalated by:	Date	Corporate Strategy Theme	Portfolio Flag
Negative	17	Operational costs of new HWRRC above those presently allowed for within BCC budgets.	Changes to assumptions and payment arrangements since BWC 10 year business plan developed. Waste disposal costs.	Additional pressure on BCC revenue budgets and / or Bristol Waste Operational costs.	Open	Financial Loss / Gain	Head of Communities	Review operational arrangements to maximise efficiencies, ensure controls to ensure site is only used by Bristol residents. Review Council policy on charges to assess potential contributions towards costs.	<>	4	3	12	Between £0.5m - £3m			0		Development of full Operational cost forecast, review operational costs with BWC as part of development of BWC Business Plan and agree efficiencies and measures that could be implemented to mitigate costs prior to the HRRC opening in 2021. Report back to Cabinet with recommended measures.	Strategic Waste Client Manager					Energy, Waste and Regulatory Services
Negative	11	Site constraints around highway access make the site unsuitable for a HRRC due to impact of increased traffic movement that would be generated.	Highway requirements, including to safeguard future bus lane severely restrict access arrangements;	Project does not proceed	Open	Programme / Project Management	Project Manager	Pre application engagement with Transport Development Management has agreed the parameters of transport and highways requirements, which have been incorporated into the designs submitted for planning consent. The Site previously secured planning consent for a HWRC.	<>	1	7	7	Under £0.5m			0		Respond to any comments coming forward from Planning Consultation period.	Project Manager	No	N/A	N/A	N/A	Energy, Waste and Regulatory Services
Negative	13	Cost overrun	Cost drivers including: site constraints, highway access requirements, regulatory requirements, contaminated land.	Costs may be above budget identified in December 2019 Cabinet Paper	Open	Financial Loss	Project Manager and Bristol Waste	The Council will hold a contingency sum in the Cabinet approved budget to mitigate the risk of cost overrun. BWC to hold construction contingency and contribute £1m from their reserves.	^	2	3	6	Between £0.5m - £3m			0		Include questions of potential for savings as part of contractor tender and instruct any agreed measures post contract.	Project Manager and Bristol Waste	No	N/A	N/A	N/A	Energy, Waste and Regulatory Services
Negative	14	Programme Slippage	Programme presently provisional, detail to be developed based on outcome of contractor procurement.	Target April 2021 opening date may not be met.	Open	Programme	Project Manager and Bristol Waste	Monitor progress against existing programme, plan for enabling works to reduce construction duration. Develop detailed programme as further project detail is developed.	^	2	3	6	Under £0.5m			0		Deliver package of enabling works. Update programme to reflect the construction programme submitted by the successful Principal Contractor in their tender.	Project Manager and Bristol Waste	No	N/A	N/A	N/A	Energy, Waste and Regulatory Services
Negative	19	Resourcing of project work streams within Council	Range of project interfaces, limited staff resource, other work & project demands.	Delays to Council led work streams	Open	Programme	Project Manager	Instruction from G&R Director to prioritise resource on project. Progress monitored against programme by Project Manager and reported to Project Board.	<>	2	3	6	Under £0.5m			0		Fortnightly project board meetings over critical project development phase.	Project Manager	No	N/A	N/A	N/A	Energy, Waste and Regulatory Services
Negative	9	Right of way over adjacent site (ETM)	Requirement for construction access during construction of new access bridges.	Programme delay if prolonged discussions to agree access, particularly if not in line with easement route. Cost of additional measures to mitigate impact to ETM / separate access from ETM operations	Open	Programme	Project Manager and Bristol Waste	The Council has right of access under the lease to ETM. Agreement ion Principal for construction access to be agreed in advance of tendering for the Principal Contractor. Details of access requirements to be developed as part of the Construction Phase Plan and Construction Traffic Management Plan.	<>	2	3	6	Under £0.5m			0		Liaise with colleagues in Property Services over terms of any Easement and engage with ETM.	Project Manager and Property Services	No	N/A	N/A	N/A	Energy, Waste and Regulatory Services
Negative	15	Relocation of existing depot uses including salt store as temporary and permanent measures creates cost and programme impacts.	Identification of alternative site/s for temporary and permanent relocation of provision leads to depot not being available when required for commencement of enabling / construction works. Licenses / Permissions / studies required delay date	Programme delay if enabling / demolition / construction works cannot progress when scheduled. Costs associated with temporary move and any permanent relocation requested to be funded by	Open	Programme	Waste Strategic Client Manager and Asset Delivery Manager	Work with colleagues has identified available location/s for relocation of temporary and permanent depot provision, including salt store for Winter Services. An agreed programme has been developed for lead in activities - studies, permits/licences, etc.... Allowance made in budget for funding of relocations. The Permanent relocation of the Street	^	2	3	6	Under £0.5m			0		Engagement with Highways and Property undertaken to determine suitable locations and undertake any required surveys for salt store relocation.	Waste Strategic Client Manager and Asset Delivery Manager	No	N/A	N/A	N/A	Energy, Waste and Regulatory Services
Negative	3	Requirement for service diversions to perimeter of the site or highway works and any potential cost and programme impact over the allowance included within the External Works Estimate.	This risk will depend on the final detailed designs for the highway works.	Increased cost and programme impact.	Open	Financial Loss / Gain and Programme/Project Management	Project Manager and Bristol Waste	Ensure the design minimises the diversions where possible. Allow appropriate contingency within the project budget.	<>	3	1	3	Under £0.5m			0		To be taken into account in detailed design development.	Project Manager	No	N/A	N/A	N/A	Energy, Waste and Regulatory Services
Negative	5	Existing ground conditions and surfacing not suitable for proposed uses.	Existing ground conditions.	Potential increased costs / programme. Design limitations.	Open	Financial Loss / Gain	Project Manager and Bristol Waste	Ground Investigations undertaken, works largely within existing footprint, with footprint reduced to minimise requirements for retaining structures, appropriate contingency allowed within the project budget.	^	3	1	3	Under £0.5m			0		Provide details of Ground Investigations in Contractor Tender Package.	Project Manager	No	N/A	N/A	N/A	Energy, Waste and Regulatory Services
Negative	18	Land Contamination	Historic fuel tanks identified, other potential sources, such as adjacent land.	Increased scheme costs, longer construction programme, additional regulatory approvals.	Open	Financial Loss / Gain	Project Manager and Bristol Waste	Fuel tanks and any associated contamination to be removed as part of enabling works .Site investigations undertaken, reduction of site boundaries to existing depot, minimal deep excavations required. Contingency included in budget.	^	3	1	3	Under £0.5m			0		Undertake enabling works to reduce risks to main Contractor	Project Manager					Energy, Waste and Regulatory Services
Negative	2	Presence of asbestos particularly within the existing building.	Existing building construction/fabrication.	Increased cost of asbestos removal. Health & Safety hazard.	Open	Personal Safety / Environmental	Project Manager and Bristol Waste	Demolition survey to identify presence; allow appropriate contingency within the project budget.	<>	3	1	3	Under £0.5m			0		Undertake appropriate demolition and refurbishment survey of the buildings to be demolished / refurbished to establish the extent of asbestos therein.	Project Manager	No	N/A	N/A	N/A	Energy, Waste and Regulatory Services
Negative	8	Transport risk - excessive queueing onto main Hartcliffe Way causing disruption.	Increased vehicle movements and/or poor design of entrance/exit.	Reputational risk for BCC. Reduced air quality and increased congestion.	Open	Reputation / Environmental	Project Manager and Bristol Waste	Designs have been subject to traffic modelling and include provision for on site queuing within design to mitigate potential of off-site queuing.	<>	1	3	3	Under £0.5m			0		Proposals to be fully assessed as part of planning determination.	Project Manager / Transport	No	N/A	N/A	N/A	Energy, Waste and Regulatory Services
Negative	4	Section 106/278 requirements .	The project will be subject to achieving Full Planning Permission and highways approvals.	Potential increased costs / programme. Reputational risk for the Council if not managed properly.	Open	Financial Loss / Gain and Reputation	Project Manager and Bristol Waste	Scope of BWC's consultant team covers developing designs for Section 278 approvals. Cost plan includes allowance for costs with contingency available within the project budget.	<>	2	1	2	Under £0.5m			0		Stakeholder management / communications work stream will need to be developed if S106/278 works impact on local highways network etc.	Project Manager	No	N/A	N/A	N/A	Energy, Waste and Regulatory Services
Negative	6	Market fluctuations and Construction Cost inflation impacting on Tender Price	Market forces, local competition, BREXIT.	Potential increased costs.	Open	Financial Loss / Gain	Project Manager and Bristol Waste	Seek to promote confidence in the project. Issue of detailed design packages to the market. Allow appropriate contingency within the project budget.	<>	1	1	1	Under £0.5m			0		Ensure robust design information is issued to the market.	Bristol Waste Design Team	No	N/A	N/A	N/A	Energy, Waste and Regulatory Services

Bristol City Council Equality Impact Assessment Form

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

Name of proposal	Hartcliffe Way Household Reuse and Recycling Centre
Directorate and Service Area	Growth and Regeneration
Name of Lead Officer	Oliver Roberts

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 develop a Household Reuse and Recycling Centre (HRRC) at Hartcliffe Way in South Bristol to complement the two existing Household Waste Recycling Centres at Days Road and Avonmouth. The project will be delivered by Bristol Waste Company, a Council owned company.   The HRRC will be well laid out to ensure good accessibility, within health and safety and other operational site constraints. The facility will be well staffed to ensure assistance is available for any users requiring it.   The proposed Reuse Centre developed as part of the HRRC will be run by Bristol Waste in partnership with the Bristol Reuse Network. The facility will be open year-round and will provide both a regular source of reused items for the city of Bristol, and a repair and upcycling facility.

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?

Summary of the Bristol Census 2011 Equalities Statistics

		Gender		Ethnicity			Disability	Sexual orientation
		males	females	White British	non-'White British'	BME	with a LLTI	Lesbian, Gay or Bi-sexual
Total population all ages	number	213,400	214,700	333,432	94,802	68,642	71,724	n/a
	denominator	428,100	428,100	428,234	428,234	428,234	428,234	n/a
	Bristol %	49.8	50.2	77.9	22.1	16.0	16.7	n/a
	England and Wales %	49.2	50.8	80.5	19.5	14.0	17.9	6

available at: http://www.bristol.gov.uk/page/community-and-safety/equalities-data-and-research

According to the table above, 16% of the Bristol population is declared to have some kind of disability under the Equality Act 2010, that is defined as '…a physical or mental impairment which has a long-term and substantial adverse effect on their ability to carry out normal day-to-day activities'. The Bristol Quality of Life Survey 2017-18 indicates that there are a higher than average number of people living in Hartcliffe and Withywood ward who have a limiting illness, health problem or disability (41% compared to 28% for Bristol overall). Taking into consideration that not everyone discloses their disability, the actual number could potentially be higher. Therefore, it is expected that a significant number of building users or visitors will have some kind of disability, including sensory impairment and long-term health conditions.

Data about disadvantage in Bristol is also available from the Joint Strategic Needs Assessment (JSNA) 2015.

We know that people who experience discrimination (because they have one or more protected characteristics) are more likely to experience other factors contributing to disadvantage, thus compounding their experience.

Evidence from the JSNA 2015 shows that there is a spatial dimension to disadvantage in the city and that people experience more disadvantage in the South (particularly the outer areas) and in the north and west outer areas of the city as well as in the inner eastern areas. This proposal will provide improved access to facilities/services for the South of the city and reduce pressure on existing central facilities at Days Rd HWRC, which has the potential

to improve the use of the facilities within that area.
2.2 Who is missing? Are there any gaps in the data?
We have no official data specifying the sexual orientation of the Bristol population. However, for this report we will assume that Bristol reflects the national statistics where 6% of the population is LGBT+.
2.3 How have we involved, or will we involve, communities and groups that could be affected?
The consultation for the proposals in advance of a planning application will: - engage with local communities that the new facilities would serve.   - engage the Bristol Reuse Network, which includes voluntary sector organisations, whose staff, volunteers and users may include people with protected characteristics that could be affected.   - identify other groups, such as Bristol Physical Access Chain, which would have an interest in engaging in the consultation and inputting into proposals.

Step 3: Who might the proposal impact?

Analysis of impacts on people with protected characteristics must be rigourous. 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 HRRC will provide new and high quality facilities that will be available for all Bristol residents to access.

Access to recycling and waste facilities requires access to a car, therefore residents without use and/or access to a car, could be disadvantaged in not being able to access the facilities. Hartcliffe and Withywood ward has a lower than average number of car users per household (0.89 compared to 1.04 for Bristol overall).

Due to Health and Safety and operational requirements of the facilities some |

users with protected characteristics, including pregnancy; disability, such as impaired mobility, may find use of the facilities challenging or not possible without support/assistance, for example due to height of barriers.
3.2 Can these impacts be mitigated or justified? If so, how?
It is intended that appropriate mobility impaired access will be provided in the form of disabled parking bays and adoption of environmental access standards for the waste, recycling and reuse facilities, which would be on one level, allowing full wheelchair access. The facilities will be well staffed with provision for people to be assisted at the site, which would benefit those with a disability, or other protected characteristics such as pregnancy. Signage will be developed so that it is easy to understand and in colours and fonts that are accessible including autism and poor eyesight and English as second language.
3.3 Does the proposal create any benefits for people with protected characteristics?
The proposal will create benefits for people with protected characteristics, by improving access to provision of facilities more equally across the city, some of the nearest residential areas in South Bristol have higher levels of deprivation and associated lower health outcomes, so provision located here will be a positive benefit. The new reuse facility aims to provide training and apprenticeships as well as volunteer opportunities, which will be available for people with protected characteristics. The focus of the reuse facility will initially be on furniture, electrical items, bikes, mobility aids, paint and bric-a-brac type items. Bristol Waste will continue to work with and support voluntary sector organizations through the continued donation of usable items such as bikes, mobility aids and paint. The operation of the reuse centre will therefore benefit people with protected characteristics and those who experience disadvantage by provide access to affordable goods.
3.4 Can they be maximised? If so, how?

- Use of targeted recruitment to ensure representation from women, BME and other underrepresented groups for employment at the new HRRC.
- Publicity and communications for the project will target all communities.

Step 4: So what?

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

4.1 How has the equality impact assessment informed or changed the proposal?
This is a first step in assessing the approach to equalities; the recommendations identified in this equality impact assessment will be taken forward in partnership with Bristol Waste Company, who will be responsible for the delivery and future operation of the new facilities.
4.2 What actions have been identified going forward?
In addition to the actions outlined in section 3.4, assessment of targeted engagement, of a group, such as Bristol Physical Access Chain (BPAC) as part of consultation of the proposals will be considered.
4.3 How will the impact of your proposal and actions be measured moving forward?
Monitoring and reporting arrangements will be agreed with Bristol Waste Company.

Service Director Sign-Off:	Equalities Officer Sign Off:
Nuala Gallagher	Duncan Fleming
Date: 16/5/2019	Date: 15/5/2019

Eco Impact Checklist

Title of report: Hartcliffe Way Household Reuse and Recycling Centre				
Report author: Oliver Roberts				
Anticipated date of key decision: 02/07/2019				
Summary of proposals: To seek authorisation to develop land and buildings at Hartcliffe Way, Hengrove to create a third Household Waste Recycling Centre to include reuse facilities.				
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/ +ive	Construction activity will emit climate changing gases When built daily operation will emit climate changing gases, through energy use and heating. Anticipated increase in recycling rates will reduce the overall carbon footprint of the city.	All building works will meet planning policy guidance BCS13-15 as laid down in the BCC Core Strategy 2011. Ensure site is designed in an efficient manner. LED/ energy efficient lighting where possible, solar PV is considered if possible.
Bristol's resilience to the effects of climate change?	Y	-ive /+ive	The site is adjacent to the Pigeonhouse and Malago streams. Dependent upon the exact nature of the finalised plans for converting the site to a HWRC, it may: - Be at risk of flooding. - Increase the flood plain making surrounding buildings more vulnerable to flooding. - Place additional demand on the mains drainage system. - Increase water run-	This will be considered during the planning process and through consultation with the Environment Agency.

			off by creating more impermeable surfaces or removing trees - Not be designed to cope with extreme temperature variations, or violent storms - Increase water consumption	
Consumption of non-renewable resources?	Y	-ive	Use of energy and materials during any construction, refurbishment and engineering works.	All building works will meet planning policy guidance BCS13-15 as laid down in the BCC Core Strategy 2011. Materials sourced according to the Green guide specification B where possible. Any timber used to be FSC timer.
		+ive	Upcycling, re-use, re-sale and education centre provision is planned, re-use facilities will reduce the amount of items disposed of as waste and encourage use of the waste hierarchy and will contribute to a reduction in the consumption of non-renewable resources.	
Production, recycling or disposal of waste	Y	-ive	Construction activities will generate waste	Ensure waste is disposed of according to waste legislation and that the waste hierarchy is followed. The construction contractor will need a waste management plan.
		+ive	Upcycling, re-use, re-sale and education centre, re-use facilities will reduce the amount of items disposed of as waste	

			and encourage use of the waste hierarchy.	
The appearance of the city?	Y	+ive	Additional provision of waste recycling centre will reduce instances of fly tipping.	
Pollution to land, water, or air?	Y	+ive	Additional provision of waste recycling centre will reduce instances of fly tipping, and will mean that residents from the south side of the city need not travel into the centre to use a HWRC, reducing negative impact on air quality in central Bristol.	
		-ive	Construction works have the potential to create pollution	Ensure that chemicals and oils are stored securely according to legislation and that spill control is in place to avoid spills contaminating near-by water courses.
Wildlife and habitats?	Y	-ive	Any construction, refurbishment and engineering works together with the ongoing operation of the site has the potential for impacting upon wildlife and habitats. The site is adjacent to two watercourses.	Guidance on protecting species & habitats will be sought from the Council's Natural Environment team. They will also be consulted with as part of the Planning process. The site will be subject to controls imposed by the Environment Agency, including surface water discharges.

Consulted with:

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

The significant impacts of this proposal are… There are short term impacts from construction including pollution risk and waste generation. Ongoing impacts will come from the operation of the site including energy use. Encouragement and education of re-

use, upcycling and re-sale will improve recycling and re-use within the city.

The proposals include the following measures to mitigate the impacts… Construction activity will adhere to planning policy, and efficient fittings will be considered where possible (For example LED lights, solar pv).
The Environment Agency will be consulted with during the development of detailed plans for the site due to the proximity of two water courses to the site.

The net effects of the proposals are negative in the short term but long term positive as the waste hierarchy will be promoted to residents, it is envisaged that fly-tipping pollution will lower and that recycling rates will increase. Also residents in the South of Bristol will not need to travel to central areas to access a HWRC, therefore will not be adding to air pollution in central Bristol.

Checklist completed by:

Name:	Stuart Woods
Dept.:	Growth and Regeneration
Extension:	
Date:	06/11/2018
Verified by Environmental Performance Team	Nicola Hares – Environmental Project Manager

Document is Restricted

Decision Pathway – Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 03 December 2019

TITLE	**Drain clearance and land drainage CCTV surveys on properties owned or leased by Bristol City Council**
Ward(s)	Citywide

Author: Zara Naylor	**Job title: Service Manager, Response Repairs**
Cabinet lead: Cllr Paul Smith	**Executive Director lead: Stephen Peacock**

Proposal origin: BCC Staff

Decision maker: Cabinet Member
Decision forum: Cabinet

Purpose of Report:
1. To approve the extension of the contract with Domestic Drains Service to continue to provide responsive repairs drainage services to Bristol Social Housing Residents and leaseholders from 1st October 2019 – 31st January 2020 (4 months) £387,000
2. Due to the nature of this area of work being responsive and reactive and fast paced, it is required that a quarterly call off approval limit of £250k is approved so that no CPG or administration delay is incurred for each call off when the new tender is awarded.

Evidence Base:
Approval is requested for an extension to the existing Drainage Framework, currently delivered by Domestic Drains Services. As a result of two previous unsuccessful procurement exercises we are committed to getting the right outcome for our tenants and leaseholders for a further 4 year period.
The appendices reference earlier decisions taken regard the unsuccessful outcome of each regard drainage and clearance requirements across Homes and Landlord Services. A further extension is required to enable the current contractor Domestic Drains Service to continue providing a service whilst the third tender is complete. Previous waivers were approved on:
Waiver 1: 1/9/18 – 31/12/18 £250k,
Waiver 2: 1/1/19 – 30/4/19 £270k,
Waiver 3: 1/5/19 – 30/9/19 £600k, each waiver was to allow for the completion of the tender process following delays to that process.
The current waiver 3 expired on 30/09/19. The service is currently being retendered. The closing date for tenders is 23/10/19.   We anticipate the new contract to commence on January/February 2020.
A further extension is required to ensure there are services being delivered until the start of the new contract. For continuity of service it is proposed that the current contractor is directly awarded a contract from 1st October 2019 to 28th February 2020.

First Tender
1. A tender process commenced on 10/09/18 to secure a provider of drain clearance, regular maintenance and stack maintenance programme for Bristol City Council Housing Tenants (HRA). This involved identifying requirements, producing tender documents, securing relevant procurement and legal support.
2. A decision taken to withdraw the procurement process on 19/11/18 as bidders submitted low prices against the schedule of rates (SOR) pricing structure. This indicated that the published SOR was not accurate and needed to be reviewed.
3. Following advice from Procurement and Legal teams the decision was made to cancel the tender and all bidders were notified.

Second Tender
1. A new tender was advertised and published on 23/01/19 following replacement procurement support.
2. Due to errors in the published tender documents, including the evaluation criteria it was not possible to evaluate the bids received and achieve a result which was in line with the intended quality and service standards.
3. In these circumstances the Council decided to withdraw this tender in accordance with section 1.60 of the ITT "The Council reserves the right to cancel the tender process or alter the above programme at any time and are not liable for any costs resulting from any alterations or cancellation" and will be reissuing a tender with revised criteria in due course.

Third Tender
1. A full review of tender 1 & 2 was carried out (See Appendix I Tender Review). A new evaluation team was formed.
2. A full review of tender documents and quality commitment questions was been carried out and all tender documents were re-written in light of the issues raised by tenders 1 and 2 and further identified by the Service through the review.
3. The new tender is now live and is a Framework with 3 lots:
    - Lot 1 – Housing Response Repairs
    - Lot 2 – Estate Management & Caretaking Responsive Repairs
    - Lot 3 – Stack Maintenance
4. All lots will have up to 3 contractors who will be awarded a place on the framework based on their highest combined score (Price, Quality and Social Value) in rank order. This is to ensure additional capacity, security of supply and commerciality.
5. Due to the nature of changes required following the suspension of prior rounds, necessary changes to the tender team, additions to the contract requirement and the need for a full review in order to prevent future errors has required additional time prior to publication of Round 3 to ensure it is correct.
6. The current tender was published on 20/09/19, the timeline is below:

DATE	STAGE
20th September 2019	Bid & clarification process opens
27th September 2019 at 12:30pm	Tender Briefing Session, City Hall , College Green Bristol BS1 5TR
14th October 2019 at 12 noon GMT	Clarification period closes.
1st November 2019 at 12 noon GMT	Closing date and time for receipt by the Council of completed bidder responses via the ProContract tendering system.
1st November 2019	Evaluation of bids commences
13th November 2019	Notification to bidders
14th November 2019	Commencement of Standstill Period
24th November 2019 at 12 midnight GMT	Expiry of Standstill Period.
January 2020	Commencement date of contract.

Cabinet Member / Officer Recommendations:
That Cabinet: -
1. Approve the extension of the contract with Domestic Drain Services from 1st October 2019 to 31st January 2020 to continue to deliver a responsive drainage service to Social Housing residents, whilst the tender process is completed at a cost of £387,000
2. Approval of quarterly call off approval limit of £250k so that no CPG or administration delay is incurred for each call off.

Corporate Strategy alignment:			
This service would fall under the Bristol Health and Wellbeing Strategy. Theme: A city filled with healthy, safe and sustainable communities and places. Priority: Create a high quality and well-connected built and green environment, and manage the health impacts of Climate Change.			

City Benefits:
1. This contract is used by the CSC, ECO, Caretaking Services, Estate Management, Planned Programmed and Responsive Repairs. There are major health and safety implications with raw sewage backing up.
2. We have 14,000 flats across the city whereby if there are blockages the back-up is so fast that flats become flooded out by contaminated waste in very short periods of time.
3. When there are fires across the city in our multi storey flats the lift shafts and communal areas can become flooded by Avon Fire Authority and require immediate pump out to prevent electrical damage.
4. This contract also provides provision of de humidifiers to assist drying out damp problems. We also work with pest contractors to eliminate vermin entering out drain infrastructure across the city.
5. We have a statutory requirement under section 11 of the Landlord and Tenant Act 1988 to keep our properties maintained.

Consultation Details:
1. **Corporate Procurement Group (CPG) – See Appendix B**
2. **Minuted at HSLT 15/10/19 & EDM 16/10/19**

Background Documents:
Not Applicable as we are currently in a tender process so all documents are undisclosed please see Appendix I.

Revenue Cost	£387k	**Source of Revenue Funding**	Housing Revenue Account budget for Response Repairs
Capital Cost	£N/A	**Source of Capital Funding**	
One off cost ☐	**Ongoing cost** ☒	**Saving Proposal** ☐ **Income generation proposal** ☐	

Required information to be completed by Financial/Legal/ICT/ HR partners:
1. Finance Advice: Since the original framework contract of £4m which ended in August 2018, there have been three waivers to 30/9/2019, with a total value of £1.12m due to unsuccessful procurement exercises. Officers are now retendering as a matter of urgency and this request is for a further waiver for £387k to cover the period 1/10/19 to 31/01/20 whilst the procurement process takes place. The expenditure for drainage works for 2019/20 is within the Housing Revenue Account budget and is planned expenditure with no additional costs arising from this waiver. There is a risk that this waiver is contrary to procurement legislation as detailed in the legal advice.
Finance Business Partner: Wendy Welsh, Finance Manager, 16th October 2019
2. Legal Advice: It is recognised that the further extension of the contract with Domestic Drains Services places the Council in a situation where it may breach the procurement regulations. The fact that the extension is required to allow time for the Council to follow a fully compliant procurement process will 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: Husinara Jones, Team Leader, 15 October 2019
3. Implications on IT: There are no IT implications to be noted.
IT Team Leader: Simon Oliver
4. HR Advice: *Section to be completed by the HR partner ONLY. If there are none, this must be stated by the HR partner. Additional information can be added in Appendix H or Appendix K.*
HR Partner: *HR Partner to enter their name to confirm they have provided comments on the full and final report and*

the date.		
PR officer: Alison Butts		
EDM Sign-off	Patsy Mellor	16 October 2019
Cabinet Member sign-off	Paul Smith	22 October 2019
Mayor's Office sign-off	Mayor's office	25 November 2019

Appendix A – Further essential background / detail on the proposal	**NO**
Appendix B – Details of consultation carried out - internal and external	**YES**
Appendix C – Summary of any engagement with scrutiny	**NO**
Appendix D – Risk assessment	**YES**
Appendix E – Equalities screening / impact assessment of proposal	**YES**
Appendix F – Eco-impact screening/ impact assessment of proposal	**NO**
Appendix G – Financial Advice – See section 1 above	**NO**
Appendix H – Legal Advice – See section 2 above	**NO**
Appendix I – Exempt Information	**YES**
Appendix J – HR advice	**NO**
Appendix K – ICT	**NO**

Decision Pathway Report

PURPOSE: For reference

MEETING: Cabinet

DATE: 03 December 2019

TITLE	Bristol City Council Harbour Review	
Ward(s)	All wards	
Author: Penny Fell	Job title: Director: Commercialisation, Citizens and Shareholder Liaison	
Cabinet lead: Mayor	Executive Director lead: Mike Jackson, Exec Director Resources	
Proposal origin: *BCC Staff*		
Decision maker: Mayor Decision forum: *Cabinet*		
Purpose of Report: **To seek approval for two review phases:** 1. A Bristol Harbour Feasibility and Case Study Project that will provide market-rate comparators and key background information for a future Bristol City Council Review of Bristol Harbour. 2. Communicate with stakeholders to inform them about the aims, objectives and activities of the Feasibility and Case Study Project and the future BCC Review of Bristol Harbour and support them to interpret the findings of the Consultation and Communication project.		
Evidence Base: The Bristol Harbour review is structured to take two Phases: **1. Phase 1: A feasibility study that will support an effective Bristol Harbour review consultation, engagement and communication strategy, in the context of:** • the Harbour and its potential economic contribution to the City and its residents (to include an equalities impact assessment); • cultural, historic, economic, social and environmental linkages of the Harbour with the City (to include an eco-impact assessment); • action needed to minimise public safety risks (to include a risk assessment) in, and maximise economic benefits of, the Harbour; • comparable market-rate based facilities and services provided by other UK Harbours; and, • communicating effectively with stakeholders, inform them about the aims, objectives and activities of the Feasibility and Case Study Project and the future Bristol City Council Review of Bristol Harbour. **2. Phase 2: Communicate and consult on the future BCC Harbour Review effectively through:** • a BCC Harbour Stakeholder database and Round Table with regular meetings, documents, and information on progress; • identifying sustainable capital plans and investment opportunities; and, • seeking stakeholder contributions to sectoral, infrastructure, customer and employee experience, and information working groups to inform and shape later phases of the Harbour Review. The Director: Commercialisation + Citizens and Shareholder Liaison: • identified that the Harbour had not had an effective cohesive review undertaken since the production of the last Harbour Revision Order in 1998; • determined that any cohesive review would need to draw on the knowledge and expertise of all stakeholders involved in the Harbour; • stated that cohesive Review needs to be undertaken to establish how the Harbour can be rendered fair and		

sustainable for the benefit of all stakeholders, so that it is truly a Harbour for all citizens both now and in the future:
- o to ensure that people are paying their way, noting that currently management and maintenance consistently create a financial loss for the Council (c£300k annually), and
- o to maximise the benefits to be generated from the agreed Capital Programme spend already agreed to provide improvements in the Harbour infrastructure.
- recommended that, in order to achieve the implementation of an effective and robust Review of all matters relating to the BCC Harbour Estate, at least 15 months from the end of November 2019 to the Summer of 2020 should be devoted to consideration of the relevant issues - that were:
  - o minimum Capital investments required in maintaining and repairing key destination open space sites that had deteriorated over the past 20 years due to the limits of revenue R & M budgets,
  - o the consequences of operating ageing assets with limited ability to improve them, given the available revenue budget,
  - o the ability of BCC to be able to carry out required improvements within the current revenue repair and maintenance budgets, given that these ageing assets are deteriorating year on year, and,
3. a resulting need to improve customer consultation communication and experience.

Cabinet Member / Officer Recommendations:
That Cabinet notes:
1. Commencement of the Bristol Harbour Feasibility and Case Study Project that will provide market-rate comparators and key background information for a future Bristol City Council Review of Bristol Harbour.
2. Communication with stakeholders to inform them about the aims, objectives and activities of the Feasibility and Case Study Project and the future Bristol City Council Review of Bristol Harbour and support them to interpret the findings of the Consultation and Communication project.
3. That the work in 1. and 2. above will feed into the future Bristol City Council Harbour Review and Strategy that will return to Cabinet in July 2020.

Corporate Strategy alignment:
Using our assets wisely, generating a social and/or financial return and to raise money in a fair but business-like way, are key principles of the council's Corporate Strategy. This feasibility study and communication and consultation seeks to inform a review of the Bristol Harbour, which is an Aim of the Commercialisation Strategy, and will help us to achieve our priorities by identifying what needs to change to be a more effective and efficient council.

City Benefits:
The Bristol Harbour Review will focus on improving outcomes for citizens, and include a cost/benefit analysis of options identified, and also include equalities, eco, community impact, and risk assessments.
This proposal could achieve the following benefits:
- build on public perception and customer experience about Bristol Harbour as a desirable destination by improving information about the long-term future of Bristol Harbour; and, prepare a 'template' for future historic asset programmes and projects;
- inform retail, residential leisure and other sectoral investors about the commercial potential of Bristol Harbour;
- communicate accurate, up to date information about Bristol Harbour Review aims and objectives;
- consult all stakeholders about Bristol Harbour Review activities;
- secure stakeholder inclusion and involvement in the subsequent delivery of Harbour Review activities;
- add to BCC's current efforts to minimise public safety risks, both in and off the water, around Bristol Harbour;
- improve BCC's SMART understanding of up to date, fit for purpose service delivery standards, income growth and efficiency saving aims, objectives and activities that should form part of the Bristol Harbour Review;
- publicise BCC's intention to introduce comparable market-based service standards and income generation outcomes to secure the long-term sustainability of Bristol Harbour; and,

build a mutually beneficial collaboration with Bristol HE institutions or other consultancy partners to prepare a Bristol Harbour Review Terms of Reference Feasibility Study that will include preliminary market-rate, desk-based research for Harbour assets and facilities elsewhere in the UK.

Consultation Details:
The proposed Harbour Review was discussed at Growth and Regeneration Scrutiny Commission on 26 September 2019 following an Officer Workshop on 3 July 2019.

The Consultation/Communication Project that is part of this proposal will:

1. build on previous work and consultation that will support a better understanding of the need to undertake a full Review to achieve a thriving and sustainable Harbour;

2. provide a framework, communication and engagement plan (including a Harbour Review Round Table providing stakeholders with regular meetings, briefing documents and information on progress) enabling all stakeholders to be effectively informed about Harbour Review aims, objectives and activities;

3. invite stakeholders to contribute to sectoral, infrastructure, customer and employee experience, and information working groups that will be set up to develop later phases of the Harbour Review;

4. compile a stakeholder database for continuing consultation and communication by BCC for future Harbour Review phased plans; and,

5. outline opportunities to become involved in shaping BCC capital investment plans that will ensure the long-term sustainability of this key historic asset for the City.

The Feasibility/ Case Study and Consultation/ Communication Projects will both inform the future Bristol City Council Harbour Review and Strategy that will return to Cabinet in July 2020.

Background Documents:
- Existing Harbour Revision Order 1998
- Cabinet Report and approval for Harbour Improvements Capital Programme allocation 3 September 2019

Revenue Cost	£75,000	Source of Revenue Funding	Earmarked Reserves
Capital Cost	£	Source of Capital Funding	
One off cost ☒ Ongoing cost ☐		Saving Proposal ☐ Income generation proposal ☐	

Required information to be completed by Financial/Legal/ICT/ HR partners:
1. Finance Advice: The proposed Feasibility /Case Study and Consultation Projects and associated costs, the majority of which will be incurred in 2019/20, are funded by the Council's Earmarked Reserves. The outcome of the feasibility study and consultation will inform the next stage potential costs for implementation and rollout.
Finance Business Partner: Tian Ze Hao – Senior Finance Business Partner – 6 November 2019
2. Legal Advice: Ongoing legal advice will be required as the proposals develop. The consultation on proposals must take place at a formative stage and must include sufficient reasons for the proposals and provide adequate time for consideration and response. The Public Sector Equality duty must be considered throughout. The duty requires the Council to consider the need to promote equality for persons with "protected characteristics": age, disability, gender reassignment, pregnancy and maternity, race, religion or belief, sex, sexual orientation and have due regard to the need to: i) eliminate discrimination, harassment, and victimisation; ii) advance equality of opportunity; iii) foster good relations between persons who share a relevant protected characteristic and those who do not share. When making a final decision following the Review, Cabinet will need to have sufficient information about the effects of any proposed changes on the aims of the Equality Duty to enable it to do that. If in the implementation of the recommendations, the Council procures goods, works or services over certain thresholds, it must comply with the Public Contracts Regulations 2015.
Legal Team Leader: Sarah Sharland and Sinead Willis, Commercial and Governance Team Leaders - 5 November 2019
3. Implications on IT: No direct impact on IT Services anticipated. IT Services will assist with any supporting systems as necessary but do not have any immediate concerns with the approach being taken.
IT Team Leader: Simon Oliver, Director: Digital Transformation - 4 November 2019
4. HR Advice: No HR implications identified in report.
HR Partner: James Brereton, People and Culture Manager – 2 November 2019

EDM Sign-off	Mike Jackson, Executive Director: Resources, and	9.10.19

	Head of Paid Service	
Cabinet Member sign-off	Mayor	4.11.19
For Key Decisions - Mayor's Office sign-off	Mayor's Office	4.11.19

Appendix A – Further essential background / detail on the proposal	**NO**
Appendix B – Details of consultation carried out - internal and external	**NO**
Appendix C – Summary of any engagement with scrutiny	**NO**
Appendix D – Risk assessment	**NO**
Appendix E – Equalities screening / impact assessment of proposal	**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**

Decision Pathway Report

PURPOSE: For reference

MEETING: Cabinet

DATE: 03 December 2019

TITLE	Corporate Risk Management Report (CRR)	
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: BCC Staff		
Decision maker: Cabinet Member Decision forum: Cabinet		
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 2 2019-20. The Q2 Corporate Risk Management Report will be presented to Cabinet in December 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. 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. 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 October 15th 2019.		
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). Ensuring that the Service Risk Registers (SRR), Directorate Risk Reports 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. 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.		
Cabinet Member / Officer Recommendations That Cabinet note the report and progress on embedding Risk Management arrangements within the Council.		
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.		

1

Consultation Details:

1. Corporate Risk Report- Summary of Corporate Risks:

The CLB reviewed the CRR in October 2019 and accepts it as a 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 Service Risk Registers and reported in through the Directorate Risk Reports and the Corporate Risk Report.

The Corporate Risk Report (CRR) as October 2019 contains:

Threat Risks	Opportunity Risks	External / Contingency Risks
• 0 critical threats • 17 high rated • 6 medium • 1 new risk • 3 improving • 0 deteriorating • 0 closed	• 1 significant opportunity • 2 high • 1 medium • 1 improving • 0 deteriorating • 0 closed	• 2 high threats • 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 is one new threat risk:

- CRR30: Clean Air - Failure to deliver Bristol City Council's wider Clean Air Plan (excluding traffic clean air zone). Communication /engagement with stakeholders do not result in sufficient behavioural change. The risk rating being 3x5= (15) high risk. This risk is managed and monitored within the Growth and Regeneration Service Risk Registers.

There are three improving threat risks:

- CRR3: Asbestos - Failure to manage the asbestos management plan for properties. The risk rating being 2x7= (14) high risk. This risk is managed and monitored within the Resources Service Risk Registers.

- CRR4: Health, Safety and Wellbeing - If the City Council does not meet its wide range of Health & Safety requirements then there could be a risk to the safety of employees, visitors, contractors, citizens and BCC corporate body. The risk rating being 2x7= (14) high risk. This risk is managed and monitored within the Resources Service Risk Registers.

- CRR5: Business Continuity and Council Resilience - 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 may be increased with a greater impact on people and council Services. The risk rating being 2x5= (10) medium risk. This risk is managed and monitored within the Growth and Regeneration Service Risk Registers.

There is one improving opportunity risk:

- OPP1: One City - The One City Approach will offer a new way to plan strategically with partners as part of a wider city system. The risk rating being 3x7= (21) high risk. This risk is managed and monitored within the Resources Service Risk Registers.

The risks 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.

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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 22, opportunity risks pages 23 to 24, and external and civil contingency risks on page 25 and 26 all including controls and management actions. A summary of risk performance on pages 27 to 28 by level of risk, the risk matrix on page 29 and the risk scoring criteria on page 30. More detail is available on request.

2. Risk Management Framework

Risk management is the culture, process and structures that are directed towards effective management of potential opportunities and threats to the council achieving its priorities and objectives and a key element of the council's governance framework. The Annual Governance Statement (AGS) declaration for 2018-19 highlighted a number of opportunities to enhance Risk Management. Areas for improvement include:

- Increasing the level of engagement and ownership by Service Managers.
- Enhancing the engagement of Members in the risk management process.
- Refreshing the Corporate and Directorate Risk Registers.
- Risk Management training and awareness.
- Risk Management within Business Case approvals, Project Management and Procurement Frameworks.
- Maintaining the focus of the process on reducing risk against the council's Corporate Plan 2018-23.

The risk management process continues to be developed over the year. During this quarter we have:

- Risk Management has been integrated into the Service Planning Process to aid decision making and will inform on the annual Budget Risk Register.
- Refreshed the SharePoint page to include a Service Risk Register guidance document.
- The Risk and Insurance Team have overseen a Risk Review of the Highways which received a good rating from the Councils Insurers Zurich Municipal.
- An additional resource has been sourced to assist the Risk and Insurance Manager to further embed Risk Management principles and practices within the council.

Revenue Cost	£0	Source of Revenue Funding	N/A
Capital Cost	£0	Source of Capital Funding	N/A
One off cost ☐	Ongoing cost ☐	Saving Proposal ☐	Income generation proposal ☐

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: Michael Pilcher, Chief Accountant, Deputy Section 151 Officer 15th November 2019.
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 15th November 2019.
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: Simon Oliver, Digital Transformation Director 15th November 2019.

Version April-2018

4. HR Advice: It is essential that staffing resources are appropriately deployed to manage these risks that are highlighted. There are no HR implications arising from the CRR report.
HR Partner: Mark Williams, Head of Human Resources 15th November 2019.

EDM Sign-off	Denise Murray	2/10/19
Cabinet Member sign-off	Cllr. C. Cheney	14/10/19
CLB Sign-off	Denise Murray	15/10/19
For Key Decisions - Mayor's Office sign-off	Mayor's Office	28/10/19

Appendix A – Further essential background / detail on the proposal: Q2 2019/20 Corporate Risk Report (CRR) The corporate risk summary report sets out the risks on pages 1 to 26 including controls and management actions, a summary of risk performance on page 27 and 28, the risk matrix on page 29 and the risk scoring criteria on page 30.	**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**

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Corporate Risk Register as at September 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
CRR1: Long term commercial investments and major projects capital investment. BCC'S long-term commercial investments and major projects may require greater than anticipated capital investment. Key potential causes are: • The cost is higher than expected. • The project is delivered later than planned. • The operating and maintenance cost of the asset exceeds expectations. • Strategic, geographic, social, financial and economic conditions changing over time. • Oversight of Project Interdependencies not well managed.	We have reviewed Capital Governance arrangements and have established the Capital and Investment Board in order to improve capital programme governance and accountability arrangements. The Board is overseen by the Delivery Executive to make improvements to capital project business cases, taking account of whole life costing principles and improving capital monitoring arrangements. The first meeting of the CLB / Capital and Investment Board was held on 2 July 2019. Terms of reference and governance arrangements for the Capital Board were agreed, and the Board meets on a monthly basis. The Board will ensure that there is greater rigour and control, including Risk Management, of the Council's Capital Programme. We are understanding, monitoring and reporting the cost-determining factors, and seeking relevant professional advice to ensure Value for Money (VfM) by undertaking due diligence which covers the economic, financial, social and environmental case. This is ongoing. Governance arrangements are in place for the council as a Company Shareholder. The Growth and Regeneration Directorate is responsible for delivery of major infrastructure projects. Some of the key projects include: Harbour Strategy We are looking to secure capital funding to commence in 2019/20 through a robust capital business case to make commercial improvements across areas such as new pontoons, and boaters facilities,' both of which will generate income and make the area more attractive economically. We have completed a commercial benchmarking exercise in terms of charges and commercial offering using similar marina sites across the UK. We are constructing a plan around our commercial offering, fees & charges, leases etc. to ensure we are maximising income that can be used to invest in the area. Carrying out condition surveys to assist with the development of a robust maintenance schedule. 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. Cattlemarket Road Cabinet approved reallocation of existing budget in January 2019 to enable demolition of the former sorting office to ground level. 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). 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.	⬌	3	7	21	A review of the medium term financial plan and capital strategy to develop a longer term financial planning horizon including sensitivity and scenario analysis. This will allow the Council to better manage and understand its long term investments. The Growth and Regeneration Board meets monthly to continue to improve project, programme and portfolio risk management and to ensure robust arrangements are in place and there is challenge against deliverables. We will maintain a balanced portfolio of investment assets so that exposure to particular classes of risk can be minimised. Harbour Strategy: Colleagues across Growth & Regeneration and Resources Directorates are working together 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. This is progressing and remains under discussion across Resources and Growth and Regeneration Directorates, with the Commercialisation and Citizens Division leading on the Harbour Estate Review. Harbour Condition Survey: A robust asset management planning framework. We are carrying out condition surveys on the docks walls to produce a future maintenance schedule as part of the BCC Asset Management Plan. 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 between Commercialisation and Citizens and Property colleagues with the UoB to reach a resolution. Colston hall: Following the instigation of the 10 point plan and the subsequent discussion and negotiation with the preferred contractor engaged through the SCF, Willmott Dixon, BCC successfully entered into a building contract with a contract sum of £36,722,948 on the 28th May 2019 with a revised project budget standing at £52,204,947 (this figure will form the actual project envelope). The said figure of £52,204,947 being made up from the £48,800,000 Cabinet approval plus £3,404,947 WECA funding for Project inflation Work commenced on site 3rd June 2019 with an agreed Contract completion date of 25th October 2021.	1	7	7
Risk Owner: Executive Director Growth and Regeneration, Executive Director Resources and S151 Officer.	Action Owner: Executive Director Growth and Regeneration, Director Finance, Director Commercialisation and Citizens.	Portfolio Flag: Finance, Governance and Performance.				Strategy Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.			

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Corporate Risk Register as at September 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
CRR3: Failure to Manage Asbestos. Failure to manage the asbestos management plan for properties. Key potential causes are: • 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.	The Asbestos policy, termed as the 'Asbestos Arrangement' is owned by Corporate Health and Safety services and was introduced in February 2013, it was again reviewed in June 2018. An internal review was carried out on asbestos management arrangements in Housing in 2018. An action plan is in place within Housing and being governed on a regular basis by the Safety, Health and Wellbeing Team. To date, all actions have been completed and 4 remain outstanding. Reportable exposures (RIDDOR reportable) have reduced. Progress has been made to raise the risk profile of asbestos amongst managers and operatives, introduction of more robust strategies for managing staff and contractors, asbestos good working practice is also regularly communicated. Staff and operatives have attended asbestos training. A management directive has been made this training a mandatory requirement for staff at every level with Housing and Landlord Services. 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. 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. Asbestos incidents are investigated in-house and appropriate actions taken. Property Services have improved the contract management arrangements with MSS, the surveyor to ensure that all inspections are carried out according to required timescales. A new dedicated safety Team based within Housing and Landlord Services has been created.	⬆	2	7	14	Property CHASM project is underway, to ensure all premises report on compliance this was planned for completion end September. The structure of the new team is currently being formulated by the newly appointed Construction Safety Manager. Jan 2020. The terms of reference for the new Team are being developed, it is envisaged that the team will take working responsibility for the Keystone asbestos management software and for leading other asbestos improvement strategies. Jan 2020. We are holding regular 'Asbestos working group' meetings to progress the management of Asbestos across the authority. Ongoing. Now that progress has been made with the plan, a second detailed review will be carried out by the Safety Health and Wellbeing Team and the Construction Health and Safety Manager to re- assess the effectiveness of all action that has been taken to date and to ensure the Asbestos Management arrangements are continually improving. Jan 2020. Mandatory asbestos staff training within Housing and Landlord Services is in progress.	1	7	7
Risk Owner: Head of Paid Service and Corporate Leadership Board (CLB) / Director HR, Workforce and Organisational Design, John Walsh	Action Owner: Director of Commercialisation and Citizens (for Corporate Estate) and Director of Housing and Landlord Services (for Social Housing).	Portfolio Flag: Finance, Governance and Performance.				Strategy Theme: Our Organisation.			

Corporate Risk Register as at September 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
CRR4: Corporate Health, Safety and Wellbeing. If the City Council does not meet its wide range of Health & Safety requirements then there could be a risk to the safety of employees, visitors, contractors, citizens and BCC corporate body. Key potential causes are: • 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.	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. 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. 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. 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. 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. 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. 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. BCC also has a system of Trade Union Consultation with Health and Safety trained Representatives. Benchmarking and annual reports are provided to BCC along with the annual performance report. All contracts set up with external providers include checking their relevant Health and Safety competency. The council's audit programme monitors compliance with statutory duty and best practices. A review of the Health and Safety Management arrangements was carried out and an improvement plan in place. CHASMs have been in October 2019 to ensure it is risk based; enabling priority to be given to risk areas identified and create a clearer line of sight for Directors on the risks being managed in their business areas.	⬆	2	7	14	A revised electronic accident /incident local reporting database is being developed. Product specification has been scoped and assessment made for feasibility to use Itrent. This was planned for October and has been delayed to Feb 2020. Project plan in place to update and improve all elements of the health and safety management system. This plan is being governed quarterly by Statutory and Policy Board. Ongoing. Business partnering arrangements plan to be put in place by October 2019 to strengthen Director level support for Health and Safety (within existing resources). Working with the Director teams in each Directorate, quarterly reports will be expanded to cover CHASM returns and themes, incidents, training provision compliance. Directorates will be supported to develop action plans. All policies and procedures plan to be reviewed and refreshed by April 2020. CHASMs will be expanded to include a greater focus on property risk, with a new arrangement for those "persons in charge" for reporting and discussing premises risks. A review of training will be carried out to ensure that all relevant and required training is available. Linked to CHASM review by April 2020. Arrangements for controlling risks of Hand Arm Vibration, Noise and respiratory sensitizers will be carried out, with a supporting Occupational Health Surveillance programme where required by December 2019. A refreshed focus on wellbeing and health is in progress with a plan in place within the Organisational Improvement Plan to focus on mental health by April 2020. Time to Change action plan is planned for April 2020 which will be monitored.	1	7	7
Risk Owner: Head of Paid Service and Corporate Leadership Board (CLB).	Action Owner: Director of Workforce Change.	Portfolio Flag: Finance, Governance and Performance.				Strategy Theme: Our Organisation.			

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Corporate Risk Register as at September 2019 – Threat Risks to the achievement of Bristol City Councils Objectives.									
			Current Risk Level				**Tolerance Risk Level**		
Risk title and description	**What we have done**	Performance	Likelihood	Impact	Risk Rating	**What we are doing**	Likelihood	Impact	Risk Rating
CRR5: Business Continuity and Councils Service Resilience. 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. Key potential causes are: • 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.	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. A number of Policies and procedures are in place including the Business Continuity Policy communicated to relevant staff. The Incident Response Plan updated in July 2017. Service Business Continuity Plans were in place for January 2018, the plans have undergone 'refreshing by services' annually. An Incident Management Team training session was carried out October 2018. A Senior Management on-call rota has been devised agreed and is regularly monitored. 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. CLB accepted growth bid for extra staff on Civil Protection Unit (CPU) team. A Business Continuity Officer recruited.	⬆	2	5	10	The Business Continuity Policy and the Corporate Business Continuity Plan is planned to be reviewed once Business Continuity Officer recruited. Business Continuity refresher training - workshops held at 100TS and City Hall. A review of Service Level Business Continuity Plans will be carried out in early 2020. We are introducing a quality assurance approach for our business continuity plans to emphasise service accountability. 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.	1	7	7
Risk Owner: Executive Director Growth and Regeneration / Head of Paid Service.	Action Owner: Director Management of Place and Civil Protection Manager.	Portfolio Flag: Finance, Governance and Performance.				Strategy Theme: Our Organisation, Wellbeing.			

Corporate Risk Register as at September 2019 – Threat Risks to the achievement of Bristol City Councils Objectives.										
			Current Risk Level					Tolerance Risk Level		
Risk title and description	What we have done	Performance	Likelihood	Impact	Risk Rating	What we are doing		Likelihood	Impact	Risk Rating
CRR6: Fraud and Corruption. Failure to prevent or detect acts of significant fraud or corruption against the council from either internal or external sources. Key potential causes are: • 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.	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. A Bribery and Corruption review has been completed which concluded that controls in the services most at risk of corruption are in place. However it highlighted that work is required to strengthen the declarations of interest processes and the gifts and hospitality register and approvals. We take a strong stance when fraud is found and seek financial recovery through a strong and effective counter fraud team. The counter Fraud and Investigations 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. Whilst awareness of the whistleblowing process has been raised, there remains work to be done to enhance employee confidence in reporting concerns. Options are being considered for this. 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. Key Counter Fraud Objectives were defined for 2019/20. Counter Fraud Performance is monitored by Audit Committee via the Annual and half yearly 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. An initiative to provide an amnesty period for tenancy fraudsters to return keys to Council properties has been completed. Revised structure of Counter Fraud team approved and HRA funding source agreed for tenancy fraud work. Regular meetings taking place with Legal services to ensure cases progress swiftly. Data sets submitted to National Fraud Initiative and output received for review.	↔	3	5	15	We are monitoring fraud indicators (warning signs and fraud alerts) to ensure anti- fraud approach is correctly targeted. The Fraud Policy is currently being reviewed and updated. Work is underway with legal services to ensure maximum recovery with minimum resource. Analysis of how much 'recoverable' overpayment is actually 'recovered' is currently underway to ensure resources are targeted most effectively. Project to develop a data hub, potentially regionally is in early stages. Plan and dataset matrix are currently being finalised. Available hub software is currently being researched. Ongoing exercises to establish proof of concept are under way. Business case to be completed. Council wide fraud and avoidance initiatives including: ▪ NNDR Small Business Rate Relief ▪ National Fraud Initiative ▪ Personal Budgets ▪ Bribery and Corruption Risk Assessment ▪ New Fraud Case Management System		2	5	10
Risk Owner: Executive Director Resources and Director of Finance (S151 Officer).	Action Owner: Director of Finance and Chief Internal Auditor.	Portfolio Flag: Finance, Governance and Performance.				Strategy Theme: Our Organisation.				

Corporate Risk Register as at September 2019 – Threat Risks to the achievement of Bristol City Councils Objectives.										
			Current Risk Level				Tolerance Risk Level			
Risk title and description	What we have done	Performance	Likelihood	Impact	Risk Rating	What we are doing		Likelihood	Impact	Risk Rating
CRR7: Cyber-Security. The Council's risk level in regards to Cyber-security is higher than should be expected. Key potential causes are: • 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.	Budget provision for Cyber Security was allocated within the Future State Assessment Plan (FSA) as approved by Cabinet June 2018. Independent full security assessments have been carried out November 2018. Increased training - Phishing attacks November 2018. An Information Governance Board has been established to provide oversight of information security and an escalation point to the Council's SIRO. Head of Information Assurance commenced in post September 2019.	↔	3	7	21	The Council is starting to use a SIRO checklist to capture and escalate cyber security risks. The Council is procuring an Information Security Management System which will review and enhance the Council's policies and strategies for information management. The Information Assurance Service is working closely with the Council's ICT Department to improve the approach to all aspects of Information Assurance (including adoption of ISO27001). The ITTP (formerly 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 ITTP (formerly FSA Programme) will align with the new Information Assurance approach and the strategy set by the Council's SIRO. As well as technical controls, the Council continues to carry out regular Phishing attack exercises 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. The Information Assurance and ICT team will continue to work together to support the SIRO to develop appropriate targeted training for all Council staff relating to cyber security.		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.				

		Current Risk Level				Tolerance Risk Level		
Corporate Risk Register as at September 2019 – Threat Risks to the achievement of Bristol City Councils Objectives.								
Risk title and description	**What we have done**	**Performance**	**Likelihood**	**Impact**	**Risk Rating**	**What we are doing**	**Likelihood**	**Impact**	**Risk Rating**
CRR9: Safeguarding Vulnerable Children. The council fails to ensure that adequate safeguarding measures are in place, resulting in harm or death to a vulnerable child. Key potential causes are: • 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.	Regular analysis of performance and reports to Cabinet Members and Directors regarding safeguarding performance and progress. A children's safeguarding assurance report updates senior leaders on a quarterly basis. The Safeguarding Children's Board provides independent scrutiny of children's safeguarding arrangements in the city and holds BCC and partner agencies to account. 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. BCC works with partners to effectively identify victims and perpetrators of CSE and take action to disrupt and protect. Multi Agency Public Protection Arrangements are in place (MAPPA) with BCC contributors at every level to support family safeguarding. 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. 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. 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 all children and families receive a good service. 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. Bristol's workforce strategy is 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 a temporary basis to fill vacancies. A robust social worker caseload monitoring framework is in place. Information sharing protocols are in place with services taking action to comply with GDPR where sensitive data is stored/processed. Children's strategic commissioning team have a priority work plan in place and are working to increase placement sufficiency through regional framework arrangements. BCC commissioners work closely with operational services to identify need and ensure appropriate service commissioning. Due diligence and quality checks of all commissioned services for vulnerable children are in place. Bristol Multiagency Safer Options Team established for East Central Bristol (April 2019) tackling Serious Youth Violence and Criminal Exploitation of Children taking an intelligence led preventative approach.	⬌	2	7	14	New Keeping Bristol Safe Arrangements submitted to DfE and published end June 2019. New arrangements in place September 2019 with place based life course approach to children, adult and community safety holding BCC and partners to account. Reviewing and reassessing information sharing arrangements with the aim of improving our ability to understand and respond to children at risk of criminal exploitation and going missing following CSE/Missing National Working Group recommendations. Working with University of Bedfordshire as part of the Contextual Safeguarding Scale Up Project to develop improved responses to contextual safeguarding risks. The Strengthening Families Programme is coming to the end of its phase as a form project - however, work continues to: • Work with families from the earliest point of need and 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. Delivering new career progression and pay arrangements to recruit and retain highly skilled Social Workers (June 2019). In response to an identified and increasing risk of serious youth violence and criminal exploitation a multiagency plan is being implemented under a 'Gold' Exec Group (Feb 2019): • Bristol is taking a Public Health Approach and focussing on primary, secondary and tertiary prevention. • Safer Options Team established and working to profile and reduce SYV in East Central (April 2019) • Investment secured to extend reach of Safer Options/Meet citywide demand pressures (Jun/Jul 2019) • Investing in systemic practice approach and training staff members at all levels of Children and Families Services. • An improvement plan for 2019-20 is being implemented to address areas identified for improvement during our ILACS Inspection and incorporating other actions in response to learning from other Inspections, Peer Review, Serious Case Review, complaints and other feedback received.	1	7	7
Risk Owner: Executive Director, People	Action Owner: Director Children's and Families Services.	Portfolio Flag: Children and Young People.				Strategy Theme: Our Organisation, Empowering and Caring, Wellbeing.			

Corporate Risk Register as at September 2019 – Threat Risks to the achievement of Bristol City Councils Objectives.										
			Current Risk Level					Tolerance Risk Level		
Risk title and description	What we have done	Performance	Likelihood	Impact	Risk Rating	What we are doing		Likelihood	Impact	Risk Rating
CRR10: Safeguarding Adults at Risk with Care and support needs. The council fails to ensure adequate safeguarding measures are in place, Adults at risk. Key potential causes are: • 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.	The Adults Safeguarding Board has now been reconstituted into the Keeping Bristol Safe Board which also includes responsibility for Children and Community Safety. The Board has senior executive representation and will ensure a strong focus on strategic matters of concern. The constitution for the Board has been confirmed and it will meet regularly and have oversight of safeguarding priorities. 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. 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. 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. 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. Focused work is being undertaken to address the backlog in safeguarding referrals and good progress has been made in bringing the number outstanding down to more manageable numbers.	⟷	2	7	14	Social workers working with Multi-agency partners supporting Adults and elderly people to live safety within their families and communities. We are increasing capacity this year in the commissioning team to lead on monitoring quality in the care sector. Improving the quality services for those who need it and ensuring effective management oversight. Review of the Safeguarding Pathway Transforming the Safeguarding Adults Board.		1	7	7
Risk Owner: Executive Director, People	Action Owner: Director Adult Social Care.	Portfolio Flag: Adult Social Care.				Strategy Theme: Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.				

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Corporate Risk Register as at September 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**
CRR11: Bristol City Council (BCC) Infrastructure Delivery. 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. Key potential causes are: • 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 resources available. • Currently a more uncertain future due to Brexit.	Governance arrangements have been established through the Growth and Regeneration (G&R) Board and the Strategic Property Group both launched in Q4. 2017/18 to enable the integration of thinking about property with financial, regeneration and other considerations and enhance reporting of asset disposal plans and progress. The G&R Board 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. AGR is regularly reviewed and re-prioritised by the G&R Board. The Strategic Property Group (SPG) was established in January 2018 and meets on a monthly basis. The SPG identified the need for an Operational Property Group in March 2018. Remit and membership of both groups was reviewed and re-launched in April 2019. Corporate Leadership Board identified the need to re-establish a Capital Board which existed until December 2016. The first meeting of the CLB / Capital and Investment Board was held on 2 July 2019. Terms of reference and governance arrangements for the Capital and Investment Board were agreed, and go-going forward the CLB / Capital and Investment Board will meet on a monthly basis. The Board will ensure that there is greater rigour and control, including Risk Management, of the Council's Capital Programme. Bristol Transport Board established in January 2019 and Bristol Transport Strategy. The latter sets the framework and will hold us to account for delivery.	↔	2	7	14	The Operational Property Group (OPG) as a sub-group to the Strategic Property Group (SPG) was launched in 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. Recruitment of specialist Asset Management Plan resource was agreed in April 2018. Work on outline business case for the Asset Management Plan is progressing, and on-going. Develop strategies and Implementation plans that ensure the property portfolio remains a major asset in supporting the achievement of corporate aims and objectives will be well advanced by end March 2019. Development and implementation of a Property Asset Management Strategy - DWG decision (04/04/2018) to recruit specialist Asset Management Plan (AMP) resource to develop the outline business case by July/August 2018 and to inject pace into the production of the AMP. The current estimated timescale for completion of the AMP is by end March 2020 Property Strategy work is on-going as at 30 September 2019, and progress with this and delivery of the AMP is subject to regular discussion at the Strategic Property Group (SPG) which meets monthly. This is a standing item at the monthly SPG Meetings. We are proactively supporting the development of a local development strategy to appropriately reflect Bristol's Infrastructure needs. Recruitment of sufficient resources, to ensure the capacity and skills required are available to enable the objectives from the estate to be delivered. A key action arising from the first meeting of the CLB / Capital and Investment Board is for Growth and Regeneration Directorate to hold workshops to review its Capital schemes with a view to pausing / stopping / reprioritising where appropriate. The first workshop was held in July 2019 to review all Capital schemes and there will be another workshop in October 2019 to make decisions based on the P6 budget forecast. Review of Areas of Growth and Regeneration and agreement on new priorities is on-going by the Growth and Regeneration Board.	1	7	7
Risk Owner: Executive Director Growth and Regeneration.	Action Owner: Executive Director Growth and Regeneration	Portfolio Flag: Finance, Governance and Performance.				Strategy Theme: Our Organisation			

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Risk title and description	What we have done	Performance	Likelihood	Impact	Risk Rating	What we are doing	Likelihood	Impact	Risk Rating
CRR12: Failure to deliver suitable emergency planning measures and respond to and manage emergency events when they occur. (Civil Contingency and Resilience) If the City has a Major Incident, Contractor Failure or the council inadequately responds, then the impact of the event may be increased with a greater impact on people and businesses. Key potential causes are: • 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. (Previously Civil Contingencies and Council resilience).	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. 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. A system is in place for ongoing monitoring of severe weather events (SWIMS). 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, Saxon Resolve November 2017 and major COMAH training exercise in November 2018 (Operation Spitfire). A senior management on-call rota has been devised, agreed and is monitored. Emergency Reservists have been recruited to aid emergency responses. The Bristol Operations Centre capacity to support multi-agency operations has been tested. BCC took receipt the South West's share of the National Emergency Mortuary Equipment in July 2018. A progress paper on Civil Contingency is scheduled to go to Strategy and Policy Board July 2018. Review of Excess Deaths capability and plan is planned for September 2018. Recruitment and training of additional Emergency Centre Managers and Emergency Volunteers is ongoing	↔	2	7	14	An 'Introduction to Emergency Planning' e-learning package is in progress. An Emergency Centre live exercise was planned for November 2018. This was postponed, although smaller training exercises have been completed. The corporate exercise is now planned for Nov 2019. Emergency Planning College (EPC)-led Strategic Incident Management Training sessions planned. Voluntary agency capacity to support incidents will be reviewed by through the LRF. Training for ABS staff to support incident response and recovery (admin, logging and logistics) is ongoing. We are embedding lessons from Exercise Day Two, particularly around housing capacity, community engagement and mutual aid. A report is planned for the Corporate Resilience Group (CRG). A review and exercise of the COMAH (Control of Major Accident Hazards) Plan is planned.	1	7	7
Risk Owner: 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 September 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**

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. Key potential causes are:
• Failure to achieve Business Rates income- appeals/ general economic growth/loss of major sites (in budget setting).
• 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:
  ▪ The potential for new funding formulas such as fair 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.
	BCC manages its financial risks through a range of controls including budget preparation, budget setting and a Budget Accountability Framework. Roles and responsibilities for managing, monitoring and forecasting income and expenditure against approved budgets have been updated.
	
	The council has developed a strong rolling Medium-term financial planning 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:
	• 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.
	• Changes to savings in year are monitored by delivery executive.
	
	Restructured the finance team and planned skills development remains a key priority which will include commercial and business acumen. This will be an ongoing and aligned with professional development.
	
	Ensuring that Bristol City Council are engaged with or receiving timely feedback from the range of Government working groups exploring future local funding.
		↔	2	5	10	Review of the medium term financial plan, capital strategy and developing a financial sustainability strategy by December 2019.
						
						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.
							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 September 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
CRR15: Financial Deficit. 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. Key potential causes are: • 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.	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. Corporate Revenue Monitoring Reports with identified risks are reported to Cabinet, overspending departments prepare action plans with responsible Directors identified. 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. 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. Implemented budget improvement processes– 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. Where viable in year recovery/delivery plans cannot be achieved, Executive 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). Where viable in year recovery/delivery plans cannot be achieved, Executive 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). 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 Executive Directors appropriately. We have continual oversight and ongoing management of the council's financial risks. Internal audit also undertakes a number of reviews of our financial planning and monitoring arrangements.	↔	2	5	10	A review of robustness of forecasting in light of expenditure and income run rates and other associated evidence. We will carry out a re-assessment of service delivery risks and opportunities and risk and other reserves. Working with external advisors to undertake due diligence of commercial investments to provide the council with Assurance and further opportunities to explore. Incorporate additional key cost driver activity information within our regular budget monitoring processes.	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.			

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Corporate Risk Register as at September 2019 – Threat Risks to the achievement of Bristol City Councils Objectives.										
			Current Risk Level					**Tolerance Risk Level**		
Risk title and description	**What we have done**	Performance	Likelihood	Impact	Risk Rating	**What we are doing**		Likelihood	Impact	Risk Rating
CRR18: The risk of failing to deliver the range of housing to meet Bristol's needs and not realise the ambition to deliver 2000 homes, of which 800 are affordable, per annum by 2020. Strategies and delivery models designed to further stimulate growth in the housing market and deliver diversity of the housing offer across the city prove to be ineffective and do not attract and retain economically active residents. Key potential causes are: • 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	Secured planning permissions. Secured additional grant funding for infrastructure. Releasing land. Issuing grants to Registered Providers (RPs). Established Local Housing Company (Goram Homes). Secured funding from Homes England under HIF and Accelerated Construction and Community Development in order to release further housing land. Established a grant funding programme to subsidise the delivery of affordable homes. Introduced the Affordable Housing Practice Note. Working collaboratively with Homes England to maximise subsidy in schemes to provide as much affordable housing as possible. Requiring a minimum of 30% affordable housing on land released by the Council.	↔	2	5	10	We are addressing all areas of provision including: Community Led Housing (CLH), Registered Providers (RPs) and Direct Delivery, (New Council Homes). We are carrying out a Service Review of Housing Delivery Team commencing October 2019 – December 2019. Significant land release programme to Registered Partners (RPs). We are looking at opportunities to fund the acquisition of additional units in developments on site. External funding bids have been made to secure infrastructure funding to accelerate delivery. Revised the Affordable Housing Grant Funding Policy to ensure it is relevant and assist the delivery of new affordable homes. Working Closely with Homes England to ensure additional subsidy is secured Identifying opportunities to acquire additional affordable homes off the shelf.		2	5	10
Risk Owner: Executive Director Growth and Regeneration.	Action Owner: Director Development of Place.	Portfolio Flag: Housing.				Strategy Theme: Fair and Inclusive.				

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			Current Risk Level					**Tolerance Risk Level**		
Risk title and description	**What we have done**	Performance	Likelihood	Impact	Risk Rating	**What we are doing**		Likelihood	Impact	Risk Rating
CRR19: Tree Management. Risk of trees and tree limbs falling and causing harm to people or property due to unfavourable weather conditions and tree diseases. Key potential causes are: • The Council has 100,000 trees. Severe weather conditions and / or disease can leads to tree failure. • Lack of maintenance of trees can result in tree failure. • Some council trees are not being managed or inspected, increasing the chance of failure.	Analysis of all trees is the main task and this takes time to complete. Analysis work on trees is underway by the tree team and Desktop mapping is complete. Cabinet report in June was agreed including re-procuring the tree management contract to create additional capacity to manage all off the councils trees. The cost of this will be covered by the departments on whose land the trees are situated - more finance work is needed on this.	↔	3	5	15	Analysis continues on trees potentially at risk. Desktop mapping is completed and trees will need to be assessed. Contract has been extended for tree maintenance Budget for 18/19 has been protected, work is commencing to identify budget for 19/20. Budget for 19/20 is available to continue tree analysis and maintain trees on the existing contract. Budget uplift for new contract is proposed to be taken from land owning departments but this needs to be confirmed by finance and departments. Not yet agreed. Carry out in-depth audit of non-managed sites to identify costs to service areas Cabinet report approval means that additional personnel resource can be recruited to undertake the work. Finance work to identify budget to pay for tree maintenance works from landowning departments still needs to be done. Departments will be alerted initially in October 2019. New tree management contract going through procurement process - on track. QTRA system being rolled out via tree audits and tree group ID.		1	5	5
Risk Owner: Executive Director Growth and Regeneration.	Action Owner: Director Management of Place.	Portfolio Flag: Communities.				Strategy Theme: Our Organisation, Wellbeing.				

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Corporate Risk Register as at September 2019 – Threat Risks to the achievement of Bristol City Councils Objectives.										
			Current Risk Level					**Tolerance Risk Level**		
Risk title and description	**What we have done**	**Performance**	**Likelihood**	**Impact**	**Risk Rating**	**What we are doing**		**Likelihood**	**Impact**	**Risk Rating**
CRR21: General Data Protection Regulation (GDPR) compliance. 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. Key potential causes are: • 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).	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. 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. 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. Improved data breach reporting for EDM's from December 2018. Information Assurance Service established January 2019. Updated guidance on GDPR compliance and breach reporting published on the Council's intranet (Source) pages in January 2019. Improved PIA process and PIA register in February 2019. Business Continuity plan produced and updated to reflect new IG Service in March 2019. The Council provides e-learning training for new starters on data protection. The purchase of a privacy management system is being considered as part of service and budget planning for 2020/21. Data protection staff have attended training courses to maintain up to date knowledge and expertise.	⟷	2	5	10	We have made significant progress on compliance with the General Data Protection Regulation (GDPR). We are embedding a new Information Governance team, which has brought together existing specialists into a central team to provide advice guidance and support on all related aspects in a more coordinated manner. Continuing delivery of prioritised objectives to embed GDPR compliance, in this quarter we are working on: • New starters induction and awareness training • Training for offline staff • Reviewing procurement templates • Reviewing data protection policies • Progressing the business case for a privacy management system (with Head of Service and Director) • Implementing a case management system • Team training plan. • Targeted training for data protection champions within the Council		2	3	6
Risk Owner: Senior Information Risk Owner (SIRO).	Action Owner: Senior Information Risk Owner (SIRO) and Statutory Data Protection Officer (SDPO).	Portfolio Flag: Finance, Governance and Performance.				Strategy Theme: Our Organisation.				

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Corporate Risk Register as at September 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**
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. Key potential causes are: • 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.	BCC has close involvement of Elected Mayor and Members in key partnerships. Regular review and evaluation of the current position by CLB. Leads have been defined for recommendations to develop partnership working which were received by the Audit Committee in April 2016. BCC has mechanisms in place for regular dialogue including formal partnerships. 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. A refreshed Partnerships Policy has been drafted. (June 2019). Scoping and reviewing the need for Commercial Training for relevant managers as part of Procurement and Commercial Strategy. Created a central partnership register.	↔	3	3	9	We are reviewing and refreshing the Partnership Policy and Toolkit by August 2019. Creating a central Partnership Register including Service Level Agreements (SLAs), Terms of Reference (Terms of reference) and contracts where appropriate. Creating a template terms of reference. We are scoping and reviewing the need for appropriate procurement training for relevant managers as part of Procurement Strategy.	2	3	6
Risk Owner: Head of Paid Service.	Action Owner: Head of Delivery Support Unit.	Portfolio Flag: Finance, Governance and Performance.				Strategy Theme: Our Organisation.			

Corporate Risk Register as at September 2019 – Threat Risks to the achievement of Bristol City Councils Objectives.									
			Current Risk Level				**Tolerance Risk Level**		
Risk title and description	**What we have done**	Performance	Likelihood	Impact	Risk Rating	**What we are doing**	Likelihood	Impact	Risk Rating
CRR23: Better Lives Programme. Failure to deliver the required outcomes and savings from the Better Lives Programme, whilst delivering against our statutory duties and maintaining quality services. Key potential causes are: • 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.	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. The Programme Senior Responsible Officer (SRO) regularly attends key internal governance meetings e.g. ACE Scrutiny Commission, Delivery Executive. We have introduced a trajectory management approach to define and track key performance metrics across all areas of the programme, which are shared with the Programme Board and ASC DMT on a monthly basis. This identifies any areas of particular risk and allows the programme to put mitigating actions in place. 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). 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. We have a specific area of the Programme dedicated to strengthening partnership working and integration with Health. We have workstreams focussing on practice which ensure we are meeting statutory requirements and that people receive the correct care and support, including a Reviews workstream. We have introduced a number of interventions that are impacting new demand and enabling individuals to maximise their independence 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). Developing proposals for a new Technology Enabled Care offer (Cabinet approval gained May 2019).	⬌	2	7	14	We have moved in to a new phase of the Better Lives Programme, focused on delivering the programme vision at pace. This includes 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 and Preparing for Adulthood. Piloting provider reviews to ensure that people are receiving the right care and support and freeing up capacity in the Market. Delivering new technology and working practices to our Social Workers. Deliver 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. Introducing a further rate increase for Home Care. Developing a new Preparing for Adulthood service. Social workers working with Multi-agency partners supporting Adults and elderly people to live safety within their families and communities It is planned to make a one off retention payment to all social workers as part of the council's retention policy. A wider review of the remuneration package for social workers is planned to improve recruitment and retention. Transforming the Safeguarding Adults Board.	1	7	7
Risk Owner: Executive Director, People	Action Owner: Director Adult Social Care.	Portfolio Flag: Adult Social Care.				Strategy Theme: Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.			

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Corporate Risk Register as at September 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
CRR24: Procurement and Contract Management Compliance Failure to ensure that BCC: • Achieves value for money when purchasing goods and services. • Complies with legislation (including the risk of legal challenge), quality and cost. • Meets social value requirements for contract awards. • Ensure orders for goods / services are efficiently placed and observes agreed terms. • 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. Key potential causes are: • Poor / weak pre procurement forward planning and tender specifications. • Over reliance and inappropriate use of waivers. • Skills / knowledge gaps. • Ineffective Supply chain and market engagement. • Poor / weak contract monitoring. • Supplier failure and missed opportunities of warning signs. • Resourcing and personnel gaps in the Procurement Service. • Failure to properly embed Category Management	In 2018/19 BCC adopted a Category Management approach and revised the structure of the procurement team to reflect the principles and methodology 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. Whilst the current Council procurement rules were revised and agreed by Full Council in May 2018 there is a further review being undertaken to ensure that the rules support robust commercial governance whilst at the same time support and enable proportional approach to managing commercial risks. This is also undertaking a fundamental review on how the functioning of the Commissioning and Procurement Group operates to ensure commercial decision making is proportionate to risks. From 2 September the Commissioning Supplier Relationship Management Service (CSRM) has been aligned with Corporate Procurement Service, to better align resource and capacity to deliver both required levels of procurement support coupled with improved strategic management of contracts. A formal review of the service is currently underway. 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. 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.	↔	3	5	15	Following the alignment of CSRM and Procurement work is underway to review the Service Offering for the Procurement Service. The draft service plan for 2019/20 includes • Further developing and embedding of Social Value Policy and associated toolkit; • Developing and embed complimentary strategies that support sustainable procurement and supply chain practice, • Active commercial engagement at a strategic level on third party contracts and commercial arrangements. • Improving stakeholder engagement around forward planning and solution focus around commercial and procurement opportunities that are driven by the wider Council Objectives, • Maximising resources through effective approaches of commercial arrangements • Further develop an expert team of competent commercial professionals supported by fit for purpose tools, systems and processes, and where appropriate suitable strategic partner arrangements to compliment resources and add value around any identified gaps. • Embedding robust commercial processes and systems including clarity on the approach around Category Management We are developing an improvement action plan which will include the following: • Further development of the contract register to ensure that all contracts over £5k are captured. • Training and development plan for the procurement staff and the wider organisation. • Systems and processes to standardise and improve the monitoring of procurement performance. • Procurement efficiencies are to be tracked in delivering agreed savings targets. • Further reviewing and where appropriate streamlining key processes, for example the Commissioning Procurement Group (CPG). • Seeking external support to both advance contract reviews to deliver savings and efficiencies as well as support knowledge transfer and upskilling within the service. • Implementing the new Social Value Policy and toolkit for measuring, monitoring and reporting additional benefits. • Improving engagement within and across Services to enhance forward planning and driving down reliance on use of waivers. Tendering processes are being reviewed to eliminate non-value added activity and support the appropriate route to market. The early warning system pilot will be reviewed with a view to wider rollout. This is not an exhaustive list and once the improvement plan has been endorsed it will inform on next steps – end of Qtr. 4.	1	5	5
Risk Owner: Section 151 Officer, Executive Director Resources.	Action Owner: Director Finance (Section 151 Officer).	Portfolio Flag: Finance, Governance and Performance.				Strategy Theme: Our Organisation.			

Corporate Risk Register as at September 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
CRR25: Suitability of Line of Business (LOB) systems The Councils reliance on legacy systems. Key potential causes are: • 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.	IT Services continue to highlight risks and shortcomings with systems (in an informal manner) to Heads of Service and Senior Leadership whilst the on-going formal review continues. We continue to work with Information Assurance colleagues in regards to those systems which may perpetuate a Cyber Security or Information Management risk.	↔	4	5	20	Planning for the roll out Windows 10, ICT are undertaking a review of the Council's application portfolio to check compatibility with the new operating system. This has resulted in a widening of the review to look at a number of other aspects, such as cost, contract status, security and whether the functionality could be delivered through other products/solutions. We will continue to assess functionality and compatibility of LOS systems as part of the roll out of Windows 10. This will continue through to mid-2020. It is the intention of ITTP to produce a report against the Council's line of business review which places the applications into groups which can be considered by stakeholders for replacement/removal/upgrade.	2	5	10
Risk Owner: Senior Information Risk Owner (SIRO) for Cyber Security Service Areas for BCP/DR.	Action Owner: Director, Digital Transformation.	Portfolio Flag: Finance, Governance and Performance.				Strategy Theme: Our Organisation.			

Corporate Risk Register as at September 2019 – Threat Risks to the achievement of Bristol City Councils Objectives.										
			Current Risk Level				Tolerance Risk Level			
Risk title and description	What we have done	Performance	Likelihood	Impact	Risk Rating	What we are doing		Likelihood	Impact	Risk Rating
CRR26: ICT Resilience 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. Key potential causes are: • 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.	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. Backups are held within, and external, to the corporate network to ensure availability. Work to date. The ITTP (formerly 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. 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. 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.	⟷	2	7	14	The Council has a contract with a third party to provide DR capability. The Council is working to undertake a full end to end test of the services it procures however, this has been challenging. The Council continues to engage with the third party supplier and have recently received a quote to undertake a full DR test, which is under review. The small scale tests undertaken to date have taken far longer and have been more complex than was envisaged. This has reduced confidence in the ICT service. It is our intention to undertake a full DR test on an annual basis. However, as the small scale tests have been problematic, this has not been possible to date. As part of the project to replace the Council's on premise SAN, the Council is improving the resilience of hosted services by extending our replication of data. Our on-going move of service to Cloud infrastructure will reduce the Council's risk profile over time.		2	5	10
Risk Owner: Head of Paid Service and Service Area Leads.	Action Owner: Director, Digital Transformation.	Portfolio Flag: Finance, Governance and Performance.				Strategy Theme: Our Organisation.				

Corporate Risk Register as at September 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
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. Key potential causes are: • Overspend on individual schemes leading to uncontainable cost pressures. • Underspend on annual profile. • Lack of coordination and programme management across divisions.	Transport Programme Team set up. Transport Delivery Board set up. Shared paperwork and highlight reporting process initiated. Regular briefings and reporting to senior management and cabinet members. 5 year capital programme mapping process underway.	↔	3	5	15	Transport department split which could endanger work done to date working on ways to mitigate this. Work ongoing to ensure that recent progress is not lost and that positive direction of travel is not lost. Working with Transport Planning Team (TPT) and other managers to develop systems further engaging with Directors of Economy of Place and Management of Place, to develop proposals for overall improved management of capital programme and recruitment of appropriate resource levels. We continuing to develop Transport Planning Team (TPT), Transport Development Board (TDB) and highlight report processes which are governed by the Growth and Regeneration (G&R) Board (monthly meeting). 5 Year mapping ongoing, 19/20 programme mapped and ongoing.	2	5	10
Risk Owner: Executive Director Growth and Regeneration.	Action Owner: Director Management of Place.					Portfolio Flag: Communities.	Strategy Theme: Our Organisation, Wellbeing.		

Corporate Risk Register as at September 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
CRR29: Information Security Management System. There is a risk that if the council does not have an Information Security Management System then it will not be able to effectively manage Information Security risks. Key potential causes are: • Ineffective Information Security Management System, inadequate resources to create and maintain an ISMS, management buy in and support to operate an ISMS	We have worked with Information Governance Board (IGB) and ICT on introducing and/or designing an ISMS aligned to ISO 27001. The Information Assurance Team have started a procurement process to design and deliver a new information security management system during ?	↔	4	5	20	Information Assurance are continuing to work with ICT and IGB on implementing an Information Security Management System.	1	5	5
Risk Owner: Senior Information Risk Owner (SIRO).	Action Owner: Senior Information Risk Owner (SIRO) and Statutory Data Protection Officer (SDPO).					Portfolio Flag: Finance, Governance and Performance.	Strategy Theme: Our Organisation.		

Corporate Risk Register as at September 2019 – Threat Risks to the achievement of Bristol City Councils Objectives.										
			Current Risk Level					**Tolerance Risk Level**		
Risk title and description	**What we have done**	Performance	Likelihood	Impact	Risk Rating	**What we are doing**	Likelihood	Impact	Risk Rating	
CRR30: Failure to deliver Bristol City Council's wider Clean Air Plan (excluding traffic clean air zone) Communication/engagement with stakeholders does not result in sufficient behavioural change. We are unable to deliver actions committed to by Mayor in the wider Clean Air Plan (excluding Traffic Clean Air Zone) - which is addressed in MoP service area. Key potential causes are: - Staff capacity. - Procurement risks.	Measures have been developed and will form part of the Clean Air Plan. Mayors Speech June 2019 announced some of these as policy commitments (Mayors Office).	New	3	5	15	Measures have been finalised and implementation plans are being developed. A proposal for funding from Reserves have been produced and now approved. Staff being allocated to complete the work.	1	1	1	
Risk Owner: Executive Director Growth and Regeneration, Colin Molton	Action Owner: Climate Change & Sustainable City Manager	Portfolio Flag: Strategic Planning and City Design				Strategy Theme: Wellbeing				

Corporate Risk Register as at September 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
OPP1: One City Approach The One City Approach will offer a new way to plan strategically with partners as part of a wider city system. Key potential causes: • 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.	We have Launched the One City Plan v1 in January 2019. We have funded the core City Office staff team for 2019/20 (April 2019). We have appointed to the Head of City Office role, with post holders to take up job-share position in July/Aug 2019. We have established the majority of One City Boards, with Environment and Economy to Launch in the next quarter. We have agreed the top three priority One City projects for 19/20 and are actively supporting these. Aligned internal resourcing for One City Plan development with our review of Partnership Policy (see CRR21) to ensure a joined-up approach.	⬆	3	7	21	Have implemented the citywide governance structure including establishing the Economy Board, Environment Board and the associated city Climate Advisory Committee. All boards have now met and are refreshing their contributions to the One City Plan. The City Office has engaged a sponsorship expert to scope potential opportunities for future funding. Project activity will also be supported by the 100,000 Euros awarded to One City as a prize-winner for European Capital of Innovation. The office is now staffed with 2x Operational and Stakeholder Engagement Managers, a SDG Coordinator and with a sequence of interns, work experience and external offers of resourcing to support the initiatives. Planning work to iterate the One City Plan for v2 in January 2020. Establishing the leadership framework with a regular meeting pulse and associated governance mechanisms	4	7	28
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 September 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
OPP2: Corporate Strategy The approved Corporate Strategy presents an opportunity to fundamentally refresh and strengthen our business planning, leadership and performance frameworks. Key potential causes: • Approved Corporate Strategy provides the foundation and direction for the organisation.	We have approved and adopted the Corporate Strategy, Business Plan 18/19 and Performance Framework 18/19 through appropriate Decision Pathways. Re-launched and completed 'My Performance' reviews for all colleagues including annual objective setting linked to the Corporate Strategy and Business Plan 18/19. Designed and launched an integrated business planning approach for 2019/20, linking financial planning, service planning, Risk Management and performance management more closely and from an earlier starting point. The LGA Corporate Peer Challenge completed, providing fresh learning opportunities to improve our approach. Leadership Framework introduced and senior management posts recruited against it.	↔	4	7	28	Running an integrated business planning approach for 2020/21, linking financial planning, and service planning and performance management more closely and from an earlier starting point. Following up roll-out of iTrent for performance.	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 September 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
OPP3: Devolution Should the potential arise for opportunities from a region's devolving, second devolution deal that could lead to an opportunity to align the Council's corporate priorities and strengthen regional partnership working. Key potential causes: • Potential development of second devolution deal.	We have continued engagement with WECA; but with recognition that focus has been placed more on a proposed housing fund. The national uncertainty around long term government funding and approach has decreased the opportunity slightly (Q1 19/20), but this has recovered given the opportunity around a potential 'powerhouse' for the West of Britain, which has early positive momentum. (Q2 19/20) We have commissioned work to investigate the potential for a Western Powerhouse, a cross-border, cross-sector partnership akin to the Northern Powerhouse or Midlands Engine.	↔	3	5	15	We will continue to engage with WECA at strategic level. We will launch the 'Powerhouse for the West' report at the House of Lords on 8 July and continue development of the concept. We will continue to engage with HM Government following suggestion that more devolution opportunities may be available following Brexit, including specific spending review asks and engagement on the Western Powerhouse proposal. We are establishing a Secretariat for the proposed western powerhouse and will continue to engage partners and HM Government on this project.	3	7	21
Risk Owner: Head of Paid Service.	Action Owner: Director Policy, Strategy and Partnerships.	Portfolio Flag: Finance, Governance and Performance.				Strategy Theme: Our Organisation.			

Corporate Risk Register as at September 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
OPP4: Brexit. 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. Key potential causes for enhancing and exploiting: • Exiting the European Union.	Undertaken an internal assessment of threat and opportunities following an externally-provided workshop, publishing our No Deal Scenario Assessment and updated it in Q2 2019. Established a city Brexit Response Group and met since 2016. 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 and Local Industrial Strategy. Participating in MHCLG events and national working group of local authority representatives. We continue to work with Core Cities and M8 leaders on concerted joint efforts. We have formed a Brexit Project Board for internal preparedness and provided fortnightly updates to all Members on preparedness work. We have agreed terms of reference for a Brexit Coordination Group to manage daily operations in the event of a No Deal exit.	↔	1	5	5	We are monitoring the issue on an ongoing basis. We have further meetings of Bristol Brexit Response Group and Brexit Project Board. Continued monitoring of external environment and government relations. Promoting a potential powerhouse for the West of Britain as a post-Brexit opportunity to invest in the region and city.	1	5	5
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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Key External Risk and Civil Contingency Risks to note - Flooding and Brexit

Corporate Risk Register as at September 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
BCCC2: Brexit 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. Key potential causes are: • 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.	We have established Bristol Brexit Response Group. With Core Cities, met Michel Barnier in Brussels. Working with Core Cities and M8 leaders on concerted joint efforts. Monitored environment; including news of threats from large local employers of leaving UK. Collaborated on draft Inclusive Economic Growth Strategy and Local Industrial Strategy. 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. Participation in MHCLG events and national working group of local authority representatives. Formed Brexit Project Board to take forward preparedness actions and met consistently to drive progress. Agreed funding for key areas for mitigation work. Provided fortnightly update emails to members. Established TOR for a Brexit Coordination Group to manage daily activity in a No Deal scenario (Jan 2019) and tested (Mar 2019). Updated No Deal Scenario Assessment in line with national planning assumptions and ASLRF risk assessment. (Sep 19). Taken forward a range of actions set by Brexit Project Board, including hiring additional capacity in procurement, communications and civil contingencies. (Ongoing). Established regular meeting of Brexit Lead Officers from neighbouring authorities and WECA to share approaches and best practice. (Sep 19). Established additional formal updates to CMB (Cllr Cheney) weekly and to Cabinet (information items) (Sep 19).	⟷	3	7	21	Continue to implement actions identified through No Deal Brexit Scenario Assessment. Ongoing. Continued internal Brexit Project Board to oversee BCC preparedness and respond with agility to changing circumstances. Ongoing. Continued monitoring of external environment and government relations. Ongoing. Continue engagement with all relevant government departments and partners to ensure sectoral/organisation risks are communicated and mitigations proactively suggested. Ongoing. Revisiting our No Deal Scenario Assessment to check it against refreshed evidence base. Continue to meet with neighbouring Brexit Lead Officers and plan further actions together, including shared initiatives.	3	7	21
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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Key External Risk and Civil Contingency Risks to note

Corporate Risk Register as at September 2019 - External and Civil Contingency Risks									
			Current Risk Level					**Tolerance Risk Level**	
Risk title and description	What we have done	Performance	Likelihood	Impact	Risk Rating	What we are doing	Likelihood	Impact	Risk Rating
BCCC1: Flooding. 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. Key potential causes are: • Tidal surge, heavy rainfall, river and groundwater flood events. • Impact of climate change. • Lack of effective flood defences and preparedness for major incidents.	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. 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. 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.	↔	3	5	15	There is sustained resourcing and delivery of all actions in LFRMS over life of strategy. Strategy includes the following key projects: • Working in partnership with the Environment Agency to develop a Bristol Tidal Flood Risk Management Strategy to protect the city centre, including climate change. • Working in partnership with South Gloucester and the Environment Agency to deliver a flood scheme to help protect Avonmouth Village and the Enterprise Area from tidal flooding, including climate change.	3	3	9
Risk Owner: Executive Director Growth and Regeneration.	Action Owner: Director Management of Place, Flood Risk Engineer.	Portfolio Flag: Energy, Waste and Regulatory Services.				Strategy Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.			

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Corporate Threat Risk Performance Summary				Quarter 4 Jan – Mar 19/20		Quarter 1 Apr – Jun 19/20		Quarter 2 Jul - Sept 19/20		Quarter 3 Oct - Dec 19/20		Quarter 4 Jan - Mar 20/21	
Page	Risk ID	Risk	Risk Owner	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel
6	CRR7	Cyber-Security(Previously Cyber-Attack)	Senior Information Risk Owner (SIRO)	3x7=21	↔	3x7=21	↔	3x7=21	↔				
1	CRR1	Long Term Commercial Investments and Major projects Capital Investment	Executive Director Growth and Regeneration, Executive Director Resources and Section 151 Officer	3x7=21	↔	3x7=21	↔	3x7=21	↔				
19	CRR25	Suitability of Line of Business Systems (LOB)	Senior Information Risk Owner (SIRO)	3x5=15	↔	4x5=20	↓	4x5=20	↔				
21	CRR29	Information Security Management System.	Senior Information Risk Owner (SIRO)			4x5=20	New	4x5=20	↔				
21	CRR27	Capital Transport Programme Delivery	Executive Director Growth and Regeneration	3x7=21	New	3x5=15	↑	3x5=15	↔				
14	CRR19	Tree Management	Executive Director Growth and Regeneration	3x5=15	↔	3x5=15	↔	3x5=15	↔				
18	CRR24	Procurement and contract management compliance	Executive Director Resources and Director of Finance (Section 151 Officer)	3x5=15	↔	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	↔				
22	CRR30	Failure to deliver Bristol City Council's wider Clean Air Plan. Communication/engagement with stakeholders does not result in sufficient behavioural change (excluding traffic clean air zone).	Executive Director Growth and Regeneration					3x5=15	New				
2	CRR3	Asbestos Management	Head of Paid Service and CLB	3x7=21	↔	3x7=21	↔	2x7=14	↑				
3	CRR4	Corporate Health, Safety and Wellbeing	Head of Paid Service and CLB	3x7=21	↔	3x7=21	↔	2x7=14	↑				
20	CRR26	ICT Resilience (Previously IT infrastructure CRR2)	Head of Paid Service, service area leads	3x7=21	↔	2x7=14	↑	2x7=14	↔				
17	CRR23	Better Lives Programme	Executive Director, People	2x7=14	↔	2x7=14	↔	2x7=14	↔				
7	CRR9	Safeguarding Vulnerable Children	Executive Director, People	2x7=14	↔	2x7=14	↔	2x7=14	↔				
8	CRR10	Safeguarding Vulnerable Adults	Executive Director, People	2x7=14	↔	2x7=14	↔	2x7=14	↔				
9	CRR11	BCC Infrastructure Delivery	Director of Finance (Section 151 Officer) and Executive Director Growth and Regeneration	2x7=14	↔	2x7=14	↔	2x7=14	↔				
10	CRR12	Failure to deliver suitable emergency planning measures, respond to and manage emergency events when they occur. (Previously Civil Contingencies and Council Resilience)	Executive Director Growth and Regeneration	2x7=14	↔	2x7=14	↔	2x7=14	↔				
4	CRR5	Business Continuity and Council Resilience	Head of Paid Service / Executive Director Growth and Regeneration	3x5=15	↔	3x5=15	↔	2x5=10	↑				
13	CRR18	The risk of failing to deliver the range of housing to meet Bristol's needs and not realise the ambition to deliver 2000 homes, of which 800 are affordable, per annum by 2020.	Executive Director Growth and Regeneration	2x7=14	↓	2x5=10	↑	2x5=10	↔				
11	CRR13	Financial Framework and MTFP	Director of Finance (Section 151 Officer)	3x5=15	↓	2x5=10	↑	2x5=10	↔				
15	CRR21	Information Governance (Replaces CRR14)	Senior Information Risk Owner (SIRO)	3x5=15	↔	2x5=10	↑	2x5=10	↔				
12	CRR15	Financial Deficit	Director of Finance (Section 151 Officer)	1x5=5	↔	2x5=10	↓	2x5=10	↔				
16	CRR22	Partnerships Governance	Head of Paid Service	3x3=9	↑	3x3=9	↔	3x3=9	↔				

Corporate risk performance summary for closed / de-escalated risks

Status	Risk ID	Risk	Risk Owner	Quarter 4 Jan – Mar 18/19		Quarter 1 Apr – Jun 19/20		Quarter 2 Jul – Sept 19/20		Quarter 3 Oct - Dec 19/20		Quarter 4 Jan - Mar 19/20	
				Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel
Closed	CRR8	Service Review	Head of Paid Service	2x5=10	Closed								
De -escalated	CRR16	Leadership	Head of Paid Service and CLB	2x5=10	↔	2x5=10	Closed						
De -escalated	CRR17	Strategy Management	Head of Paid Service	1x7=7	↔	1x7=7	Closed						

Corporate Risk Performance Summary for Opportunity risks

Page	Risk ID	Risk	Risk Owner	Quarter 4 Jan – Mar 18/19		Quarter 1 Apr – Jun 19/20		Quarter 2 Jul – Sept 19/20		Quarter 3 Oct - Dec 19/20		Quarter 4 Jan - Mar 19/20	
				Travel	Rating	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel
23	OPP2	Corporate Strategy	Head of Paid Service	4x7=28	↔	4x7=28	↔	4x7=28	↔				
23	OPP1	One City	Head of Paid Service	4x5=20	↔	4x5=20	↔	3x7=21	↑				
24	OPP3	Devolution	Head of Paid Service	3x5=15	↔	3x5=15	↔	3x5=15	↔				
24	OPP4	Brexit	Head of Paid Service	1x5=5	↔	1x5=5	↔	1x5=5	↔				

Corporate Risk Performance Summary for External and Civil Contingency risks

Page	Risk ID	Risk	Risk Owner	Quarter 4 Jan – Mar 18/19		Quarter 1 Apr – Jun 19/20		Quarter 2 Jul – Sept 19/20		Quarter 3 Oct - Dec 19/20		Quarter 4 Jan - Mar 19/20	
				Travel	Rating	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel
25	BCCC2	Brexit	Head of Paid Service	4x5=20	↔	3x7=21	↓	3x7=21	↔				
26	BCCC1	Flooding	Executive Director Growth and Regeneration	3x5=15	↔	3x5=15	↔	3x5=15	↔				

Risk Scoring Matrix

Threat Likelihood		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			

Threat Level	Opportunity Level	Level of Risk	Actions Required
1-4	1-4	Low	May not need any further action / monitor at the Service level.
5-12	5-12	Medium	Action required, manage and monitor at the Directorate level.
14-21	14-21	High	Must be addressed - if Directorate level consider escalating to the Corporate Risk Report, if Corporate consider escalating to the Cabinet Lead.
28	28	Critical / Significant	Action required - escalate if a Directorate level risk, escalate to the Corporate Level, if Corporate bring to the attention of the Cabinet Lead to confirm action to be taken.

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 <u>all</u> of the Categories, and the highest score used in the matrix).

Impact Category	Impact Levels 1 to 7			
	1	**3**	**5**	**7**
Service provision	Very limited effect (positive or negative) on service provision. Impact can be managed within normal working arrangements.	Noticeable and significant effect (positive or negative) on service provision. Effect may require some additional resource, but manageable in a reasonable time frame.	Severe effect on service provision or a Corporate Strategic Plan priority area. Effect may require considerable /additional resource but will not require a major strategy change.	Extremely severe service disruption. Significant customer opposition. Legal action. Effect could not be managed within a reasonable time frame or by a short-term allocation of resources and may require major strategy changes. The Council risks 'special measures'. Officer / Member forced to resign.
Communities	Minimal impact on community.	Noticeable (positive or negative) impact on the community or a more manageable impact on a smaller number of vulnerable groups / individuals which is not likely to last more than six months.	A more severe but manageable impact (positive or negative) on a significant number of vulnerable groups / individuals which is not likely to last more than twelve months.	A lasting and noticeable impact on a significant number of vulnerable groups / individuals.
Environmental	No effect (positive or negative) on the natural and built environment.	Short term effect (positive or negative) on the natural and or built environment.	Serious local discharge of pollutant or source of community annoyance that requires remedial action.	Lasting effect on the natural and or built environment.
Financial Loss / Gain	**Under £0.5m**	**Between £0.5m - £3m**	**Between £3m - £5m**	**More than £5m**
Fraud & Corruption Loss	Under £50k	Between £50k - £100k	Between £100k - £1m	More than £1m
Legal	No significant legal implications or action is anticipated.	Tribunal / BCC legal team involvement required (potential for claim).	Criminal prosecution anticipated and / or civil litigation.	Criminal prosecution anticipated and or civil litigation (> 1 person).
Personal Safety	Minor injury to citizens or colleagues.	Significant injury or ill health of citizens or colleagues causing short-term disability / absence from work.	Major injury or ill health of citizens or colleagues may result in. long term disability / absence from work.	Death of citizen(s) or colleague(s). Significant long-term disability / absence from work.
Programme / Project Management *(Including developing commercial enterprises)*	Minor delays and/or budget overspend but can be brought back on schedule with this project stage. No threat to delivery of the project on time and to budget and no threat to identified benefits / outcomes.	Slippage causes significant delay to delivery of key project milestones, and/or budget overspends. No threat to overall delivery of the project and the identified benefits / outcomes.	Slippage causes significant delay to delivery of key project milestones; and/or major budget overspends. Major threat to delivery of the project on time and to budget, and achievement of one or more benefits / outcomes.	Significant issues threaten delivery of the entire project. Could lead to project being cancelled or put on hold.
Reputation	Minimal and transient loss of public or partner trust. Contained within the individual service.	Significant public or partner interest although limited potential for enhancement of, or damage to, reputation. Dissatisfaction reported through council complaints procedure but contained within the council. Local MP involvement. Some local media/social media interest.	Serious potential for enhancement of, or damage to, reputation and the willingness of other parties to collaborate or do business with the council. Dissatisfaction regularly reported through council complaints procedure. Higher levels of local or national interest. Higher levels of local media / social media interest.	Highly significant potential for enhancement of, or damage to, reputation and the willingness of other parties to collaborate or do business with the council. Intense local, national and potentially international media attention. Viral social media or online pick-up. Public enquiry or poor external assessor report.