

Cabinet Agenda



Date: Tuesday, 14 September 2021

Time: 4.00 pm

Venue: The Council Chamber - City Hall, College Green, Bristol, BS1 5TR

Distribution:

Cabinet Members: Mayor Marvin Rees, Donald Alexander, Nicola Beech, Craig Cheney, Asher Craig, Helen Holland and Tom Renhard

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Issued by: Corrina Haskins, Democratic Services

City Hall, PO Box 3176, Bristol, BS3 9FS

E-mail: democratic.services@bristol.gov.uk

Date: Monday, 6 September 2021



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

(Pages 6 - 8)

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 14 September



Cabinet is 12 noon on Monday 13 September. 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 14 September Cabinet is 5.00 pm on Wednesday 8 September. These should be sent, in writing or by e-mail to: Democratic Services, City Hall, College Green, Bristol BS1 5TR.
Democratic Services e-mail: democratic.services@bristol.gov.uk

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

3. Apologies for Absence

4. Declarations of Interest

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

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

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



(subject to a maximum of three items)

6. Reports from scrutiny commission

7. Chair's Business

To note any announcements from the Chair

PART B - Key Decisions

8. Youth Zone – funding request

(Pages 9 - 16)

9. Children’s Independent Fostering Agency Framework – South Central

(Pages 17 - 27)

10. Inpatient Detox and Stabilisation contract

(Pages 28 - 38)

11. Consultation on Leisure Investment Options

(Pages 39 - 55)

12. End User Compute and Deployment Services

(Pages 56 - 58)

13. Microsoft Dynamics Agreement

(Pages 59 - 64)

14. Digital Transformation Programme

(Pages 65 - 83)

15. 2021/22 Period 3 and 4 Finance Report

(Pages 84 - 126)

16. Parks Capital Maintenance Programme

(Pages 127 - 140)

17. Active Travel Fund - Tranche 3

(Pages 141 - 168)



18. Enforcement Policy in relation to Relevant Letting Agency Legislation

(Pages 169 - 215)

19. Procurement of new Case Management System for Legal Services

(Pages 216 - 229)

PART C - Non-Key Decisions

20. Integrated Community Equipment Services (ICES) Contract Extension

(Pages 230 - 235)

21. Domestic Abuse Contract Extension

(Pages 236 - 243)

22. Q1 Corporate Risk Management Report 2021/22

(Pages 244 - 276)



Public Information Sheet

Inspection of Papers - Local Government (Access to Information) Act 1985

You can find papers for all our meetings on our website at <https://www.bristol.gov.uk/council-meetings>

Covid-19: changes to how we hold public meetings

Following changes to government rules, we will use video conferencing to hold all public meetings, including Cabinet, Full Council, regulatory meetings (where planning and licensing decisions are made) and scrutiny.

Councillors will take decisions remotely and the meetings will be broadcast live on YouTube.

Members of the public who wish to present their public forum in person during the video conference must register their interest by giving at least two clear working days' notice to Democratic Services of the request. To take part in the meeting, you will be required to register for a Zoom account, so that Democratic Services is able to match your named Zoom account to your public forum submission, and send you the password protected link and the instructions required to join the Zoom meeting to make your statement or ask your supplementary question(s).

As part of our security arrangements, please note that we will not permit access to the meeting if your Zoom credentials do not match your public forum submission credentials. This is in the interests of helping to ensure a safe meeting environment for all attending or observing proceedings via a live broadcast.

Please note: Members of the public will only be invited into the meeting for the duration of their submission and then be removed to permit the next public forum participant to speak.

Changes to Public Forum

Members of the public may make a written statement, ask a question or present a petition to most meetings. Your statement or question will be sent to the Committee Members and will be published on the Council's website before the meeting. Please send it to democratic.services@bristol.gov.uk. The following requirements apply:

- The statement is received no later than **12.00 noon on the working day before the meeting** and is about a matter which is the responsibility of the committee concerned.
- The question is received no later than **5pm three clear working days before the meeting**.
- Any statement submitted should be no longer than one side of A4 paper. For copyright reasons, we are unable to reproduce or publish newspaper or magazine articles that may be attached to statements.
- **Your intention to attend the meeting must be received no later than two clear working days in advance. The meeting agenda will clearly state the relevant public forum deadlines.**



By participating in public forum business, we will assume that you have consented to your name and the details of your submission being recorded and circulated to the Committee, published on the website and within the minutes. Your statement or question will also be made available to the public via publication on the Council's website and may be provided upon request in response to Freedom of Information Act requests in the future.

We will try to remove personal and identifiable information. However, because of time constraints we cannot guarantee this, and you may therefore wish to consider if your statement contains information that you would prefer not to be in the public domain. Other committee papers may be placed on the council's website and information within them may be searchable on the internet.

During the meeting:

- Public Forum is normally one of the first items on the agenda, although statements and petitions that relate to specific items on the agenda may be taken just before the item concerned.
- There will be no debate on statements or petitions.
- Public Forum will be circulated to the Committee members prior to the meeting and published on the website.
- If you have arranged with Democratic Services to attend the meeting to present your statement or ask a question(s), you should log into Zoom and use the meeting link provided which will admit you to the waiting room.
- The Chair will call each submission in turn and you will be invited into the meeting. When you are invited to speak, please make sure that your presentation focuses on the key issues that you would like Members to consider. This will have the greatest impact.
- Your time allocation may have to be strictly limited if there are a lot of submissions. **This may be as short as one minute, and you may need to be muted if you exceed your allotted time.**
- If there are a large number of submissions on one matter, a representative may be requested to speak on the group's behalf.
- If you do not attend the meeting at which your public forum submission is being taken your statement will be noted by Members.

For further information about procedure rules please refer to our Constitution
<https://www.bristol.gov.uk/how-council-decisions-are-made/constitution>

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Decision Pathway – Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 14 September 2021

TITLE	Youth Zone – funding request	
Ward(s)	All south Bristol wards: Bedminster, Bishopsworth, Brislington East, Brislington West and Stockwood (Bristol East constituency south of the water), Hartcliffe & Withywood, Hengrove & Whitchurch Park, Filwood, Knowle, Southville and Windmill Hill	
Author: Gail Rogers	Job title: Head of Commissioning - Children	
Cabinet lead: Cllr Helen Godwin	Executive Director lead: Hugh Evans	
Proposal origin: BCC Staff		
Decision maker: Mayor Decision forum: Cabinet		
<p>Purpose of Report:</p> <ol style="list-style-type: none"> To update Cabinet on progress and timeline for the delivery of the Youth Zones project. To seek approval in principle to spend up to £4.2m (50% of estimated capital spend for the Youth Zone), subject to approval of the project feasibility study and the final business case which will give confirmation of total contribution required from the Council. To affirm our commitment to working with OnSide as our delivery Partner. To secure approval to utilise £350,000 from the capital budget (up front/at risk) to cover the cost of investigative and technical work required as part of the feasibility stage of the project development that will give confidence that the project can be delivered within the agreed funding envelope. To secure approval to utilise £45,000 from the capital budget to cover the management costs of the feasibility stage of the project. To notify Cabinet that the site proposed for the Youth Zone is the land to the South of Inns Court Residential Area, cornered by Hengrove Way and Hartcliffe Way. The Youth Zone would not occupy the full site, and the exact location of the Youth Zone within this site will be recommended on completion of the site investigations. A full business case with details of this feasibility will come to Cabinet in February 2022. A map of the proposed Youth Zone site can be found at Appendix A with site outlined in yellow. 		
<p>Evidence Base:</p> <p>Our plans and ambitions</p> <ol style="list-style-type: none"> As our city and the country emerges from the pandemic the effects of isolation and social dislocation on our young people, especially those in more disadvantaged communities, is becoming more apparent. Children and young people in Bristol need us to invest in their futures; they need a safe place to go where they won't be recruited into criminal activity or threatened with violence; they need a facility that helps them to learn new skills and find their talents; they need a place to build trusting relationships with trained youth workers; and they need their place of belonging in the community when so much of their young lives has been shaken. In line with the aspirations of our Belonging Strategy, as part of this strategy South Bristol Youth Zone can provide a location to help our children and young people prepare for their future and to help the City to develop their skills fit for its future. And this is more than recovery for children and young people in the City; this is the City Council gripping an opportunity for the future and driving opportunity, building ownership and cohesion through this project, putting young people firmly in the centre, empowering them and giving them a protected space to develop themselves and their voice. The Youth Zone links with our Knowle West Regeneration Framework, it looks ahead at the substantial home building programme in 		

the area to ensure that this is a desirable, visionary, and supportive place to live.

3. As 'Our City 2030' is launched, for the inner-city (<https://www.bristol.gov.uk/our-city-2030-a-vision-to-transform-lives-in-inner-city-bristol>), the Youth Zone in the south will match this ambition of raising economic prosperity by focused partnerships with business and enterprise, giving young people the skills and opportunities to create good lives for themselves. This will drive recovery and renewal, making a significant contribution to the One City Economic Recovery Strategy with the help of the youth sector's creativity and tenacity in reaching out to young people. Thanks to the great work of the sector, we now have a spring-board that can help bring trust and authenticity to young people who may not otherwise have been ready to give themselves a chance to experience what a Youth Zone can offer them.

Delivery and funding model

4. The South Bristol Youth Zone project is jointly funded by Bristol City Council and OnSide (through philanthropy). When developed, it is proposed that OnSide will deliver services through a charitable organisation set up specifically for the Youth Zone. In Bristol, the charity will grow from a local youth services provider, Youth Moves whose footprint in this area of Bristol led to early discussions between them and OnSide. In true partnership and demonstrating the council's commitment to young people in the city, the Board will comprise young people, community members, OnSide and will include a Member for the council.
5. To review the offer in other areas of the country, Youth Moves recently took a group of 10 staff on a tour of 2 Youth Zones - The Hideout in Manchester and The Hive in Birkenhead. The staff had the chance to look around these world class youth club facilities, meet some of the staff who work at them, plus talk to some Young Leaders (young people who have taken on additional training and opportunities to develop their skills and now volunteer at the Youth Zones) about their experiences in accessing the youth work support on offer and the impact it has made on them. Everyone came away very positive about the chance to have one of these amazing facilities in the heart of South Bristol. They see the opportunities to transform the lives of young people and the wider community building on the strengths and skills of Youth Moves alongside the brilliant facilities that a Youth Zone provide.
6. OnSide is a national charitable organisation that has established thirteen Youth Zones throughout the country, with most in the North West. OnSide raises funds through philanthropic donations and then establishes local Youth Zone Boards. The model of funding of 50/50 capital and 30/70 revenue split has been successful in all other centres and enables the Local Authority to benefit from a sustainable 'state-of-the-art' facility for youth with lower financial commitment and with relative surety around the future sustainability of the model. Developing our Youth Zone with and for the community will be key to its success, elevating this project into an inclusive and aspirational part of our City recovery from Covid19, through sustainable community development. OnSide proposes to engage with the community, produce the design, carry out site surveys, make necessary planning applications, procure the contractors and administer the building contract. This is a strategic partnership with a market-leading organisation.

Precursor information

7. Further details about the Youth Zone as a model can be found in the Cabinet report of 9 March 2021. In that meeting BCC Cabinet received the first Youth Zones paper, entitled Youth Zones – Progress to Outline Business Case. At that stage, Cabinet approved the request that the project should proceed to Outline Business Case.
8. At the same meeting, Cabinet also approved an application for grant funding from the Youth Investment Fund. This application did not proceed as the eligibility criteria changed with the grant identifying the Local Authorities that it would prioritise. Bristol was not one of those Local Authorities.
9. In addition, cabinet was asked to 'note the proposal for [delivery partner] OnSide to attract £4.2m of funding to match fund the BCC contribution towards a Youth Zone with a total build cost of £8.4m.' OnSide is in the process of securing this funding but requires Cabinet commitment to do so.
10. A full business case will be put forward for approval, subject to the feasibility study and after planning permission has been submitted to give greater cost certainty. It is anticipated that the Full Business Case will be submitted to Cabinet in February 2022. Please see Appendix B. This will secure approval to spend before transfer of further capital grant.
11. A project programme is appended to this report to demonstrate the key milestones of the project's progression.

Cabinet Member / Officer Recommendations:

That Cabinet:

1. Approves in principle to spend up to £4.2m on the Bristol Youth Zone scheme as 50% of project cost, subject to the

feasibility study, approval of final business case and confirmation of total contribution required from the Council.

2. Approves the immediate use of £350,000 from the capital budget to cover the at-risk cost of technical feasibility work required as part of project development to understand site constraints.
3. Approves the immediate use of £45,000 from the capital budget to employ the Capital Strategic Partner to oversee the feasibility stage of this scheme.
4. Approves progression of this project towards Full Business Case stage.
5. Notes the decision (Cabinet, 9 March 2021) that ongoing revenue funding of £400,000 per year (30% of operating costs) will be sourced through the re-commissioning of youth services, and notes that plans for this activity will also be submitted to Cabinet for decision in due course.

Corporate Strategy alignment:

1. Wellbeing – Creating facilities that create healthier and more resilient communities through high quality school places.
2. Empowering and Caring – giving young people a voice and the help that they need to drive their own futures
3. Fair and Inclusive – modelling City strategies to ensure all people in all communities have access to all opportunities
4. Well Connected – connecting young people through interest, working with business and enterprise

City Benefits:

Provision of a Youth Zone would contribute to the aims of the One City Plan, helping to create connected and inclusive communities in a range of ways including:

1. The Youth Zone will be a leveller for young people, offering equally to everyone. When young people jointly discover the fantastic opportunities on offer and when they work together to achieve their goals, they take this sense of cohesion back to their neighbourhoods, creating understanding and generating real and enduring community.
2. The first Youth Zone will be in South Bristol serving some of our most deprived communities and contributing to economic regeneration in the area. It is hoped that further youth zones can be developed in other parts of the city in the future.
3. The development of Youth Zones will help to achieve a number of key local and national indicators relating to children and young people, focused on education, employability, crime, health, and well-being. The development will have a significant impact upon the following national and local Government policy areas where there is disproportionate adverse impact for children and young people from minority ethnic communities:
 - Exploitation and serious youth violence.
 - Youth Employment; and,
 - EET (Education Employment and Training) opportunities.
4. There is potential for the youth zones to be designed to support delivery of citywide children's and education services.
5. Youth Zones can make a significant difference to the overall wellbeing and life chances of the young people participating in activities at the Centre or being reached through the centre. An independent study published in May 2015 shows that they:
 - provide a safe environment with access to sports, arts and music activities where young people can develop personal and social skills.
 - raise aspirations, build confidence and resilience, and provide information that will assist them in making good lifestyle choices – particularly avoiding substance misuse and crime and anti-social behaviour.
 - improve young people's physical and emotional health and wellbeing.
 - assist young people at risk of dropping out of learning to engage in activities that will enable them to reach their full potential.
 - have the capacity to make a significant impact in their local communities, through improved community cohesion, a reduction in crime and anti-social behaviour, improved perceptions of the area; and
 - provide a real 'community' asset which promotes and facilitates close partnership working.
6. Youth Zones can make a real contribution to reducing the demand for a range of public services as well as significantly improving the life chances of those young people engaged through the offer. The study concludes that these benefits in turn will lead to significant cost savings in the future for local authorities and other public agencies in the areas

served by each Youth Zone.

Engagement Details:

- Engagement with the public including key stakeholder groups relating to the Youth Zone is central to the work within the Full Business Case and will inform the outline business case.
 - Engagement to date has been to seek initial Member approval through the Future of Youth Services paper (September 2020) and through a number of youth sector meetings and strategic engagement in the Community Strategy which sought views from young people about how Bristol could help them to feel like connected and valued citizens.
 - An integrated communications plan for the project is being co-developed by OnSide and the Council. The plan will provide a list of key communication milestones between now and the facilities launch.
 - Engagement is scheduled to commence in early September for six weeks, with the intention of providing some early information to accompany the Full Business Case. Feedback and comments from the engagement will be used to understand the views of the community in developing in the Full Business Case.
 - Community engagement will reach as wide an audience as possible via digital and print channels and through community organisations and partners. We will engage with community residents and organisations and will focus on young people to build a sense of excitement about their Youth Zone.
1. The key objectives of the engagement process will be: -
 - To provide information and raise awareness of the project to allow stakeholders to be informed of the proposed new Youth Zone.
 - Give citizens, business owners, landowners, and other stakeholders the opportunity to have their say on the proposed Youth Zone. The engagement will invite views on the goals of the project, whether respondents think the Youth Zone as proposed will achieve those goals and provides a free text question in which respondents can provide other comments or suggestions about the proposals.
 - Seeks evidence of support for the Youth Zone
 - To enable children and young people under 18, or under 25 with special educational needs or disability to sign up to the Young People’s Development Group (YPDG). The YPDG will make several key decisions for the Youth Zone, from branding the Youth Zone to interviewing potential staff members.
 2. The key message in the community engagement process will be:
 - The proposed Youth Zone in South Bristol would help to provide new opportunities for young people in both the immediate area and all parts of the City. Young people from a wide range of backgrounds will be able to socialise and access support, training, development. This will help reduce the impact of deprivation in line with the anticipated City Benefits noted in this paper.
 - Bristol City Council would like to hear people’s views on the concept and opportunities that the Youth Zone will give young people.

Background Documents:

Cabinet Report
 The Future of Youth Services, September 2020
 Project Plan, Youth Zones Stage 1, May 2021
 Belonging Strategy: Belonging in the Community July 2021

Revenue Cost	£400,000pa	Source of Revenue Funding	Youth Work Delivery Funds
Capital Cost	£8.4m	Source of Capital Funding	Council capital programme (£4.2m). OnSide via philanthropic funding (£4.2m)
One off cost <input checked="" type="checkbox"/>	Ongoing cost <input checked="" type="checkbox"/>	Saving Proposal <input type="checkbox"/>	Income generation proposal <input type="checkbox"/>

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

1. Finance Advice:

This report seeks to secure approval in principle to spend up to £4.2m subject to approval of the final business case which will

return to Cabinet for the decision. It further seeks to utilise £350k in advance of the business case approval to cover the cost of investigative and technical work as part of the feasibility study and £45k to cover the cost of the Strategic Partnership and consultancy fees.

The capital programme currently has £4m set aside to fund the Council's contribution to the Youth Zone project and £200k remains to be identified. This will need to be identified as part of the final business case. The £350k and £45k development costs will need to be funded from the total £4m budget envelope.

The £400k revenue costs will be funded from the Youth Works Delivery Fund.

Finance Business Partner: Denise Hunt, Finance Business Partner, 04 August 2021

2. Legal Advice:

Procurement

The Council is proposing to provide grant funding to OnSide to build the Youth Zone in South Bristol once a suitable site has been identified and planning permission obtained. The Public Contracts Regulations (PCR) 2015 do not apply to grants and so no procurement process is required. Legal support should be sought to ensure that the grant terms are sufficiently robust.

The Council should ensure it complies with the PCR 2015 and the Council's own procurement rules in relation to the approval to spend £350k and £45k related to the technical feasibility costs.

The Council is proposing to provide funding of c£400k p.a. for three years following the opening of the Youth Zone. If it decides to commission services to be delivered at the Youth Zone it should ensure compliance with the 2015 Regulations. Alternatively, if it decides to provide grant funding towards those services it must ensure that the grant terms are sufficiently robust.

Public Sector Equality Duty

The Public Sector Equality duty requires Cabinet 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 Checks are designed to help 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 assessments when reaching its decision.

Legal Team Leader: Eric Andrews, Commercial and Governance Team Leader, 6 September 2021

3. Implications on IT: No anticipated outcomes on IT at this time.

IT Team Leader: Simon Oliver, 18 January 2021.

4. HR Advice: The report does not currently have any direct HR implications for Bristol City Council employees.

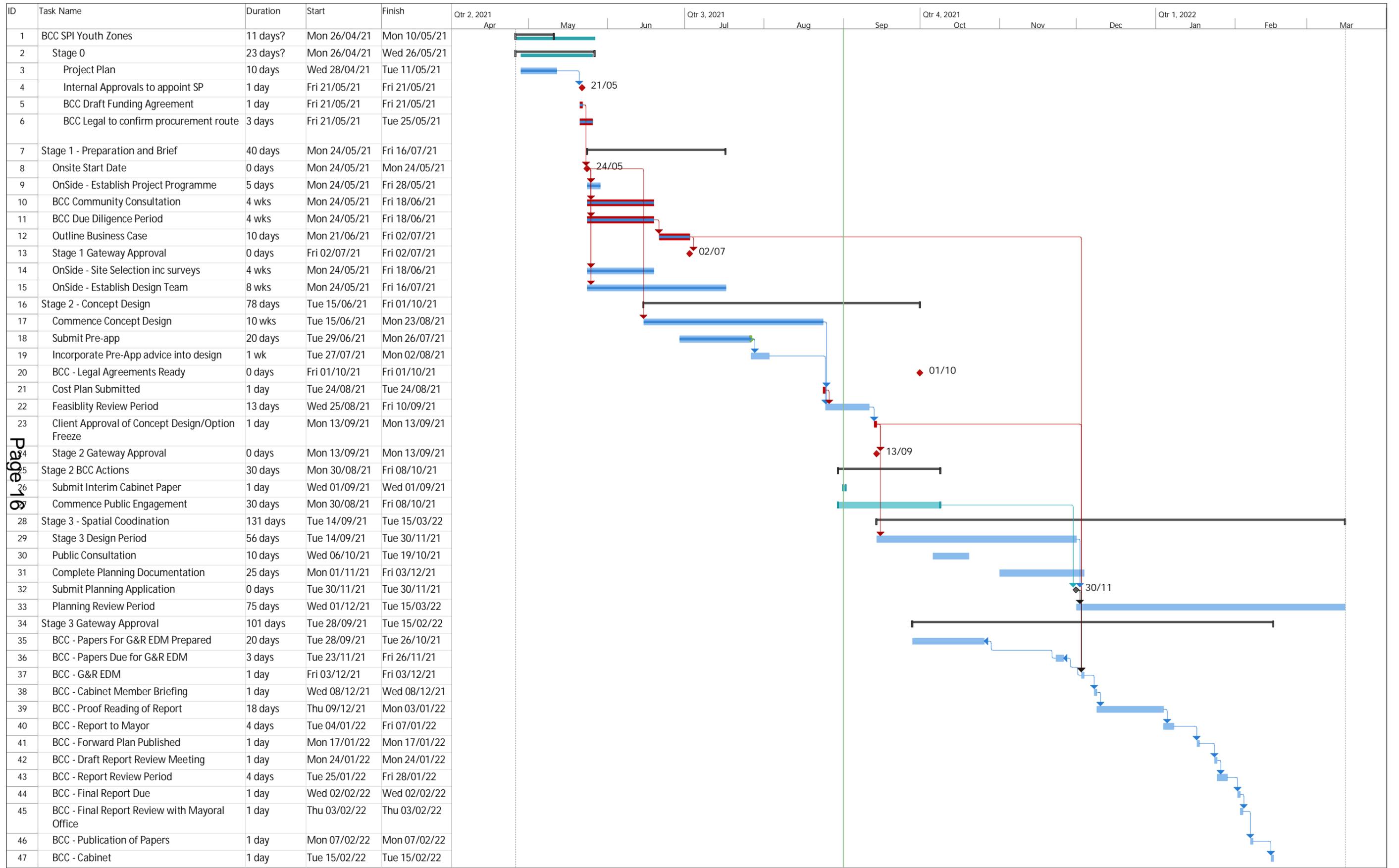
HR Partner: Lorna Laing, 13 January 2021.

EDM Sign-off	Hugh Evans	28 July 2021
Cabinet Member sign-off	Cllr Helen Godwin	02 August 2021
For Key Decisions - Mayor's Office sign-off	Mayor's Office	14 July 2021

Appendix A – Map of proposed site	YES
Appendix B – Project plan	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
Appendix L – Procurement	NO





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Project: BCC SPI Youth Zones - Date: Wed 01/09/21	Task	Summary	Inactive Milestone	Duration-only	Start-only	External Milestone	Manual Progress
	Split	Project Summary	Inactive Summary	Manual Summary Rollup	Finish-only	Deadline	Progress
	Milestone	Inactive Task	Manual Task	Manual Summary	External Tasks	Progress	



Decision Pathway – Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 14 September 2021

TITLE	Children’s Independent Fostering Agency Framework – South Central		
Ward(s)	ALL		
Author: Gail Rogers	Job title: Head of Children’s Commissioning		
Cabinet lead: Mayor	Executive Director lead: Ann James		
Proposal origin: BCC Staff			
Decision maker: Cabinet Member Decision forum: Cabinet			
<p>Purpose of Report: To seek approval for Bristol City Council to join the South Central Consortium to design and commission the new framework contract and subsequently purchase Independent Fostering Agency (IFA) placements, for children and young people from it, for the period of the framework contract (April 2022 to March 2025), with the option for two one year extensions. Placements will be secured from South Central IFA framework whenever possible or may be spot purchased in the event that the framework is unable to meet the requirements.</p>			
<p>Evidence Base: Bristol City Council has a statutory requirement to meet the Sufficiency Duty placed on local authorities under section 22 (G) of the Children Act 1989. Independently provided foster care is a key means by which the Council complies with its duties under the Children and Young Persons Act 2008 to provide high quality care to looked after children. The number of children in foster care fluctuates but has remained between 506 and 523 over the past years (June 2020-May 2021). Of the 523 children and young people currently in foster care, 219 (42%) are living in Independent Fostering Agency placements. The annual spend on Independent Foster Agency (IFA) placements is currently in the region of £7.2m. Bristol City Council commissions foster care from a mixed market of internal and external providers. Foster placements can be high cost and it is important the council plays a role in shaping the market to ensure placements are suitable, cost effective and deliver the agreed outcomes for children. Bristol City Council currently purchases most IFA placements through the South West Consortium Framework Agreement. This was due to expire in March 2021, however was extended until March 2022 due to the impact of Covid. In addition, around 9% of our placements have been made off framework, due to the complexity of need of some of our young people that this framework cannot meet. In anticipation of the end of our current contract, we are proposing to join the well-established Southampton City Council led South Central Consortium, who are in the initial stages of recommissioning a new IFA framework which will play an important role in supporting us to meet our Sufficiency Duty. The South Central Framework is a consortium of 16 local authorities, which gives the group significant purchasing power and therefore some ability to negotiate in a provider led market. Joining the South Central Framework is expected to bring the following benefits:</p> <ol style="list-style-type: none"> 1. Ability to meaningfully participate in the design and commissioning of the framework contract to ensure it meets the needs of Bristol City Council. 			

2. Assurance of quality in the provision of children's foster care and price stability in what will otherwise be a market characterised by variable and escalating costs over the coming years.
3. Commissioning as a larger consortium of authorities (with a significantly bigger market share than our current consortium) will allow us to meaningfully engage with and manage the market, whilst enabling us to achieve efficiencies in the purchasing and development of services.
4. Developing stronger relationships with providers and a more collaborative approach to managing the market than is currently undertaken by the South West group.
5. A clear process for monitoring providers.
6. The South Central Consortium has reported a significant (25%) reduction in the number of placements they need to spot purchase off framework.
7. There are staff based at Bournemouth Council who deliver (on behalf of the participating local authorities) the core Contract Management and Framework Co-ordination outputs. They provide regular sufficiency and monitoring reports which are currently produced by our Children's Placements team, thereby freeing up the Placement Team's time to undertake more pertinent work.

In order to join the framework agreement, the fees are as follows:

- Initial joining fee for Procurement Phase - £7431.66 (inclusive of Lead Partner initial annual cost)
- Annual Lead Partner costs - £1368.75 (commences April 2023)
- Annual Contracts Management Costs - £15,602.38 - will vary year on year as it is calculated on the value of the actual usage of the framework contract; based on our 2020/21 IFA figures (176 placements at £7.2m) the cost could be reduced to approximately £13,820 per year (this also includes the fixed annual fee of £1,500)

Whilst the infrastructure costs are greater for this framework, this cost is mitigated by the benefits we expect to see. Our expectation is for our net costs to reduce due to the better range and choice of placements enabling us to decrease our spend on spot purchase placements. South Central have 59 providers currently on their IFA framework compared with 36 on our existing South West IFA framework, the South Central rates are extremely competitive with an average lower fee of 10.60% (based on a standard 11+ child placement using 21 providers whom are on both frameworks – April 21).

Cabinet Member / Officer Recommendations:

That cabinet:

1. Approve joining the South Central Consortium to design and commission the new framework contract for Independent Foster Agency contracts including incurring the cost of the initial joining fee for the Procurement phase of £7431.66, Annual Lead Partner Costs of £1368.75 and Annual Contracts Management Costs of £15602.38 to be a part of the South Central Consortium, to design, commission and use an Independent Foster Agency Placements Framework as outlined in this report.
2. Approve the purchase of foster care placements, for children and young people, from the South Central Independent Foster Agency Placements Framework, from April 2022 to March 2025 with an option to extend for one year plus one year.
3. Authorise the Executive Director: People, in consultation with the Mayor to take all steps necessary, including the spending outlined in this report, to join the South Central Consortium and use the South Central Independent Foster Agency Placements framework.

Corporate Strategy alignment: The following objective in the Corporate Strategy is relevant to this key decision:

1. Give our children the best start in life by protecting and developing children's centre services, being great corporate parents and protecting children from exploitation or harm.

City Benefits: Joining the South Central Consortium and being part of the subsequent procurement process will benefit the city in the following ways:

1. Meet the needs of children in care in line with the Children Act 1989 and the Equalities Act 2010.

2. Allow for quality assurance of provisions to ensure they meet our high aspirations for all children and young people in our care, delivering the assessed needs to achieve agreed outcomes.
3. Ensure the Council achieves value for money through transparent pricing.
4. Develop partnership working between LAs and IFA providers to meet the changing needs of our children/ young people in the care of the Local Authority.

Consultation Details:

Consultation has been undertaken with relevant internal staff members, including Procurement and Children's Placement Services.

Background Documents:

Bristol City Council Sufficiency Strategy: Placements for Children in Care and Care Leavers

Revenue Cost	The spend on IFA placements is expected to be approximately £7.2m per year (contained within annually approved budgets set by Council). The cost of joining the framework agreement is Initial one-off fee for Procurement Phase - £7431.66 Annual Lead Partner costs - £1368.75 (commences April 2023) Annual Contracts Management Costs - £15,602.38	Source of Revenue Funding	Children's Placement Budget
Capital Cost	£0	Source of Capital Funding	N/A
One off cost <input checked="" type="checkbox"/> Ongoing cost <input checked="" type="checkbox"/>		Saving Proposal <input type="checkbox"/> Income generation proposal <input type="checkbox"/>	

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

1. Finance Advice: This is a four year arrangement where the annual revenue commitment is £15.6k which will be borne by the Children's Placement Team budget. As this annual contract management costs could increase if placement number exceeds 230, ongoing savings of this new framework should be tracked to ensure delivery of value for money. Finance is in support of this proposal, providing the continuation of rigorous measure being in place to ensure savings are realised and is sufficient to offset annual contract management costs.

Finance Business Partner: Angel Lai , Finance Manager for Education and Children 16/7/2021.

2. Legal Advice: The use of a framework contract will comply with the 2015 Procurement Regulations and the Councils own procurement rules. Legal services will advise and assist officers with regard to the contractual arrangements.

Legal Team Leader: Husinara Jones, Team Leader/Solicitor 6 September 2021

3. Implications on IT: No anticipated impact on IT Services, although any information exchanges should be reviewed by Information Assurance colleagues

IT Team Leader: Simon Oliver – 24th June 2021

4. HR Advice: The report is seeking approval to join the South Central Consortium framework contract for purchasing placements for children and young people. There are no HR implications for Bristol City Council employees.

HR Partner: Lorna Laing, HR Business Partner – 29th June 2021

EDM Sign-off	Hugh Evans	14 th July 2021
Cabinet Member sign-off	Helen Godwin	20th July 2021
For Key Decisions - Mayor's Office sign-off	Mayor's Office	16 th August 2021

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

APPENDIX A
Options Appraisal – IFA Contract

Over recent years the market has become increasingly difficult to manage. As children in care numbers continue to rise nationally, the market takes time to respond; this increase has been a constant feature over the last five years and there is a lag in the market place responding.

Nationally the number of fostering households is declining; The Fostering Network has said that the shortfall in foster carers in England is approximately 5,900¹. This is in part due to the introduction of the Staying Put legislation in 2013. Initially there was no immediate impact on sufficiency, however, over the period the gradual increase in the overall number of children Staying Put is such that it is now a significant factor on the available stock of foster care placements.

This has been further compounded by an increase in the number of Unaccompanied Asylum Seeking Children (UASC) requiring foster placements. This shortfall of available placements means that despite the large number of providers, there is little competition between them and IFAs have responded to increased demand by increasing prices². The increased need for placements from Local Authorities combined with this shortfall has created a “sellers’ market”.

Bristol’s current contract for Independent Foster Agency placements is due to end in March 2021. A new contract needs to be put in place to ensure compliance with procurement regulations and enable us to effectively manage the market and drive up the quality of carers available. There are 4 options that have been considered for replacing the current contract:

1. Set up a “Bristol only “Framework Agreement

This option was rejected, as experience and analysis suggests that greater economies of scale, improved outcomes (e.g. placement stability) and best value for money can be obtained through a collaborative procurement process with other authorities. Acting on our own would significantly reduce our purchasing power and therefore our ability to negotiate with providers in a notoriously difficult provider led market.

Furthermore, a single authority framework is less attractive for providers to join due to the lower level of spend and the lengthy tender process. Providers are increasingly selective on which frameworks they join and starting up an individual framework would not be time efficient for any provider. With placements already in short supply and the appeal for providers to join a framework no longer as strong as it once was; we recommend that joining a large consortium is more beneficial, as it would provide us with a substantial number of LAs (and purchasing power) to encourage IFAs to join.

There is also limited capacity within both the Strategic Commissioning and Procurement teams, taking on a large scale piece of work like this would require clearing the work plan to prioritise it. Increased capacity will be needed for both the commissioning stage and ongoing contract management. BCC would be solely responsible for monitoring all providers on the framework, whereas within a consortium this responsibility is shared.

2. Spot purchase.

This option was rejected because of non-compliance with the Public Contracts Regulations 2015, the resource intensity of individual negotiation and the increased risks in terms of cost and quality where

¹ The Fostering Network Recruitment Targets: <https://www.thefosteringnetwork.org.uk/advice-information/all-about-fostering/recruitment-targets>

² Foster Care in England - A Review for the Department for Education, Sir Martin Narey and Mark Owers

each placement required would be subject to market forces on a case-by-case basis.

3. Join the South West consortium

Based on previous South West frameworks, the joining cost is expected to be in the region of £6,400, however there are fewer benefits. Swindon Borough Council and Wiltshire Council, two of the larger authorities in the South West, have announced that they will be leaving the South West Consortium in order to join South Central.

The SW group will now be considerably smaller than the SC group and made up predominantly by small local authorities who make few placements; therefore significantly limiting the purchasing power in a notoriously difficult provider led market. The purchasing power of the SC group is far better suited to a large purchaser like Bristol.

We are already working with South Central partners both through the Residential framework and on our collaborative contract for independent / non maintained special schools and from this we already have good relationships established and know this is a strong, positive collaborative group.

There is a concern about breaking from some of our neighbouring authorities in the SW and we will need to work to maintain our relationships with them and ensure local market intelligence continues to be shared. However the fact that Swindon and Wiltshire will be moving across to SC means that we will remain linked with them.

4. Join the South Central Framework (recommended)

As outlined in the decision report, this is currently a collaboration of 16 local authorities across the South Coast and upwards to Oxfordshire. A particular draw to the South Central Framework is the fact that Swindon and Wiltshire, two of the larger South West authorities are now also joining. Commissioning as a larger consortium of authorities (with a significantly bigger market share than our current consortium) will allow us to meaningfully engage with and manage the market, whilst enabling us to achieve efficiencies in the purchasing and development of services

The consortium is a collaborative endeavour with significant purchasing power as a result, offering a stronger voice with which to speak to a key strategic market. Joining the group now, whilst the new contract is in the design phase, will ensure that we can exert influence to design a contract that will cover Bristol's different placement requirements and help us better meet the needs of our young people. The existing framework is running well and the consortium has reported a 25% decrease in IFA placements being made off contract.

Currently Bristol has access to 39 IFA providers on the South West framework and the proposed approach would increase this to 50 (based on the current South Central framework). This increases the opportunity to match children and young people to carers from the same ethnic, religious or cultural backgrounds and increases the pool of specialist carers to support children and young people with disabilities and/or complex needs.

The South-Central consortium also has a more developed, centralised contract management team, which will allow Bristol to drive up the quality of carers available and negotiate the best possible price for our children and young people. The central contract management team will have time to engage with the market to bring on new providers as well as co-ordinating information from QA visits and collating intelligence into regular reports for the group. Our Placements and Strategic Commissioning teams currently do some of this reporting which will free up the time of our staff.

The following core outputs of the Framework Co-ordination will be delivered on BCC's behalf, which will provide better oversight and evidence areas inform areas for development:

- Monitor and report on Framework Agreement provider performance against framework KPIs.
- Collate and report on performance issues.
- Respond to FOI requests pertaining to the business of the framework agreement.
- Provide an impartial mediation role between Consortium Members and providers as needed.
- Facilitate Provider engagement and communicate thematic issues experienced by consortium members.
- Provide red flag notification for Partners when a Provider has unplanned endings and fee increase requests, as well as monitoring this across the consortium etc.
- Facilitate the conversations around blocks between Partners and mitigate the risks of Partners block booking in a host authority against their wishes.
- Co-ordinate visits and sharing of information gathered by consortium members from visits of agencies. The function will also actively promote utilisation of such visits as an opportunity to confirm that services are being delivered in a manner that is consistent with tender submissions; an opportunity that is often/ usually missed
- Produce quarterly and annual 'Highlight Reports'. These reports will use information collected from the quarterly and annual monitoring returns from providers and will enable Local Authorities to benchmark performance in their area against regional and national averages.



Children’s Independent Fostering Agency Framework – South Central	
<input type="checkbox"/> Policy <input type="checkbox"/> Strategy <input type="checkbox"/> Function <input checked="" type="checkbox"/> Service <input type="checkbox"/> Other	<input checked="" type="checkbox"/> New <input type="checkbox"/> Already exists / review <input type="checkbox"/> Changing
Directorate: People	Lead Officer name: Gail Rogers
Service Area: Children’s Commissioning	Lead Officer role: Head of Service Commissioning

Step 1: What do we want to do?

The purpose of an Equality Impact Assessment is to assist decision makers in understanding the impact of proposals as part of their duties under the Equality Act 2010. Detailed guidance to support completion can be found here [Equality Impact Assessments \(EqIA\) \(sharepoint.com\)](#).

This assessment should be started at the beginning of the process by someone with a good knowledge of the proposal and service area, and sufficient influence over the proposal. It is good practice to take a team approach to completing the equality impact assessment. Please contact the [Equality and Inclusion Team](#) early for advice and feedback.

1.1 What are the aims and objectives/purpose of this proposal?

The purpose of this proposal is to join the South Central Consortium to design and commission the new framework contract and subsequently purchase Independent Fostering Agency (IFA) placements, for children and young people from it, for the period of the framework contract (April 2022 to March 2025), plus any contract extensions agreed. Placements will be secured from South Central IFA framework whenever possible or may be spot purchased if the framework is unable to meet the requirements.

Currently Bristol City Council commissions foster care from a mixed market of internal and external providers. Foster placements can be high cost and it is important the council plays a role in shaping the market to ensure placements are suitable, cost effective and deliver the agreed outcomes for children. Bristol City Council currently purchases most IFA placements through the South West Consortium Framework Agreement. This was due to expire in March 2021, however was extended until March 2022 due to the impact of Covid. In addition, around 9% of our placements have been made off framework, due to the complexity of need of some of our young people that this framework cannot meet.

Joining the South Central framework will enable Bristol City Council to negotiate in a provider led market and brings the following benefits:

- Ability to meaningfully participate in the design and commissioning of the framework contract to ensure it meets the needs of Bristol City Council
- Assurance of quality in the provision of children’s foster care and price stability in what will otherwise be a market characterised by variable and escalating costs over the coming years.
- Commissioning as a larger consortium of authorities (with a significantly bigger market share than our current consortium) will allow us to meaningfully engage with and manage the market, whilst enabling us to achieve efficiencies in the purchasing and development of services.
- Developing stronger relationships with providers and a more collaborative approach to managing the market than is currently undertaken by the South West group.
- A clear process for monitoring providers.
- The South Central Consortium has reported a significant (25%) reduction in the number of placements they need to spot purchase off framework.
- There are staff based at Bournemouth Council who deliver (on behalf of the participating local authorities) the core Contract Management and Framework Co-ordination outputs. They provide regular sufficiency and monitoring reports which are currently produced by our Children’s Placements team, thereby freeing up the Placement Team’s time to undertake more pertinent work.

Bristol City Council has a statutory requirement in relation to children's placements. Section 22 (A-G) of the Children Act 1989 requiring local authorities to provide children in their care with accommodation and placing children in the most appropriate placement available.

1.2 Who will the proposal have the potential to affect?

<input checked="" type="checkbox"/> Bristol City Council workforce	<input type="checkbox"/> Service users	<input type="checkbox"/> The wider community
<input checked="" type="checkbox"/> Commissioned services	<input type="checkbox"/> City partners / Stakeholder organisations	
Additional comments:		

1.3 Will the proposal have an equality impact?

Could the proposal affect access levels of representation or participation in a service, or does it have the potential to change e.g. quality of life: health, education, or standard of living etc.?

If 'No' explain why you are sure there will be no equality impact, then skip steps 2-4 and request review by Equality and Inclusion Team.

If 'Yes' complete the rest of this assessment, or if you plan to complete the assessment at a later stage please state this clearly here and request review by the Equality and Inclusion Team.

<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	[please select]
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We have not identified any significant negative impact from this proposal, which seeks to join a larger consortium of Local Authorities to aid partnership working with the independent fostering agencies to meet the changing needs of our children / young people in the care of the local authority.

This will enable Bristol City Council to develop the sufficiency in line with the Bristol City Council Sufficiency Strategy for Children in Care and Care Leavers to better manage the market and therefore quality, cost, availability and choice of placements. This will not impact what placements are being made or the services that children and young people will receive; this is always based on the needs of individual children. Cabinet will still retain oversight via the annual report submitted.

The procurement process ensures that all providers on the framework demonstrate that their organisation will operate in accordance with the Equality Act 2010 including the s.149 Public Sector Equality Duty, and other relevant anti-discriminatory legislation. The framework has been running for eight years and is re-designing the specific lots providers can bid for in the upcoming tender.

Bristol City Council have been part of the working groups to ensure these lots are suitable for our needs including the introduction of an 'Enhanced fostering' and 'Staying Put' lots. The framework provides a contract management function which includes a full time Contracts Co-ordinator and Project Officer and will ensure improved quality assurance processes to confirm we are using providers who are Ofsted rated 'good' or 'outstanding'. It will also mean that there is better information for the council, children and young people when deciding where to make a placement.

Step 5: Review

Equality and Inclusion Team Review: <i>Reviewed by Equality and Inclusion Team</i>	Director Sign-Off:  Ann James
Date: 15/6/2021	Date: 16 th June 2021

Appendix L

Third Party Spend Foster Care Placement – Benchmark

PURPOSE: For reference

Third party spend Project – Top 100 Workstream IFA (Independent Fostering Agency). BCC's Foster care placement framework has identified providers which fall within BCC top 100 third party spend.

The Strategic Supplier Relations Service have carried out a financial analysis.

DATE: 09 June 2021

Supplier Name	Contract Ref number	Category Area	Directorate / Service Area	Opportunity Rating	Annual Spend 19/20	ABW Invoices Paid 20/21
Amicus Foster Care	DN258207	CSI	People	High Priority	691,214	904,953.29
Foster Care Associates Ltd	DN258207	CSI	People	High Priority	723,842	490,966.01
The Adolescent & Children'S Trust	DN258207	CSI	People	High Priority	634,979	789,735.08
The National Fostering Agency Ltd	DN258207	CSI	People	High Priority	843,074	854,964.68
TOTAL					£2,893,109	£3,040,619.06

Table 1. Data retrieved from ABW

SSRS have been tasked to review opportunities and risks within this workstream and to ensure that spend with a provider is as efficient and effective as possible, identifying and planning to address savings, *if possible*. Recommendations have been listed within this report.

Highlighted below illustrates placement categories provided by the Children's finance tracker. For the purposes of the benchmarking exercise fees associated with standard placements have been compared 'Current vs New'. The Children's finance tracker records details of the placements made during 20/21 eg. age, price paid, duration etc. for the purposes of the benchmark where there has been no indication of placement duration 52 weeks has been used.

- **Standard Placement**
- **Standard – UASC – Placement (if known)**
- **Complex Placement** – any child placed with additional services e.g. enhanced carer fee, support worker, additional respite, transport etc (these additional costs can range dependent on how many services they require)
- **Solo Placement** – child placed on own and not with any other children
- **Staying Put Placement** – child placed post 18 to remain with existing foster carer

Due to the complex nature of the service the benchmark does not compare fees for solo placements, complex placements or staying put.

It is also important to note that there is an assumption that additional savings can be achieved from availability of further discounts on the new framework which consist of sibling discount, short term/ long term discounts.

South Central framework have rates for short term placements and long-term placements, generally the rate for long term placement is lower. Therefore, to support a like for like comparison based on the information provided within the Children's placement dataset the long-term rate has been used.

Table 2: Demonstrates anticipated savings from transferring services to the new framework (South Central Framework). This data assumes the same volume of placements made in 20/21 are made off the new framework and offered to one of the top three ranked bidders. This is for illustration purposes only as its very unlikely all placements will be made with the listed below.

Column A Provider	Column B Current Spend	Column C Provider	Column D Anticipated Spend	Column E Potential Savings	Column F	Column G Anticipated Spend	Column H Potential Savings	Column I Provider	Column J	Column K Saving
Amicus Foster Care	£530,854.56	Asphaleia	£401,846.43	£129,008.13	SWIIS	£440,530.80	£90,323.76	Sun-beam	£457,462.14	£73,392.42
Foster Care Associates	£273,687.52	Asphaleia	£221,258.57	£52,428.95	SWIIS	£242,978.88	£30,708.64	Sun-beam	£254,992.86	£18,694.66
TACT	£653,464.19	Asphaleia	£556,441.43	£97,022.76	SWIIS	£613,041.40	£40,422.79	Sun-beam	£632,707.14	£20,757.05
NFA	£789,480.83	Asphaleia	£672,223.57	£117,257.26	SWIIS	£745,107.40	£44,373.43	Sun-beam	£770,467.86	£19,012.97
Total	£2,247,487.10		£1,851,770	£395,717.10		£2,041,658.48	£205,828.62		£2,115,630	£131,857.1

Additional Costs vs Savings

To join the South-Central framework the following costs are to be applied.

Proposed Costs 2022 – 2026

Procurement Phased Costs -

- o £7,431.66 – one-off

Annual Lead Contract Management Costs –

- £15,602.38 per year x 4yrs £62,409.52

Additional Lead Partner Costs –

- £1,368.75

New placements made from the new framework will be a driver for cost avoidance. Table 3 demonstrates an average price reduction for the following placements by age group. This data was a comparison using the average weekly rate for each of the four currently used providers and compared with approx. 19 out of the 54 providers on the SC framework. These 19 providers were used in the comparison because they offer a lower weekly rate. Please also note the providers offer additional discounts which are to be applied therefor this could push the anticipated cost saving using a min/max tolerance up to 6% - 10%

Placement Age	Current	vs	New	Cost Saving
0-4yrs	£747.75		£688.52	8%
5-10yrs	£780.85		£733.20	6%
11yrs +	£796.31		£751.78	6%
There will be an increased need for the future framework and BCC should achieve a 6% - 8% cost avoidance saving.				

Table 3.

Decision Pathway – Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 14 September 2021

TITLE	Inpatient Detox and Stabilisation Contract		
Ward(s)	City Wide		
Author: Leonie Roberts	Job title: Consultant in Public Health		
Cabinet lead: Cllr Asher Craig	Executive Director lead: Hugh Evans Executive Director: People		
Proposal origin: Councillor			
Decision maker: Full Council			
Decision forum: Cabinet			
Purpose of Report:			
<ol style="list-style-type: none"> 1. To seek permission to award a contract for Inpatient Detox and stabilisation services in relation to the period 1st February 2021 until 31st March 2025. This end date aims to achieve continuity of service and align the contract within the same timescale as other ROADS services. 			
Evidence Base:			
<ol style="list-style-type: none"> 1. The Inpatient Detox and Stabilisation service (known as The Acer Unit and provided by AWP) addresses health inequalities in drug and alcohol misuse across the city. This includes some of our most vulnerable people including pregnant women, those with physical and mental health comorbidities, people who are homeless and those who have recently left custody. Many of these people live in circumstances that make successful community detoxification highly unlikely. We have a large drug and alcohol using population in Bristol compared to other areas and this supports the need to have a detox and stabilisation unit within the city. It is impractical to send people further afield for treatment as travelling to an unknown area can increase their vulnerability quite significantly. This is a specialised service that provides medically directed care in a hospital inpatient setting. 2. A&E data for NBT and UHB between June 2019 and May 2020 helps to show the need in the city with 1,442 attendances identifying drug and alcohol use as the main cause of presentation. Within this figure there are several individuals who are presenting to A&E multiple times. The maximum number of visits to A&E by one individual in any month between June 2019 and May 2020 ranged from 11 to 21. According to BNSSG CCG data the cost of these attendances was £265,371. 3. The previous contract with AWP for the inpatient detox and stabilisation covered the period of 1st Feb 2018-31st January 2021 with an option of 1+1 to extend. Despite best endeavours by both partners we were unable to agree an extension prior to the contract expiry date. This reflects significant multiple external pressures on all parties from the pandemic that included temporary service closure and relocation. Services have continued to be delivered since 1st February 2021 and we are now seeking to directly award a contract in relation to the period from 1st February 2021 until 31st March 2025 as a remedy and to align this contract end date with other ROADS contracts to facilitate more effective commissioning of services in the future. 4. This is a specialised service and was previously awarded to AWP in 2018. The key decision for this was taken at Cabinet on 3rd April 2018. The Health and Wellbeing Board noted in June 2017 “Given the specific nature and setting of their work we believe that the substance misuse hospital provision (which includes the current NBT 			

and UBT alcohol and drug liaison roles) and the ACER inpatient facility (AWP provided) to be relevant for a direct award". We want to maintain continuity of services to vulnerable people and ensure that Bristol ROADS services users are not required to move out of the City to access this specialised service. In the absence of any reasonable alternative we are proposing to award this contract to AWP as the only organisation who can realistically provide the services in the manner required by the Council.

5. Decisions regarding future additional Central Government such as Rough Sleeper Drug and Alcohol Treatment Grant (RSDATG) funding and Addiction, Diversion, Disruption, Enforcement, and Recovery (ADDER) are not yet confirmed and at this point cannot be assumed to extend beyond the period currently stated of this current year and up to 31st March 2023. The contract value will include the core funding of £550,000 per annum and the additional £126,655 made available until 31st March 2023 For 22-24 this award will be maintained only on receipt of continued central government additional funding. If additional funding ceases the service will continue at core funding of £550,000 p.a.
6. Funding for the period 1 Feb 21 to 31st March 2023 is £550,000 Public Health Grant and £126,655 ADDER funding totalling £1,444,977. For the remaining period 1 April 2023 to 31 March 2025 funding will revert to the core funding totalling £1.1M from Public Health Grant. During this second period, we seek permission to increase spending up to a total of £1,353,310 subject to receipt of government funding.

Cabinet Member / Officer Recommendations:

That Cabinet:

1. Note the award of the Inpatient Detox and Stabilisation Contract to AWP NHS Trust from 1st February 2021 until 14 September 2021 and approve the remaining period of the contract until 31st March 2025 at an estimated total cost of £2,798,286 subject to continued government funding.
2. Authorise the Executive Director People in consultation with Cabinet Member for Communities, Equalities and Public Health to take all steps required to negotiate and award a contract to AWP for Inpatient Detox and stabilisation services from 1st February 2021 to 31st March 2025.

Corporate Strategy alignment:

One of the aims within the One City plan is to reduce health inequalities across Bristol. The service aligns with corporate strategy themes such as fair and inclusive, wellbeing, and empowering and caring.

City Benefits:

This service addresses health inequalities across the city by meeting the needs of those who are most vulnerable and those who have multiple disadvantages.

It ensures separate provision to community detox to enable greater protection from harm of those most at risk.

Consultation Details:

Further consultation is not proposed at this stage as we are seeking to maintain the service without variation.

Background Documents:

1. [Appendix A_DRAFT Drug and Alcohol Strategy 2020-2024 v2.0 post-consultation.pdf \(bristol.gov.uk\)](#) Drug and Alcohol Strategy BCC 2020-2024
2. [Review of drugs: phase one report - GOV.UK \(www.gov.uk\)](#) (phase 2 is to follow).
3. [2017 Drug Strategy \(publishing.service.gov.uk\)](#)
4. [Alcohol strategy - GOV.UK \(www.gov.uk\)](#)
5. [Council meetings - bristol.gov.uk](#)

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Revenue Cost	1. Direct Award for the period Feb 21 to March 25 at a total cost of £2.54M rising to £2.8M on receipt of continuing funding.	Source of Revenue Funding	£550,000 recurring costs from Public Health Grant. £126,655 costs for 2021-2023 from ADDER and RSDATG with possibility to be extended until 2025.
Capital Cost	£0	Source of Capital Funding	N/A
One off cost <input type="checkbox"/> Ongoing cost <input checked="" type="checkbox"/>		Saving Proposal <input type="checkbox"/> Income generation proposal <input type="checkbox"/>	

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

1. Finance Advice: This report seeks Cabinet approval for the direct award of the Inpatient Detox and Stabilisation Contract to AWP NHS Trust in regard of services from 1st February 2021 until 31st March 2025, at a cost of £676,655 per annum. This will be part funded from Public Health Grant £550,000 and £126,655 from ADDER and RSDATG funding.

As referenced in the report, decisions regarding future additional RSDATG and ADDER grant funding are not yet confirmed and cannot be assumed. Therefore, a direct award until 31st March 2025, which includes the additional £126,655 appears prudent. This will only include this additional funding if it has been confirmed by Central Government.

Finance Business Partner: Denise Hunt, 15 July 2021

2. Legal Advice: Whilst ordinarily a contract of this value would require a competitive process, there are occasions where a direct award can be justified. The highly specialist nature of the services can be a factor. Legal services will advise and assist officers with regard to contractual arrangements.

Legal Team Leader: Husinara Jones, Team Leader/Solicitor, 16 July 2021

3. Implications on IT: No impact on IT Services

IT Team Leader: Simon Oliver, Director of Digital Transformation, 9th July 2021

4. HR Advice: The report is seeking permission to directly award a contract for Inpatient Detox and stabilisation services and there are no HR implications for Bristol City Council employees arising from this proposal.

HR Partner: Lorna Laing, HR Business Partner, People Directorate 1st September, 2021

EDM Sign-off	People EDM	21 st July 2021
Cabinet Member sign-off	Cllr Asher Craig	29 th July 2021
For Key Decisions - Mayor's Office sign-off	Mayor's Office	16 th August 2021

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
Appendix L – Procurement	NO

Equality Impact Assessment [version 2.9]



Title: Inpatient Detox and Stabilisation Service (ROADS/Substance Misuse)	
<input type="checkbox"/> Policy <input type="checkbox"/> Strategy <input type="checkbox"/> Function <input checked="" type="checkbox"/> Service <input type="checkbox"/> Other [please state]	<input type="checkbox"/> New <input checked="" type="checkbox"/> Already exists / review <input type="checkbox"/> Changing
Directorate: People	Lead Officer name: Paul Moores / Simon Dicker
Service Area: Public Health	Lead Officer role: Commissioning Manager / Public Health Specialist

Step 1: What do we want to do?

The purpose of an Equality Impact Assessment is to assist decision makers in understanding the impact of proposals as part of their duties under the Equality Act 2010. Detailed guidance to support completion can be found here [Equality Impact Assessments \(EqIA\) \(sharepoint.com\)](#).

This assessment should be started at the beginning of the process by someone with a good knowledge of the proposal and service area, and sufficient influence over the proposal. It is good practice to take a team approach to completing the equality impact assessment. Please contact the [Equality and Inclusion Team](#) early for advice and feedback.

1.1 What are the aims and objectives/purpose of this proposal?

Briefly explain the purpose of the proposal and why it is needed. Describe who it is aimed at and the intended aims / outcomes. Where known also summarise the key actions you plan to undertake. Please use plain English, avoiding jargon and acronyms. Equality Impact Assessments are viewed by a wide range of people including decision-makers and the wider public.

<p>This proposal seeks authorisation for a direct award for inpatient detox and stabilisation beds. We are seeking to directly award a contract until 31st March 2025 for medically managed inpatient detoxification and stabilisation from alcohol and / or drugs. This is consistent with our model of drug and alcohol treatment services and will allow us to align this contract with other ROADS contracts.</p> <p>The previous contract with AWP for the inpatient detox and stabilisation covered the period of 1st Feb 2018- 31st January 2021 with an option of 1+1. Due to the pandemic and multiple constraints we have not been able to implement the extensions.</p> <p>Inpatient Detox and stabilisation beds are a necessary resource for people who may find community detox unachievable. There are many factors in addition to someone’s protected characteristics such as housing and lifestyle along with intersections of previous history of drug and alcohol harms that may require the need for successful treatment to be administered on an in-patient basis.</p>

1.2 Who will the proposal have the potential to affect?

<input type="checkbox"/> Bristol City Council workforce	<input checked="" type="checkbox"/> Service users	<input type="checkbox"/> The wider community
<input type="checkbox"/> Commissioned services	<input type="checkbox"/> City partners / Stakeholder organisations	
Additional comments:		

1.3 Will the proposal have an equality impact?

Could the proposal affect access levels of representation or participation in a service, or does it have the potential to change e.g. quality of life: health, education, or standard of living etc.?

If ‘No’ explain why you are sure there will be no equality impact, then skip steps 2-4 and request review by Equality and Inclusion Team.

If 'Yes' complete the rest of this assessment, or if you plan to complete the assessment at a later stage please state this clearly here and request review by the Equality and Inclusion Team.

<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	[please select]
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Step 2: What information do we have?

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

Please use this section to demonstrate an understanding of who could be affected by the proposal. Include general population data where appropriate, and information about people who will be affected with particular reference to protected and other relevant characteristics: <https://www.bristol.gov.uk/people-communities/measuring-equalities-success>.

Use one row for each evidence source and say which characteristic(s) it relates to. You can include a mix of qualitative and quantitative data e.g. from national or local research, available data or previous consultations and engagement activities.

Outline whether there is any over or under representation of equality groups within relevant services - don't forget to benchmark to the local population where appropriate. Links to available data and reports are here [Data, statistics and intelligence \(sharepoint.com\)](#). See also: [Bristol Open Data \(Quality of Life, Census etc.\)](#); [Joint Strategic Needs Assessment \(JSNA\)](#); [Ward Statistical Profiles](#).

For workforce / management of change proposals you will need to look at the diversity of the affected teams using available evidence such as [HR Analytics: Power BI Reports \(sharepoint.com\)](#) which shows the diversity profile of council teams and service areas. Identify any over or under-representation compared with Bristol economically active citizens for different characteristics. Additional sources of useful workforce evidence include the [Employee Staff Survey Report](#) and [Stress Risk Assessment Form](#)

Data / Evidence Source [Include a reference where known]	Summary of what this tells us
www.recovery.org.uk	Continued use of certain drugs or alcohol can lead to your body becoming physically dependent on the substance. Abruptly quitting certain substances can lead to a withdrawal syndrome that can prove, in some cases, to be life-threatening. A detox program can help ease the discomfort of withdrawal, help with any serious medical situations that may arise and offer the smoothest path for someone to traverse this difficult period of time immediately following the discontinuation of drugs or alcohol.
Bristol Drug and Alcohol Strategy 2020-2024 Equality Impact Assessment informed by Substance Misuse Needs Assessment	As well as highlighting differences in prevalence and representation in existing services, recent equality analysis has identified a range of potential issues for the Bristol drug and alcohol service cohort based on their protected and other relevant characteristics: <ul style="list-style-type: none"> • The move towards digital services (amplified by Covid-19 measures) can be a barrier to treatment for older and disabled service users. • Of those adults in Bristol ROADS treatment service within the year 2019/20, 11% were recorded as having a disability (17.5% if

	<p>excluding service users were disability status was 'not stated' or 'blank').</p> <ul style="list-style-type: none"> • Of those adults in Bristol ROADS treatment service within the year 2019/20, for whom ethnicity was recorded, 85% were White British (% for Bristol population overall and 9.5% were from Black, Asian and minority ethnic groups (16% for Bristol population overall). • The acknowledgement of an individual's substance misuse needs can be a significant barrier if their faith forbids use of alcohol and other drugs. To that end, although faith leaders are important in accessing communities, they may not appreciate the scale of issues in their community. • Women can experience greater stigma when accessing services, strengthened by the risk of referral to social services etc. • Research indicates that LGBTQ+ people face widespread discrimination in healthcare settings; may avoid services for fear of discrimination from staff; and are likely to have a higher prevalence of drug and alcohol use.
Additional comments:	

2.2 Do you currently monitor relevant activity by the following protected characteristics?

<input checked="" type="checkbox"/> Age	<input checked="" type="checkbox"/> Disability	<input checked="" type="checkbox"/> Gender Reassignment
<input checked="" type="checkbox"/> Marriage and Civil Partnership	<input checked="" type="checkbox"/> Pregnancy/Maternity	<input checked="" type="checkbox"/> Race
<input checked="" type="checkbox"/> Religion or Belief	<input checked="" type="checkbox"/> Sex	<input checked="" type="checkbox"/> Sexual Orientation

2.3 Are there any gaps in the evidence base?

Where there are gaps in the evidence, or you don't have enough information about some equality groups, include an equality action to find out in section 4.2 below. This doesn't mean that you can't complete the assessment without the information, but you need to follow up the action and if necessary, review the assessment later. If you are unable to fill in the gaps, then state this clearly with a justification.

For workforce related proposals all relevant characteristics may not be included in HR diversity reporting (e.g. pregnancy/maternity). For smaller teams diversity data may be redacted. A high proportion of not known/not disclosed may require an action to address under-reporting.

Monitoring of protected characteristics is currently undertaken in ROADS services.
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2.4 How have you involved communities and groups that could be affected?

You will nearly always need to involve and consult with internal and external stakeholders during your assessment. The extent of the engagement will depend on the nature of the proposal or change. This should usually include individuals and groups representing different relevant protected characteristics. Please include details of any completed engagement and consultation and how representative this had been of Bristol's diverse communities. See <https://www.bristol.gov.uk/people-communities/equalities-groups>.

Include the main findings of any engagement and consultation in Section 2.1 above.

If you are managing a workforce change process or restructure please refer to [Managing change or restructure \(sharepoint.com\)](#) for advice on consulting with employees etc. Relevant stakeholders for engagement about workforce changes may include e.g. staff-led groups and trades unions as well as affected staff.

We carried out a full public consultation on the original [Substance Misuse Commission Strategy](#) in 2017. All of our substance misuse services were recommissioned in 2017 and orientated towards a recovery-based approach. Inpatient detox and stabilisation beds are one aspect of ROADS provision and provide a necessary alternative to community detox programmes.

2.5 How will engagement with stakeholders continue?

Explain how you will continue to engage with stakeholders throughout the course of planning and delivery. Please describe where more engagement and consultation is required and set out how you intend to undertake it. Include any targeted work to seek the views of under-represented groups. If you do not intend to undertake it, please set out your justification. You can ask the Equality and Inclusion Team for help in targeting particular groups.

No further consultation is planned for the period covered by the direct award but will be undertaken as part of a holistic review of services well in advance of our next procurement for services commencing 1st April 2025. The service has historically been provided by AWP over a larger footprint than Bristol and is a specialised service providing medically directed in patient care. The proposal will contribute to the existing aims of the 2021-2024 Drug and Alcohol Strategy which was subject to and shaped by wide multi-agency participation and [public consultation](#). A further EQIA looking at the data profile of users of this specific service as well the profile of people in ROADS as a health “system” to inform future procurement exercises for ROADS services.

Step 3: Who might the proposal impact?

Analysis of impacts must be rigorous. Please demonstrate your analysis of any impacts of the proposal in this section, referring to evidence you have gathered above and the characteristics protected by the Equality Act 2010. Also include details of existing issues for particular groups that you are aware of and are seeking to address or mitigate through this proposal. See detailed guidance documents for advice on identifying potential impacts etc. [Equality Impact Assessments \(EqIA\) \(sharepoint.com\)](#)

3.1 Does the proposal have any potentially adverse impacts on people based on their protected or other relevant characteristics?

Consider sub-categories (different kinds of disability, ethnic background etc.) and how people with combined characteristics (e.g. young women) might have particular needs or experience particular kinds of disadvantage.

Where mitigations indicate a follow-on action, include this in the ‘Action Plan’ Section 4.2 below.

GENERAL COMMENTS (highlight any potential issues that might impact all or many groups)

We have not identified any significant negative impact from the proposal, and we are not aware of any equality issues in relation to the service delivery of the previous contract e.g. complaints based on protected characteristics or failure to meet the needs of diverse service users. However, we are aware of existing inequalities for service users on the basis of their protected and other relevant characteristics (see section 2.1 above), which we will aim to address where possible through inclusive and accessible service delivery. This proposal seeks to redress the current hiatus of provision and ensure that Bristol residents have services to access. The focus is on securing authorisation for a direct award. We anticipate there would be a strong likelihood of a negative equalities impact in the event the service reinstatement is delayed or disrupted. We will ensure through service monitoring and a clear focus on equalities in service review that the successful provider demonstrates: a good understanding of the Equality Act 2010, including the Public Sector Equality Duty; as an employer that equality of opportunity is integral to their organisation; that staff have suitable equalities training; and that that services are culturally appropriate, tailored and regularly reviewed to meet the diverse needs of service users.

PROTECTED CHARACTERISTICS

Age: Young People	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
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Potential impacts:	
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Mitigations:	
Age: Older People	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	
Mitigations:	
Disability	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	
Mitigations:	
Sex	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	
Mitigations:	
Sexual orientation	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	
Mitigations:	
Pregnancy / Maternity	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	
Mitigations:	
Gender reassignment	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	
Mitigations:	
Race	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	
Mitigations:	
Religion or Belief	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	
Mitigations:	
Marriage & civil partnership	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	
Mitigations:	
OTHER RELEVANT CHARACTERISTICS	
Socio-Economic (deprivation)	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	
Mitigations:	
Carers	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	
Mitigations:	
Other groups [Please add additional rows below to detail the impact for other relevant groups as appropriate e.g. Asylums and Refugees; Looked after Children / Care Leavers; Homelessness]	
Potential impacts:	
Mitigations:	

3.2 Does the proposal create any benefits for people based on their protected or other relevant characteristics?

Outline any potential benefits of the proposal and how they can be maximised. Identify how the proposal will support our Public Sector Equality Duty to:

- ✓ Eliminate unlawful discrimination for a protected group
- ✓ Advance equality of opportunity between people who share a protected characteristic and those who don't
- ✓ Foster good relations between people who share a protected characteristic and those who don't

The proposal has the potential to improve quality of life among people using the drug and alcohol treatments system by ensuring access to treatment for those whom community detox is inaccessible.

Many clients are:

- Service users who have tried and failed community-based drug or alcohol treatment programmes
- Service users whose social circumstances make it difficult to complete community-based treatment programmes
- People who use a variety of different substances at the same time.
- Pregnant women
- People with physical, mental health, and learning difficulties.

For further information about this service (known as the ACER Ward), including a seven-minute video featuring staff and volunteers giving an explanation of the service pathway and service expectations for clients, it is recommended that the AWP website is accessed [here](#).

Step 4: Impact

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

What are the main conclusions of this assessment? Use this section to provide an overview of your findings. This summary can be included in decision pathway reports etc.

If you have identified any significant negative impacts which cannot be mitigated, provide a justification showing how the proposal is proportionate, necessary, and appropriate despite this.

Summary of significant negative impacts and how they can be mitigated or justified:

We have not identified any significant negative impacts from the proposal to make a direct award. Existing issues for service users will be addressed where possible through inclusive and accessible service delivery.

Summary of positive impacts / opportunities to promote the Public Sector Equality Duty:

This proposal seeks to re-establish contracts for inpatient services where they have lapsed during the pandemic. It is a service reinstatement not a service change and is one necessary aspect of a range of provision.

4.2 Action Plan

Use this section to set out any actions you have identified to improve data, mitigate issues, or maximise opportunities etc. If an action is to meet the needs of a particular protected group please specify this.

Improvement / action required	Responsible Officer	Timescale
This EqIA accompanies a Decision Pathway Report seeking authorisation for a direct award to enable continuation of service until 31 st March 2025.	Simon Dicker/Paul Moores	Cabinet meeting date 14 th September 2021
Local monitoring of service outcomes will continue to be undertaken as we do with all existing ROADS services. This will include monitoring by protected characteristics.	Paul Moores	Ongoing / quarterly monitoring

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

How will you know if you have been successful? Once the activity has been implemented this equality impact assessment should be periodically reviewed to make sure your changes have been effective your approach is still appropriate.

We believe that the many components of our ROADS service fit together to provide a holistic and person-centred approach in addressing the harm from substance misuse and we intend to complete a further EQiA during the Inpatient Detox procurement process. This will enable a better understanding of the levels of access by different

population segments within the range of services provided but also allows us to focus accurately on the equalities characteristics of users of this specific service.

We know that this element of the patient pathway is essential to the successful recovery of some the most marginalised individuals with addiction issues therefore it is vital that the service continues. We will continue to monitor drug and alcohol related admissions to A&E departments against our aims of reducing both the overall volume of people attending and the frequency of attendance by specific individuals.

The current cost of the current level of repeat drug and alcohol related A&E presentations are estimated to be c£250k per annum and we will use this as a baseline to target future reduction.

Step 5: Review

The Equality and Inclusion Team need at least five working days to comment and feedback on your EqIA. EqIAs should only be marked as reviewed when they provide sufficient information for decision-makers on the equalities impact of the proposal. Please seek feedback and review from the Equality and Inclusion Team before requesting sign off from your Director¹.

Equality and Inclusion Team Review: Reviewed by Equality and Inclusion Team	Director Sign-Off: Reviewed by Christina Gray, Director of Public Health
Date: 9/7/2021	Date: 14/07/21

¹ Review by the Equality and Inclusion Team confirms there is sufficient analysis for decision makers to consider the likely equality impacts at this stage. This is not an endorsement or approval of the proposal.

Decision Pathway – Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 14 September 2021

TITLE	Consultation on leisure investment options		
Ward(s)	Citywide		
Author: Guy Fishbourne	Job title: Sport & Physical Activity Development Manager		
Cabinet lead: Mayor	Executive Director lead: Hugh Evans, Executive Director: People		
Proposal origin: BCC Staff			
Decision maker: Cabinet Member			
Decision forum: <i>Cabinet</i>			
Purpose of Report:			
This report seeks			
<ol style="list-style-type: none"> 1. Approval to undertake public consultation on Bristol’s proposed Leisure Investment Strategy. The council owns nine leisure centres and swimming pools located across Bristol. The strategy proposes further council investment in up to three of these facilities and removal of two sites from its leisure portfolio. 2. In addition, there are eight school PFI leisure facilities that the public can use. 			
Evidence Base:			
<ol style="list-style-type: none"> 1. The nine council owned leisure centres and swimming pools are currently operated and managed by two leisure contractors. The leisure facilities are a broad mix of good quality provision; alongside some tired and ageing facilities that have increasing maintenance costs and do not meet the full expectations and demands of Bristol’s residents. 2. There are also eight school PFI leisure facilities that the public can use. 3. The council has an important role as one of many leisure facility providers in an increasingly mixed economy. The council prioritises capital and revenue investment within this mixed economy to deliver best value and meet identified need. 4. This report presents the council’s proposed leisure investment strategy and describes the scope of the forthcoming public consultation in relation to this strategy. 5. The council’s proposed leisure investment strategy includes the retention of seven sites, improvements at up to three of these sites and to stop operating two of its other facilities. 6. The proposed leisure investment strategy puts forwards options for consultation which the council believes can have the greatest impact from both a financial and social value perspective and contributes towards the delivery of the Bristol Sports and Physical Activity Strategy. 			

7. For those facilities which we propose to stop operating we are open to the possibility of transferring them to another commercial operator at zero cost to the council or to be run by the community (known as Community Asset Transfer (CAT) but if this does not happen these facilities will close.
8. Most of the council owned leisure facilities which are proposed to be retained will form part of a forthcoming procurement exercise.
9. Hengrove PFI Leisure Centre and the Portway Rugby Development Centre will remain outside the forthcoming procurement process due to their long-term contractual arrangements. As will all the PFI school leisure facilities however this could be subject to change.

Proposed Leisure Investment Strategy

Vision

10. The proposed leisure investment strategy will contribute towards the vision for Bristol's Sport and Physical Activity Strategy (2020-2025) which is 'To ensure that all Bristol citizens have the encouragement, opportunity and environment they need to lead active, healthy and fulfilling lives. By working collaboratively and cooperatively, as a whole system, we will seek to transform attitudes and behaviours and make it easier for residents to enjoy sport and physical activity and embed it into their everyday lives'
11. It will also contribute towards the following strategic outcomes identified in Bristol's Sport and Physical Activity Strategy:
 - Outcome 1: Through physical activity, reduce health inequalities and the Healthy Life Expectancy gap by 10% between the most affluent wards and deprived wards by 2025
 - Outcome 2: 50% more people living in wards where there are the greatest levels of socio-economic deprivation, are doing more than 30 minutes physical activity per week by 2025
 - Outcome 3: Halt the rise in levels of childhood and adult obesity by 2025
 - Outcome 4: Bristol will be the most active Core City in the country, with at least 65% of people in all parts of the city achieving the recommended amount of physical activity by 2025.

Principles

12. To make improvements across strategic sites serving the highest number of users and areas of greatest deprivation.
13. Strategic leisure sites will be supported by a range of community owned and managed facilities.
14. Community Asset Transfer (CAT) or alternative management arrangements will be considered by the council where there is an interest by the community or any other commercial organisation to undertake this.

Finance

15. Where council investment options are being considered these must be affordable within the current sports capital programme.

16. All improvement options would result in savings compared to no investment however, different improvement options are likely to result in different levels of savings and therefore the future running costs of delivering leisure services.

Procurement

17. The council's proposed options are intended to support a more cost-effective delivery of leisure services through a newly procured contract.
18. The current leisure contract in relation to Bristol South Swimming Pool, Easton Leisure Centre, Henbury Leisure Centre, Horfield Leisure Centre, St Paul's Community Sports Academy, Kingsdown Sports Centre expires 31st March 2022, although due to the impact of Covid -19 retendering has been delayed. Arrangements for a contract extension to allow sufficient time to run a procurement exercise are being discussed.
19. The Jubilee Pool contract also expires 31st March 2022.
20. The procurement process, following approval of the investment strategy, will provide an opportunity to allow prospective bidders to propose their own creative and innovative solutions. The council cannot afford to do everything it might like to do, the overall affordability of any of the options proposed for improvements will ultimately be determined by the preferred bidder and a final decision will be based on what delivers best value.

Full Portfolio of facilities

21. Included in the council's leisure investment strategy, are nine council owned leisure centres and swimming pools across the city:
22. Bristol South Swimming Pool
23. Easton Leisure Centre
24. Henbury Leisure Centre
25. Horfield Leisure Centre
26. St Paul's Community Sports Academy
27. Kingsdown Sports Centre
28. Jubilee Swimming Pool
29. Hengrove Leisure Centre
30. Portway Rugby Development Centre

31. In addition, there are also school PFI leisure facilities which the public can use. These are Bristol Brunel Academy in Speedwell, The Bridge Learning Campus in Hartcliffe, Oasis Academy in Brislington, Bristol Metropolitan Academy in Fishponds, Blaise High School in Henbury, Oasis Brightstowe in Shirehampton, Orchard School in Horfield and Bedminster Down School. As well as access to outdoor sports provision and

sports hall space across these eight sites the council also invests in the City of Bristol Gymnastics Centre on the Bridge Learning Campus and the Bristol Brunel Academy Fitness Suite.

32. On 3rd March 2020 cabinet made the decision to run a competitive procurement process, to procure new operators and take all steps necessary to procure and award a new contract.

Proposed Strategy

Retention

33. That the following sites be included in the procurement exercise and remain in the new contract portfolio
- a. Bristol South Pool
 - b. Easton Leisure Centre
 - c. Henbury Leisure Centre
 - d. Horfield Leisure Centre
 - e. St Paul's Community Sports Academy
34. Portway, Hengrove PFI Leisure Centre and the school PFI leisure facilities detailed above would be retained due to the existing contractual arrangements which do not expire for the foreseeable future.

Proposed Investment Options

35. Within the overall Leisure Investment Strategy, the council is consulting on options to make improvements at the following key strategic sites contained in the list of facilities above. Views will be sought from the public on the merits of a range of different options in relation to improvements at Easton Leisure Centre, Horfield Leisure Centre and Bristol South Pool.

Easton Leisure Centre

36. Easton leisure centre has a swimming pool, sports hall and fitness offer. It has the second highest usage of all the council's swimming pools and has the third highest overall attendances of all its leisure facilities. It is well located serving an area of higher deprivation in central and eastern areas of the city but is very tired in appearance externally and internally. The needs of the community could be better met with a change to the facility mix and layout. A remodel is proposed within the current building footprint. There is no increase in the size of the current pool area and instead, a focus is placed on a remodelling of the dry-side areas (sports hall, gym, reception area) of the centre. This option includes first floor space for a new and larger health and fitness suite, including a dedicated women-only area. The ground floor allows for additional community uses of the facility.

Horfield Leisure Centre

37. Horfield Leisure Centre has swimming pools, sports hall and gym and fitness offer. Horfield has the highest usage and is the most economically viable of all the council's leisure facilities and serves local areas of higher deprivation. It is proposed to further expand its fitness offer through a gym extension and provision of additional studio space.

Bristol South Pool

38. Bristol South Swimming Pool is an 80 + year old listed building with significant ongoing revenue and future repair and maintenance costs but attracts a high numbers of visitors.

39. Improvements need to take account of the listed building status. There are opportunities to provide some plant improvement and replacement and general cosmetic improvements to customer facing areas.

Proposal to Stop Operating

40. The council proposes to stop operating Jubilee Swimming Pool and Kingsdown Sports Centre.

Jubilee Pool

41. Consultation has already taken place on the future of Jubilee Pool in 2020.

42. As a result of that consultation a community asset transfer will be considered, should a community proposal be brought forward.

43. A final decision about the future of Jubilee Pool will be taken after this wider consultation process is complete and taking into account the outcomes.

44. Available pool space at Hengrove Leisure Centre is a consideration in the options being put forwards.

Kingsdown Sports Centre

45. Kingsdown Sports Centre is attracting few new members and is not retaining members in a very competitive environment.

46. The Centre is in close proximity to the University's new Sports Centre.

47. As a dry side facility, it requires an annual revenue subsidy and due to its immediate demographic profile and geographical location, contributes less towards the council's strategic outcomes for sport and physical activity.

48. The council is including Kingsdown Sports Centre in this consultation because we propose to stop operating this facility and are seeking views as part of the consultation.

Summary of Options

49. The consultation will seek views on the proposed strategy and the options that sit within it as set out below and set out in detail alternative options that have been considered and rejected.

Proposed Strategy

50. Retention of Bristol South Swimming Pool, Easton Leisure Centre, Henbury Leisure Centre, Horfield Leisure Centre, St Paul's Community Sports Academy and stopping operating Jubilee Swimming Pool and Kingsdown Sports Centre.

51. As part of the strategy, we are consulting on the following investment options:
52. **OPTION 1:** Easton Leisure Centre - Remodel within the current building footprint and limiting this to dry-side areas only. There is no increase in the size of the current pool area and instead, a focus is placed on a remodelling of the dry-side areas of the centre (sports hall, gym, reception area) . This option results in a new and larger health and fitness suite, including a dedicated female-only area. The ground floor allows for additional community uses of the facility. This includes the proposal to stop operating Jubilee Swimming Pool and Kingsdown Sports Centre.
53. **OPTION 2:** Horfield Leisure Centre - 2-storey extension to fitness gym (up to 80 additional stations) and provision of 2 new group exercise studios. No other investment included in this option. This includes the proposal to stop operating Jubilee Swimming Pool and Kingsdown Sports Centre.
54. **OPTION 3:** Bristol South Pool - A basic refurbishment which would provide some plant improvement and replacement and general cosmetic and condition improvements to customer facing areas. This includes the proposal to stop operating Jubilee Swimming Pool and Kingsdown Sports Centre.

55. On the basis that the council cannot afford all three investment options, the consultation will ask the public to prioritise where they think investment should be made.

56. As mentioned above prospective bidders will be asked to propose their own creative and innovative solutions and the overall affordability of any of the options proposed for improvements will ultimately be determined by the preferred bidder. A final decision will be based on what delivers best value.

57. Subject to the outcome of consultation a preferred option or a variant / combination of the options will be put forward to help inform the council's overall procurement strategy ready to be brought back to cabinet for decision in February 2022.

Officer Recommendations:

That Cabinet:

1. Approve the option for consultation as set out in the report and endorse the approach being taken.
2. Note that the report on the outcome of consultation and final recommendations for investment options will come to the February Cabinet meeting for approval.
3. Note the report in February will also recommend a procurement strategy for new management arrangements to be in place by April 2023.
4. Note that the overall affordability of any improvements will be determined following the selection of the preferred bidder based on their proposals.
5. Note that approval to negotiate a contract extension has been provided at June Cabinet 2021.

Corporate Strategy alignment:

This proposal aligns with the Corporate Principles - developing people and places to improve outcomes, empower communities and reduce the need for council services: Maximise opportunities to work with partners and other stakeholders locally, nationally and globally.

1. **Wellbeing:** is one of four themes in the corporate strategy and based upon creating healthier and more resilient communities where life expectancy is not determined by wealth or background.
2. One of the Mayor's seven key commitments in the corporate plan is that Bristol will be a leading cultural city, making culture and sport accessible to all.
3. Embed health in all our policies to improve physical & mental health and wellbeing and reduce health inequalities reducing future demand pressures on health and social care services and helping to reduce costs.
4. Supporting preventative interventions and opportunities for physical activity amongst children and adults and creating a resilient, sustainable, clean and healthy city.
5. Promoting opportunity, attracting funding and protecting investment in culture while also facilitating others
6. Continue to offer good quality services which attract visitors.

Achieving more cost effective models for the delivery of service provision

City Benefits:

1. Working in partnership to maximise opportunity and resources in order to deliver Bristol's leisure services across in scope leisure centres and swimming pools.
2. The intended outcome will be enhanced leisure provision that is operated as cost effectively and efficiently as possible, balancing the needs of the local community and contributing towards the city's strategic outcomes.
3. The Council will work towards optimising future arrangements and through public consultation consider investment in facilities where sustainable business plans are agreed and will work in partnership to increase participation and realise maximum health and social benefits for residents
4. Supporting people to be more physically active will impact on a range of public health and adult social care outcomes such as:
 - Obesity levels in adults and children
 - Social and health inequalities, increased healthy life expectancy
 - The number of falls and injuries in over 65s
 - Early death from cardiovascular diseases, cancer and respiratory diseases.

Consultation Details:

1. Public consultation on the future of Jubilee Pool has been undertaken

Background Documents:

Assessment of Needs and Opportunities Bristol S&ARFS - www.bristolactivecity.org.uk

[A-Sport-and-Active-Recreation-Facility-Strategy-for-Bristol-SaARFS.pdf \(bristolactivecity.org.uk\)](#)

[BD12440-Bristol-Sports-Strategy-2020-25-1.pdf \(bristolactivecity.org.uk\)](#)

Revenue Cost	consultation - TBC	Source of Revenue Funding	
Capital Cost	£	Source of Capital Funding	n.a
One off cost <input checked="" type="checkbox"/>	Ongoing cost <input type="checkbox"/>	Saving Proposal <input type="checkbox"/>	Income generation proposal <input type="checkbox"/>

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

1. Finance Advice: This report seeks approval to undertake public consultation on Bristol's Leisure Investment

Strategy and to endorse the approach being taken for which the investment strategy is identified in paragraphs 50 - 57.

Any improvements will need to be contained within the capital funding envelope of between £7.6-8m. The investment strategy identified is a high level strategy, which will seek opportunities to optimise revenue generation, reduce the management fee and life cycle costs. Further detailed financial modelling to determine the costs will be required before commencement of the procurement exercise.

Finance Business Partner: Bev Winter - Senior Finance Business Partner -Strategic and Financial Management
19/08/21

2. Legal Advice:

Consultation will be lawful if it

1. communicates the authority’s proposal to those with a potential interest;
2. explains why that proposal is being considered;
3. provides the consultees with sufficient information to make informed responses to the proposals;
4. allows the consultees sufficient time to submit their informed responses; and
5. conscientiously takes their responses into account when making the final decision.

Where proposals reflect a preferred option as above there must be an outline of the alternative options the Council has considered and the reasons for their rejection. The decision maker must carefully consider the Equalities impact assessment at appendix E which is designed to assist them in complying with the public sector equality duty (described in the impact assessment).

The Public Sector Equality duty requires the decision maker (Cabinet) 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. Cabinet must take into consideration the information in the assessment before taking the decisions sought today, and again when the officers report back on the outcome of the consultation exercise and make recommendations on the way forward. (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).

The report refers to proposals for re-procuring operators of the various facilities. All procurement activities will need to comply with the Public Contracts Regulations 2015, and the Councils own procurement rules

Legal Team Leader: Sarah Sharland, Team Leader & Eric Andrews, Team Leader 31/08/21

3. Implications on IT: No anticipated impact on IT/Digital Services

IT Team Leader: Simon Oliver, Director – Digital Transformation 18/08/21

4. HR Advice: The report is seeking approval to undertake a public consultation on Bristol’s Leisure Investment Strategy and there are no specific HR implications arising from this for Bristol City Council employees.

HR Partner: Lorna Laing – HR Strategic People Partner 9/08/21

EDM Sign-off	CLB/Capital Investment Board	24th August 2021
Cabinet Member sign-off	Mayor	2 nd September 2021
For Key Decisions - Mayor’s Office sign-off	Mayor’s Office	2 nd September 2021

Appendix A	NO
Appendix B –	NO
Appendix C – Summary of any engagement with scrutiny	NO

Appendix D – Risk assessment	NO
Appendix E –Equality Impact Assessment	YES
Appendix F – Eco-impact screening/ impact assessment of proposal	NO
Appendix G – Financial Advice	NO
Appendix H – Legal Advice	NO
Appendix I – Exempt Information	NO
Appendix J – HR advice	NO
Appendix K – ICT	NO
Appendix L – Procurement	NO



Title: Leisure Investment Strategy Consultation	
<input type="checkbox"/> Policy <input checked="" type="checkbox"/> Strategy <input type="checkbox"/> Function <input type="checkbox"/> Service <input type="checkbox"/> Other [please state]	<input checked="" type="checkbox"/> New <input type="checkbox"/> Already exists / review <input type="checkbox"/> Changing
Directorate: People	Lead Officer name: Guy Fishbourne
Service Area: Public Health	Lead Officer role: Manager – Physical Activity & Sport

Step 1: What do we want to do?

The purpose of an Equality Impact Assessment is to assist decision makers in understanding the impact of proposals as part of their duties under the Equality Act 2010. Detailed guidance to support completion can be found here [Equality Impact Assessments \(EqIA\) \(sharepoint.com\)](https://sharepoint.com).

This assessment should be started at the beginning of the process by someone with a good knowledge of the proposal and service area, and sufficient influence over the proposal. It is good practice to take a team approach to completing the equality impact assessment. Please contact the [Equality and Inclusion Team](#) early for advice and feedback.

1.1 What are the aims and objectives/purpose of this proposal?

Briefly explain the purpose of the proposal and why it is needed. Describe who it is aimed at and the intended aims / outcomes. Where known also summarise the key actions you plan to undertake. Please use plain English, avoiding jargon and acronyms. Equality Impact Assessments are viewed by a wide range of people including decision-makers and the wider public.

The proposal relates to nine of the Council’s leisure facilities. The contract for running most of the facilities expires shortly and will go out to tender. The Council has a sum of money in the budget to invest, this proposal is to ensure that it can meet the objectives in the Sport & Physical Activity Strategy. By investing in high foot-fall sites where revenue can be generated and will tackle physical inactivity, also investing in wards that experience multiple deprivation and high inactivity levels. The Council proposes to cease operating two of the facilities in order to protect itself from ongoing revenue investment, and low usage which do not contribute to the objectives set out in the strategy. It is hoped that alternative management can be found for these two facilities. The proposals below will go out for consultation before a final decision is made.

The proposal is as follows:

Easton Leisure Centre	Retain	Possible Investment
Horfield Leisure Centre	Retain	Possible Investment
Bristol South Pool	Retain	Possible investment
Henbury Leisure Centre	Retain	
St Paul’s Sports Academy	Retain	
Jubilee Swimming Pool	Stop Operating	Possible alternative management
Kingsdown Sports Centre	Stop Operating	Possible alternative management

Investment levels have been explored and it is possible to invest in:

1. **Easton Leisure Centre** – increasing the dryside provision including a women only section but reducing the number of badminton courts from 4 to 3
2. **Horfield Leisure Centre** – increased gym provision
3. Mechanical equipment and some customer facing improvements at **Bristol South**

There are two other leisure facilities that are not included in this proposal. Hengrove Leisure Centre and Portway Rugby Development Centre. These have different contracts which are not due for renewal.

This EqIA is overarching, a more detailed EqIA will be progressed in the coming weeks when more equality information on their clientele is provided by the leisure centres.

1.2 Who will the proposal have the potential to affect?

<input type="checkbox"/> Bristol City Council workforce	<input checked="" type="checkbox"/> Service users	<input checked="" type="checkbox"/> The wider community
<input checked="" type="checkbox"/> Commissioned services	<input checked="" type="checkbox"/> City partners / Stakeholder organisations	
Additional comments:		

1.3 Will the proposal have an equality impact?

Could the proposal affect access levels of representation or participation in a service, or does it have the potential to change e.g. quality of life: health, education, or standard of living etc.?

If 'No' explain why you are sure there will be no equality impact, then skip steps 2-4 and request review by Equality and Inclusion Team.

If 'Yes' complete the rest of this assessment, or if you plan to complete the assessment at a later stage please state this clearly here and request review by the Equality and Inclusion Team.

<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	[please select]
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Step 2: What information do we have?

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

Please use this section to demonstrate an understanding of who could be affected by the proposal. Include general population data where appropriate, and information about people who will be affected with particular reference to protected and other relevant characteristics: <https://www.bristol.gov.uk/people-communities/measuring-equalities-success>.

Use one row for each evidence source and say which characteristic(s) it relates to. You can include a mix of qualitative and quantitative data e.g. from national or local research, available data or previous consultations and engagement activities.

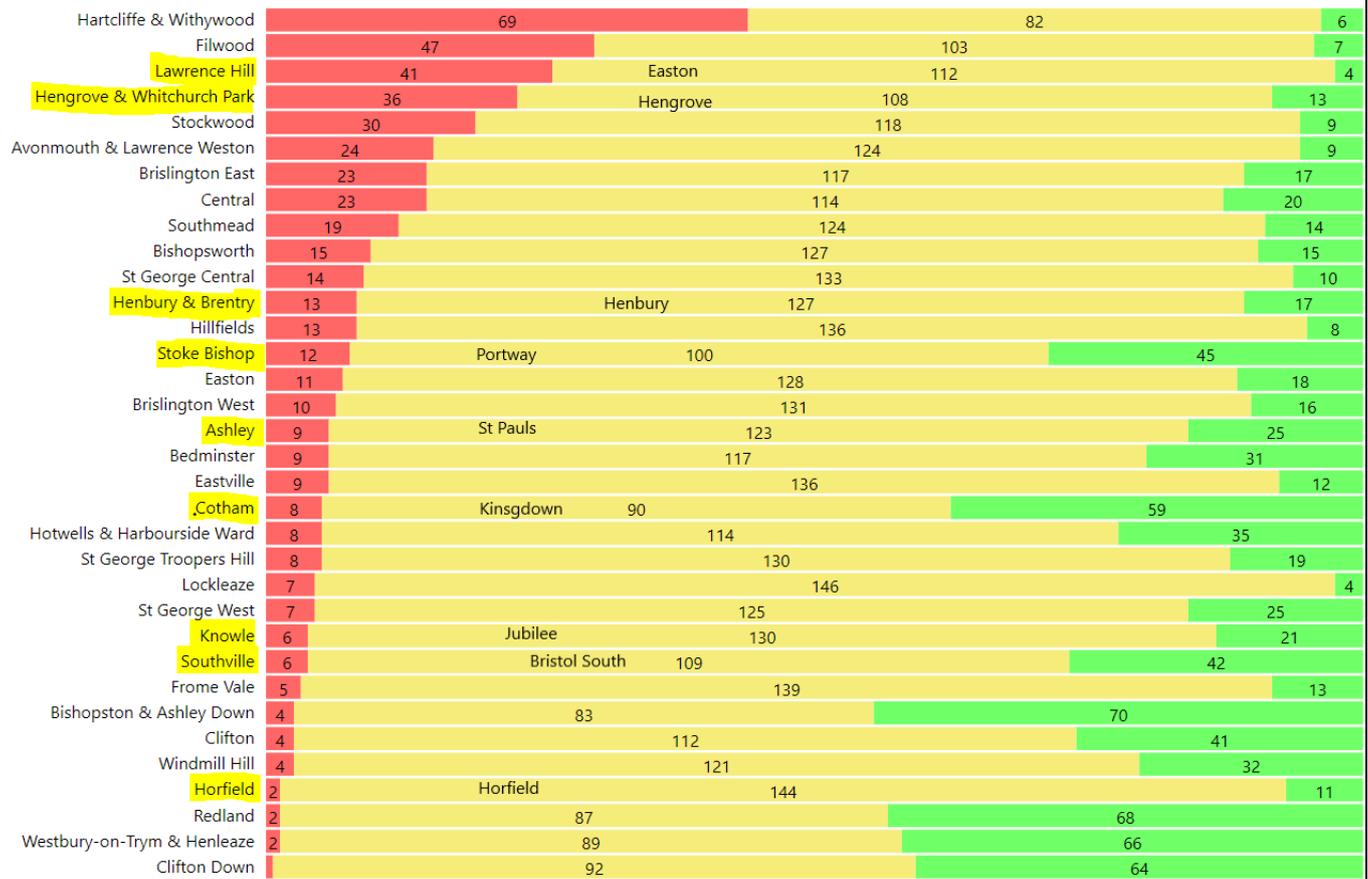
Outline whether there is any over or under representation of equality groups within relevant services - don't forget to benchmark to the local population where appropriate. Links to available data and reports are here [Data, statistics and intelligence \(sharepoint.com\)](#). See also: [Bristol Open Data \(Quality of Life, Census etc.\)](#); [Joint Strategic Needs Assessment \(JSNA\)](#); [Ward Statistical Profiles](#).

For workforce / management of change proposals you will need to look at the diversity of the affected teams using available evidence such as [HR Analytics: Power BI Reports \(sharepoint.com\)](#) which shows the diversity profile of council teams and service areas. Identify any over or under-representation compared with Bristol economically active citizens for different characteristics. Additional sources of useful workforce evidence include the [Employee Staff Survey Report](#) and [Stress Risk Assessment Form](#)

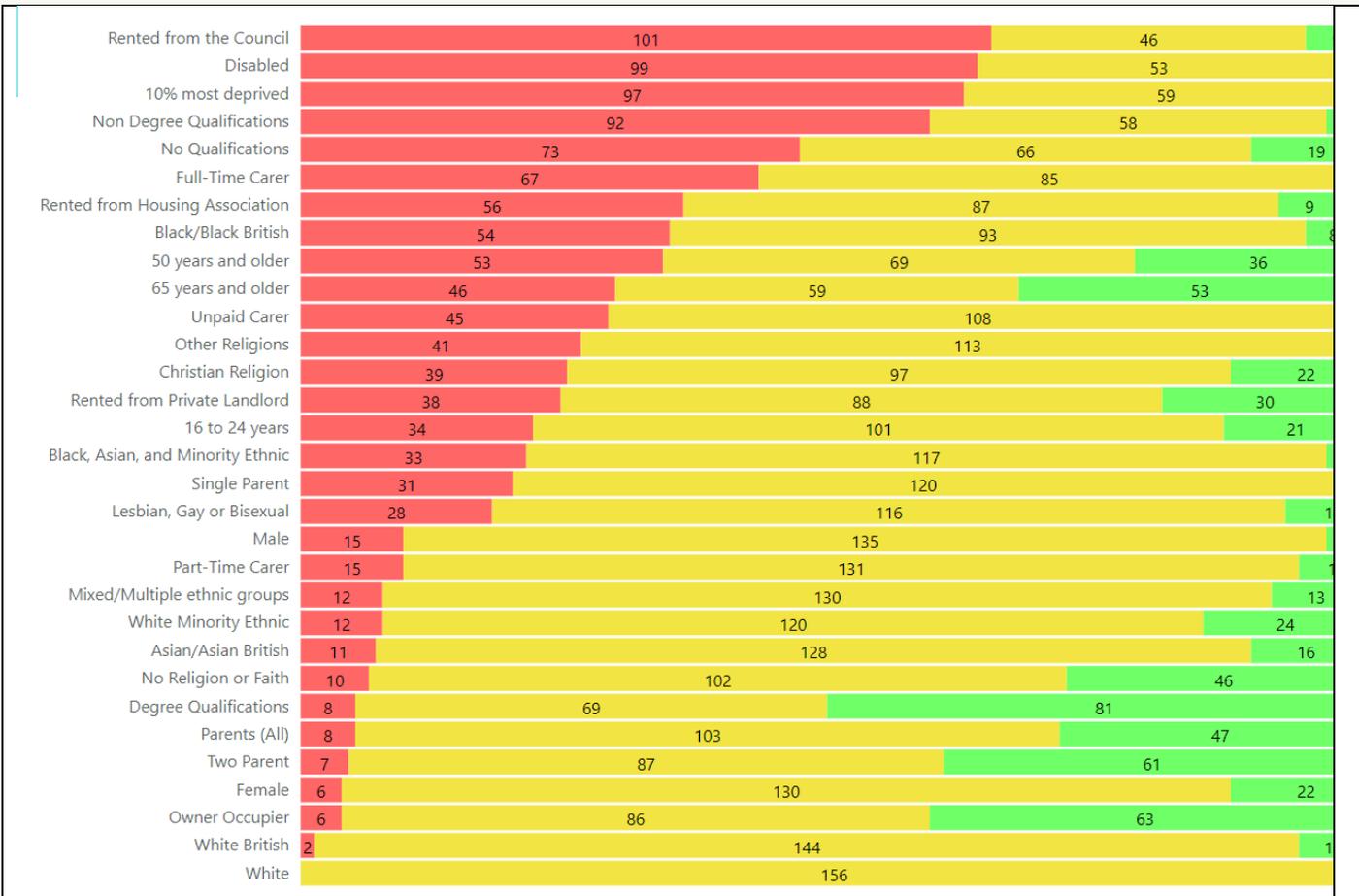
Data / Evidence Source

Bristol Quality of Life Survey 2021

This shows the wards of the facilities and the indices of deprivation and whether they are significantly higher (red) or lower (green) than the Bristol Average



This shows deprivation by group. We are aware that levels of deprivation are indicative of the wider determinants of health and therefore are aware that there is likely to be a relationship between deprivation and levels of physical inactivity.



The above information will inform the consultation process and we will attempt to reach out to those groups with the greater number of indices that are worse than the Bristol average. We will actively seek the views of organisations that represent these groups.

	Bristol	Kingsdown Cotham	Easton Lawrence Hill	Horfield	Henbury Henbury & Brentry	St Pauls Ashley	Bristol South Southville	Hengrove Hengrove & Whitchurch Park	Portway Stoke Bishop	Jubilee Knowle	
Life Expectancy	82.7	88.13	82.2	84.9	83.2	85.04	78.13	83.7	84.41	84.31	Public Health
Premature Mortality	377.5	210.4	600.1	270.2	384.1	343.6	537.4	356.3	212.8	350.1	Public Health
% who say they are in good health	87.12	92.14	80.7	83.9	89.4	85.1	90.6	82.3	93	89.8	Quality of Li
% overweight or obese	46.5	24.9	49.4	55.1	52.7	36.1	35.8	65.4	49	48.6	Quality of Li
% who do enough regular exercise per week	68.2	74.8	66	73	59.5	72.2	74.8	52.1	78.8	70.6	Quality of Li
% who are inactive	8.1	2.8	6.5	9.4	11.7	2.4	5.9	11.4	5.4	4.3	Quality of Li
Age		16-24 0-15 40-54 55-64	0-15 55-64 65+				25-39	55-64 65+	25-39 65+	40-54	ONS 2019
Ethnicity		White British BAME	White British BAME	Indian		White British BAME	White Irish	White British Other White Other Asian Arab Mixed			Census 2011
Religion		Christian Jewish No Religion	Christian Sikh No religion	Hindu Sikh		Christian Buddhist Muslim		Christian Buddhist	Christian Jewish		

We have looked at various indicators of healthy lifestyle and demographic information from several sources (final column above) and have indicated them as per the charts above where the figures are significantly greater than the Bristol average are in red and those significantly smaller in green.

Our proposal suggests investment into Horfield (high footfall and high-income generation and adjacent to areas of multiple deprivation) Easton (based in Lawrence Hill – very high on the chart of multiple deprivation and with high levels of BAME citizens and Bristol South where life expectancy is low and premature mortality high). Our proposals are in line with the Councils corporate commitment to ensure that nobody is left behind.

2.2 Do you currently monitor relevant activity by the following protected characteristics?

- | | | |
|--|---|---|
| <input checked="" type="checkbox"/> Age | <input checked="" type="checkbox"/> Disability | <input checked="" type="checkbox"/> Gender Reassignment |
| <input checked="" type="checkbox"/> Marriage and Civil Partnership | <input checked="" type="checkbox"/> Pregnancy/Maternity | <input checked="" type="checkbox"/> Race |
| <input checked="" type="checkbox"/> Religion or Belief | <input checked="" type="checkbox"/> Sex | <input checked="" type="checkbox"/> Sexual Orientation |

2.3 Are there any gaps in the evidence base?

Where there are gaps in the evidence, or you don't have enough information about some equality groups, include an equality action to find out in section 4.2 below. This doesn't mean that you can't complete the assessment without the information, but you need to follow up the action and if necessary, review the assessment later. If you are unable to fill in the gaps, then state this clearly with a justification.

For workforce related proposals all relevant characteristics may not be included in HR diversity reporting (e.g. pregnancy/maternity). For smaller teams diversity data may be redacted. A high proportion of not known/not disclosed may require an action to address under-reporting.

Demographic information is collected by the leisure providers by the use of 'loyalty' cards where people provide demographic and equalities information when they subscribe. This information is reported through the contract management process. It should be noted that the current information may still be skewed by closures through the Covid 19 lockdown and potentially, reluctance by some groups – for example older people- to use the facilities currently. We are currently waiting for information from the providers on their clientele, and a separate EqIA will be completed for each leisure centre.

2.4 How have you involved communities and groups that could be affected?

You will nearly always need to involve and consult with internal and external stakeholders during your assessment. The extent of the engagement will depend on the nature of the proposal or change. This should usually include individuals and groups representing different relevant protected characteristics. Please include details of any completed engagement and consultation and how representative this had been of Bristol's diverse communities. See <https://www.bristol.gov.uk/people-communities/equalities-groups>.

Include the main findings of any engagement and consultation in Section 2.1 above.

If you are managing a workforce change process or restructure please refer to [Managing change or restructure \(sharepoint.com\)](#) for advice on consulting with employees etc. Relevant stakeholders for engagement about workforce changes may include e.g. staff-led groups and trades unions as well as affected staff.

The public consultation will be sent directly to interest, representative groups and clientele of leisure centres based on lists supplied by the Consultations and Communications teams. The public consultation link will be emailed to all members of the facilities by the current operator. Specific engagement is likely to be undertaken with "Friends of" groups. The views of the Mayoral Working Group on Participation in Sport & Physical Activity (the acknowledged voice of physical activity in the city) will be sought. We will ensure that communication will be accessible formats for those who ask, and information leaflets are available in Leisure centres.

2.5 How will engagement with stakeholders continue?

Explain how you will continue to engage with stakeholders throughout the course of planning and delivery. Please describe where more engagement and consultation is required and set out how you intend to undertake it. Include any targeted work to seek the views of under-represented groups. If you do not intend to undertake it, please set out your justification. You can ask the Equality and Inclusion Team for help in targeting particular groups.

We are happy to undertake engagement with stakeholders and liaise with the Equalities Team and the Consultation Team to ensure that appropriate groups are contacted (please see associated consultation comms plan).

Step 3: Who might the proposal impact?

Analysis of impacts must be rigorous. Please demonstrate your analysis of any impacts of the proposal in this section, referring to evidence you have gathered about the characteristics protected by the Equality Act 2010.

Also include details of existing issues for particular groups that you are aware of and are seeking to address or mitigate through this proposal. See detailed guidance documents for advice on identifying potential impacts etc. [Equality Impact Assessments \(EqIA\) \(sharepoint.com\)](#)

3.1 Does the proposal have any potentially adverse impacts on people based on their protected or other relevant characteristics?

Consider sub-categories (different kinds of disability, ethnic background etc.) and how people with combined characteristics (e.g. young women) might have particular needs or experience particular kinds of disadvantage.

Where mitigations indicate a follow-on action, include this in the 'Action Plan' Section 4.2 below.

GENERAL COMMENTS (highlight any potential issues that might impact all or many groups)	
The comments below relate predominantly to those facilities that the council will cease to operate. The impacts may be lessened or negated if alternative management options are found for these facilities.	
PROTECTED CHARACTERISTICS	
Age: Young People	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	We see from ward data that there is a statistically significant number of young people in the ward where Kingsdown is situated.
Mitigations:	There is alternative provision in the area including the facilities operated by Bristol University There is a possibility for the facility to be transferred to an alternative operator
Age: Older People	Does your analysis indicate a disproportionate impact? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	Jubilee is operated at a higher temperature than the other facilities. We know from the previous consultation that older people prefer the smaller, more compact facility at Jubilee. According to Bristol City Council's ward data, the only age group which is statistically significantly different to the Bristol Average is the 40-54 age group, but we are aware from the previous consultation and the membership data that the pool is used by older people who prefer this facility.
Mitigations:	Negotiations will be undertaken with the management at Hengrove Leisure Centre to provide warmer sessions in their 20m pool and to proactively engage with those current members at Jubilee to enable them to feel comfortable using the larger facility. Although travel times and costs may increase for some users if alternative management options are not realised, conversations have been undertaken with WECA to ensure that there is sufficient public transport to alternative facilities. There is a possibility that management of Jubilee can be transferred to a different operator
Disability	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	We know from the previous consultation that some disabled people prefer the warmer water at Jubilee We know from the previous consultation that some people with autism prefer the smaller, more intimate facility at Jubilee to the larger noisier Hengrove.
Mitigations:	Hengrove is a more accessible facility for physically disabled people being compliant with the Inclusive Fitness Initiative and designed and build with accessibility in mind. Work will be undertaken with the management at Hengrove to ensure that the staff are well trained, well informed and welcoming. Pool programming will be addressed to allow for appropriate specific, quieter and warmer sessions There is a possibility that Jubilee can be transferred to a different operator.
Sex	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	
Mitigations:	
Sexual orientation	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	
Mitigations:	
Pregnancy / Maternity	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

Potential impacts:	
Mitigations:	
Gender reassignment	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	
Mitigations:	
Race	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	
Mitigations:	
Religion or Belief	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	
Mitigations:	
Marriage & civil partnership	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	
Mitigations:	
OTHER RELEVANT CHARACTERISTICS	
Socio-Economic (deprivation)	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	If alternative management is not achieved for Jubilee Pool, travel time and costs may increase for users.
Mitigations:	
Carers	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	
Mitigations:	
Other groups [Please add additional rows below to detail the impact for other relevant groups as appropriate e.g. Asylums and Refugees; Looked after Children / Care Leavers; Homelessness]	
Potential impacts:	
Mitigations:	

3.2 Does the proposal create any benefits for people based on their protected or other relevant characteristics?

Outline any potential benefits of the proposal and how they can be maximised. Identify how the proposal will support our Public Sector Equality Duty to:

- ✓ Eliminate unlawful discrimination for a protected group
- ✓ Advance equality of opportunity between people who share a protected characteristic and those who don't
- ✓ Foster good relations between people who share a protected characteristic and those who don't

Women only provision at Easton will be increased to take account of cultural and religious preference.
--

Step 4: Impact

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

What are the main conclusions of this assessment? Use this section to provide an overview of your findings. This summary can be included in decision pathway reports etc.

If you have identified any significant negative impacts which cannot be mitigated, provide a justification showing how the proposal is proportionate, necessary, and appropriate despite this.

Summary of significant negative impacts and how they can be mitigated or justified:
--

Although travel times and costs may increase for some users if alternative management options are not realised, conversations have been undertaken with WECA to ensure that there is sufficient public transport to alternative facilities.

Supply and Demand analysis on the local provision of pool water space and sports hall provision has been undertaken with several variables both now and including future planned provision and this had indicated that there is sufficient pool water space and sports hall provision across the city and is accessible.

Summary of positive impacts / opportunities to promote the Public Sector Equality Duty:

Through the public consultation, we hope to engage those groups who are not currently users of the council's leisure facilities and, with the greater understanding provided by the public consultation, inform and shape the procurement strategy for the upcoming re-procurement and provision of leisure services in Bristol. We can then update the EqIA once the community, users of these facilities and stakeholders have had a chance to comment. Each leisure sites will have a detailed EqIA and will include information on groups who use the facilities , and will be used to detail the consultation feedback.

4.2 Action Plan

Use this section to set out any actions you have identified to improve data, mitigate issues, or maximise opportunities etc. If an action is to meet the needs of a particular protected group please specify this.

Improvement / action required	Responsible Officer	Timescale
Separate EqIA for each site with details of user demographic	Guy Fishbourne	ASAP
Consultation feedback should be used to update the separate EqIA's	Guy Fishbourne	3 months

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

How will you know if you have been successful? Once the activity has been implemented this equality impact assessment should be periodically reviewed to make sure your changes have been effective your approach is still appropriate.

We will closely monitor the leisure contract and will keep the demographic and equalities information collected by the leisure operator under review.
We will use the information from the public consultation to inform the service specification for the new contract

Step 5: Review

The Equality and Inclusion Team need at least five working days to comment and feedback on your EqIA. EqIAs should only be marked as reviewed when they provide sufficient information for decision-makers on the equalities impact of the proposal. Please seek feedback and review from the Equality and Inclusion Team before requesting sign off from your Director¹.

Equality and Inclusion Team Review: Reviewed by the Equality and Inclusion Team	Director Sign-Off:  Christina Gray, Director for Communities and Public Health
Date: 1 September 2021	Date: 1 September 2021

¹ Review by the Equality and Inclusion Team confirms there is sufficient analysis for decision makers to consider the likely equality impacts at this stage. This is not an endorsement or approval of the proposal.

Decision Pathway – Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 14 September 2021

TITLE	End User Compute and Deployment Services		
Ward(s)	None		
Author: Simon Oliver	Job title: Director – Digital Transformation		
Cabinet lead: Cllr Craig Cheney	Executive Director lead: Mike Jackson		
Proposal origin: BCC Staff			
Decision maker: Cabinet Member Decision forum: Cabinet			
Purpose of Report: This report identifies the requirement to obtain approval for additional funding on existing contract End User Compute and Deployment Services. <ol style="list-style-type: none"> 1. Approval for additional funding to allow the continued purchase of end-use compute devices to enable IT Services to complete the roll out of these. 2. Cabinet is asked to note the additional 10% uplift permitted by the contract and approve additional funding on the existing contract to the end of April 2022. 			
Evidence Base: <ol style="list-style-type: none"> 1. The terminology, End-User compute, covers all Council-owned IT equipment which is used by staff colleagues, Partners and Members, and includes Workstations, Desktop PCs, Laptops, Tablets and Hybrid devices. 2. In April 2019, Cabinet authorised the award of a 3 year contract to an approved supplier for the purchase of IT hardware up to a value of £5m. A compliant contract was let with XMA for the Procurement, Storage and Deployment of new end user compute devices to a value of £5m, with an allowable 10% uplift. 3. The existing XMA contract spend level was set based on knowledge known at the time of the contract, with a modest contingency. This contract was awarded to the value of £5m. 4. During the COVID pandemic, the number of devices needed within the Council to enable remote working has significantly increased. 5. There has been a need to replace a significant number of additional devices which were unidentified on the legacy IT asset management system. 6. The approach and timescales to deploy have been significantly hampered by the need to deploy in a COVID safe manner. 7. Due to the increased governance and assurance implemented as part of the IT Transformation Programme to address Corporate Risks, including Information (Cyber) Security risks, delays have been incurred as the IT Transformation Programme has addressed considerable legacy IT issues (mainly outdated, unsupported and/or high security risk Applications procured and managed by individual Service Areas) which have had to be addressed as they have been uncovered. 8. The 10% uplift allowed of £0.5m on the XMA contract has been requested and will be fully utilised. 9. The asset management system has now been replaced as part of the IT Transformation Programme and is being kept up to date. 10. Cabinet is asked to approve an increase in the value of the XMA contract of up to £363,000 to cover all the remaining laptop/desktop requirements, alongside appropriate continued contingency is requests. 			
Cabinet Member / Officer Recommendations:			

That Cabinet:

1. Approve the utilisation of a 10% uplift on the current XMA contract at a cost of £0.5m.
2. Approve the additional funding required for the XMA contract as outlined in this report, at a cost of up to £363,000 until contract end date of April 2022.
3. Authorise the Executive Director Resources in consultation with the Cabinet Member/Deputy Mayor - Finance, Governance and Performance to take all steps required to incur the additional spending as outlined in this report.

Corporate Strategy alignment:

IT Strategy is a core component of this, particularly contributing to two of the four Organisational Priorities outlined in the Corporate Strategy:

- Redesign the council to work effectively as a smaller organisation
- Equip our colleagues to be as productive and efficient as possible

IT underpins all the council's work and, with a strategy that encompasses the council's outward-facing approach to digital, directly contributes to the Key Commitment of 'Make progress towards being the UK's best digitally connected city'.

City Benefits:

Continued efficiencies and improvements in service delivery by ensuring Council staff have appropriate, modern and fully supported IT equipment that is capable of delivering future innovation.

Consultation Details:

Not Applicable

Background Documents:

Cabinet Approval document April 2019

<https://democracy.bristol.gov.uk/documents/g3102/decisions%2002nd-Apr-2019%2016.00%20Cabinet.pdf?T=2>

Revenue Cost	£	Source of Revenue Funding)
Capital Cost	£363,000	Source of Capital Funding	ICT Capital Refresh budget
One off cost <input checked="" type="checkbox"/>	Ongoing cost <input type="checkbox"/>	Saving Proposal <input type="checkbox"/>	Income generation proposal <input type="checkbox"/>

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

1. Finance Advice: This report requests seeks approval for additional funding of £0.363m to allow the continued purchase of end-use computer devices to enable IT Services to complete the roll out and to note the additional 10% uplift permitted by the contract and approve additional funding on the existing contract to the end of April 2022.

There are no savings attached to this report, rather a request to utilise existing capital funds.

The current contract was awarded to the value of £5,000,000 with an allowable 10% uplift of £0.50m which has been requested. As identified in this paper a further £0.363m is sought to the contract end date of April 2022, taking the total value of this contract to £5,862,000 over the 3-year contract period. The purchase of the additional devices will be contained within the capital budget: ICT Refresh – Laptop / Desktop Upgrades (currently £3.18m of funding available and £1.024m cost is being forecast for the 2021/22 financial year in relation to new laptops). Any add-on's / specialisms will be charged to the individual service area requesting them.

Finance Business Partner: Bev Winter Senior Finance Business Partner -Strategic and Financial Management 27th August 2021

2. Legal Advice: The request for additional funding does not raise any specific legal implications. Legal Services will advise and assist in relation to any contractual arrangements related to additional spend.

Legal Team Leader: Husinara Jones, Team Leader/Solicitor 27 August 2021

3. Implications on IT: This contract is essential to ensure remaining colleagues with IT equipment needs get their equipment through a compliant contract. I am fully supportive.

IT Team Leader: Simon Oliver, Director – Digital Transformation, 14th July 2021		
4. HR Advice: It is critical that all colleagues have secure, up-to-date technology to deliver their duties		
HR Partner: James Brereton (HR Business Partner), 16 th July 2021		
EDM Sign-off	Resources EDM	21 st July 2021
Cabinet Member sign-off	Cllr Craig Cheney	6 th September 2021
For Key Decisions - Mayor's Office sign-off	Mayor's Office	16 th August 2021

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
Appendix L – Procurement	NO

Decision Pathway – Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 14 September 2021

TITLE	Microsoft Dynamics Agreement – Direct Award		
Ward(s)	None		
Author: Simon Oliver	Job title: Director – Digital Transformation		
Cabinet lead: Cllr Craig Cheney	Executive Director lead: Mike Jackson		
Proposal origin: BCC Staff			
Decision maker: Cabinet Member Decision forum: Cabinet			
Purpose of Report: This report identifies the requirement to direct award a 5-year contract for Microsoft Dynamics which is used primarily as the new Customer Relationship Management Tool in the Citizen Services Centre (CSC).			
Evidence Base: <ol style="list-style-type: none"> 1. Microsoft Dynamics 365CE is the Council’s Customer Relationship Management (CRM) system, implemented via the IT Transformation Programme. 2. It is widely used within the Citizen Service Centre by agents and is a long-term strategic platform for all customer-centric activity, online access to services, single view of citizen interactions via the Data Lake, as well as delivering an opportunity to improve other functions such as field services in the future. 3. The Microsoft Dynamics licensing was procured against an existing contract in place for Microsoft licenses, but not intended to be used for Dynamics. 4. As a result, the existing Microsoft Licensing Agreement (MS DTA) does not currently cover the Dynamics contract license spend. 5. In addition, Cabinet approval has not been formally sought for the Dynamics licensing spend. 6. Cabinet is therefore asked to note the spend incurred against the IT Transformation Programme and IT Base Budgets of £0.655m from 1st June 2019 until 31st August 2021 7. Cabinet is further asked to approve the remaining period of the 5-year contract at a cost of £0.938m until 31st May 2024. 8. The total spend on Dynamics licensing being £1.658m from 1st June 2019 to 31st May 2024. 			
Cabinet Member / Officer Recommendations: That Cabinet: <ol style="list-style-type: none"> 1. Approve the remaining period of the 5-year contract until 31st May 2024 through Bytes Software Services at a cost of £0.938m. 2. Note the spend of £0.655m from 1st June 2019 to 31st August 2021. 3. Authorise the Director – Digital Transformation in consultation with the Deputy Mayor – Finance, Governance & Performance to take all steps necessary to incur the spend in relation to this contract as outlined in this report. 			
Corporate Strategy alignment: Equip our colleagues to be as productive and efficient as possible			
City Benefits: Improved access to Council Services via Online Channels, and better Customer Service across all channels.			
Consultation Details:			

Not applicable

Background Documents:
 This used the cabinet approval for Microsoft from 2018
<https://democracy.bristol.gov.uk/ieListDocuments.aspx?CId=135&MID=3091>

Revenue Cost	£1,311,000	Source of Revenue Funding	Digital Transformation Division IT General Fund
Capital Cost	£327,000	Source of Capital Funding	One off capital receipts
One off cost <input type="checkbox"/>		Ongoing cost <input checked="" type="checkbox"/>	
		Saving Proposal <input type="checkbox"/>	Income generation proposal <input type="checkbox"/>

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

1. Finance Advice:
 This report identifies the requirement to direct award a contract for Microsoft Dynamics software for a 5-year contract through Microsoft Reseller Bytes to 31 May 2024. The report is seeking Cabinet approval to let a total contract of £1.658M to cover the remaining license period £0.938M, and retrospectively approve historic spend £0.655M. There are no savings attached to this report, rather a retrospective request to utilise capital request to utilise existing capital funds.

Year 1 £327,000 was funded by the IT Transformation Programme, with years 2 to 5 at £1.311M being funded from the IT General Fund budget with the cost for the current financial year forecast as a commitment.

The appropriate approval for the agreement seems to have avoided being alerted to both IT and Procurement services due to an incorrect contract reference being used to raise PO's and pay subsequent invoices. This would also be deemed as a breach of the financial rules and the S151 Officer will be notified of this breach.

Finance Business Partner: Senior finance Business Partner -Strategic and Financial Management 2/02/2021

2. Legal Advice: Legal services will advise and assist officers with regards to the contractual arrangements.

Legal Team Leader: Husinara Jones, Team Leader/Solicitor 29 July 2021

3. Implications on IT: The Dynamics CRM platform, which underpins our Transformation of Citizen Services and related channel strategy, plus supports the wider Digital Transformation approach (including Data & Insights Strategy) is a key strategic platform and this recommendation enables continued usage to be ensured.

IT Team Leader: Simon Oliver, Director – Digital Transformation, 16th July 2021

4. HR Advice: No HR implications evident

HR Partner: James Brereton (HR Business Partner), 16th July 2021

EDM Sign-off	Resources EDM	21 st July 2021
Cabinet Member sign-off	Cllr Craig Cheney	6 th September 2021
For Key Decisions - Mayor's Office sign-off	Mayor's Office	16 th August 2021

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
Appendix L – Procurement	NO

Equality Impact Assessment [version 2.9]



Title: Microsoft Dynamics – Direct Award	
<input type="checkbox"/> Policy <input type="checkbox"/> Strategy <input type="checkbox"/> Function <input checked="" type="checkbox"/> Service <input type="checkbox"/> Other [please state]	<input type="checkbox"/> New <input checked="" type="checkbox"/> Already exists / review <input type="checkbox"/> Changing
Directorate: Resources	Lead Officer name: Simon Oliver
Service Area: Digital Transformation	Lead Officer role: Director – Digital Transformation

Step 1: What do we want to do?

The purpose of an Equality Impact Assessment is to assist decision makers in understanding the impact of proposals as part of their duties under the Equality Act 2010. Detailed guidance to support completion can be found here [Equality Impact Assessments \(EqIA\) \(sharepoint.com\)](https://sharepoint.com).

This assessment should be started at the beginning of the process by someone with a good knowledge of the proposal and service area, and sufficient influence over the proposal. It is good practice to take a team approach to completing the equality impact assessment. Please contact the [Equality and Inclusion Team](#) early for advice and feedback.

1.1 What are the aims and objectives/purpose of this proposal?

Briefly explain the purpose of the proposal and why it is needed. Describe who it is aimed at and the intended aims / outcomes. Where known also summarise the key actions you plan to undertake. Please use plain English, avoiding jargon and acronyms. Equality Impact Assessments are viewed by a wide range of people including decision-makers and the wider public.

<p>To integrate the Citizen Service Customer Relationship (CRM) systems with Microsoft Dynamics. This system will be used by staff at the Customer Services Centre and Citizen Service Point. Microsoft Dynamics software is needed to ensure that Bristol City Council staff can access customer records from one place as opposed to numerous databases. The system will allow for at last count 697,793 enquires from service users to have their records accessed efficiently by customer service advisors at first point of contact.</p> <p>Without this system customer service advisors will continue to work in silos to access records. This integration is part of the wider Digital Transformation Programme but requires sign off as it was missed from the previous budget, Equality Impact Assessment, and roll out.</p> <p>Purchasing this system will enable the current 187 strong customer service workforce to access data, this change will not affect service users.</p> <p>It will cost £327,000 per year to purchase Microsoft Dynamics.</p>

1.2 Who will the proposal have the potential to affect?

<input checked="" type="checkbox"/> Bristol City Council workforce	<input checked="" type="checkbox"/> Service users	<input type="checkbox"/> The wider community
<input type="checkbox"/> Commissioned services	<input type="checkbox"/> City partners / Stakeholder organisations	
Additional comments:		

1.3 Will the proposal have an equality impact?

Could the proposal affect access levels of representation or participation in a service, or does it have the potential to change e.g. quality of life: health, education, or standard of living etc.?

If 'No' explain why you are sure there will be no equality impact, then skip steps 2-4 and request review by Equality and Inclusion Team.

If 'Yes' complete the rest of this assessment, or if you plan to complete the assessment at a later stage please state this clearly here and request review by the Equality and Inclusion Team.

Yes No [please select]

The MS Dynamics system is used at the Customer Services Centre (CSC) and Citizen Service Point (CSP). The CRM system stores Contacts (i.e., Citizens contact information not Business contact). It also stores Voice activities, email activities as well as what is referred to as Dynamics 365 CE Case record. The Dynamics 365 CE case record is really the customer transaction footprint i.e., it contains just the details of the customers transaction and not the specific case details which would be stored in a specific business system.

A D365 CE Portal for Citizen Services has also been deployed. This portal contains the public facing Waste forms, as deployed through IT Transformation Programme's engagement through Microsoft and Hitachi.

Those public facing forms integrate via Azure Integration Services to Bristol Waste Alloy (Waste Asset and Case management system).

The contact information is extracted into Dynamic Access Provider (DAP) and matched using the CIVICA (name of company) Master Data Management (MDM) tool to create a citizen view for customer service advisors.

It should also be noted that contacts are created either by direct telephone communication to a CSC operative, creating the contacts manually (e.g., in the CSP) or by Citizens supplying their contact information online using Azure AD (Database infrastructure) B2C integrated to D365 CE contact. This change has no impact for service users.

This has been in use for over a year within the CSC and CSP with no reported issues with the various Assistive Technology products used by disabled staff. We do not perceive there to be an impact on staff or service users, and we will put measures in place to ensure that roll out will not adversely affect the disabled workforce.

Before rolling out the new software we will undertake user testing with the disabled employees who use the software to iron out any issues they may unexpectedly experience, focusing on assistive technology. 10.7% of the BCC workforce have declared they have disability, and a potential 18.7 % who have said they would prefer not to say or is unknown. Training will be undertaken for those who request or need to be trained.

This is an existing agreement with no known issues reported to IT Services.

Step 5: Review

The Equality and Inclusion Team need at least five working days to comment and feedback on your EqIA. EqIAs should only be marked as reviewed when they provide sufficient information for decision-makers on the equalities

impact of the proposal. Please seek feedback and review from the Equality and Inclusion Team before requesting sign off from your Director¹.

Equality and Inclusion Team Review: <i>Reviewed by Equality and Inclusion Team</i>	Director Sign-Off:
Date: 13/8/2021	Date:

¹ Review by the Equality and Inclusion Team confirms there is sufficient analysis for decision makers to consider the likely equality impacts at this stage. This is not an endorsement or approval of the proposal.

Decision Pathway – Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 14 September 2021

TITLE	Digital Transformation Programme (DTP)	
Ward(s)	None	
Author: Simon Oliver	Job title: Director, Digital Transformation	
Cabinet lead: Cllr Craig Cheney	Executive Director lead: Mike Jackson	
Proposal origin: BCC Staff		
Decision maker: Cabinet Member		
Decision forum: Cabinet		
Purpose of Report:		
<ol style="list-style-type: none"> 1. To seek Cabinet approval for the proposed Digital Transformation Programme approach. 2. To provide cabinet with an overview of the proposed Digital Transformation Programme and the necessary expenditure to conclude the IT Transformation Programme (ITTP) and to progress with a new Digital Transformation Programme that will include completing work to address legacy issues with the Council’s telephony provision and website. 3. To provide Cabinet with an overview of the proposed spend from the Digital Transformation Reserve in the 2021/22 financial year. 		
Evidence Base:		
<ol style="list-style-type: none"> 1. Digital Transformation will change the way the council approaches the delivery of services to citizens by enabling the council service areas to develop an innovation culture that uses modern technology and approaches to meet the need of Bristol citizens. 2. This report sets out the work is required in order to progress with the Digital Transformation Programme. 3. The DTP will fundamentally change how the council operates. By using new technologies, changes can be made in a ‘fail fast’ or ‘win quick’ approach; enabling an iterative and innovative mindset to change service delivery – building on what is successful and quickly adapting where improvements can be made. 4. Funds of up to £3.7m were made available for Digital Transformation activity through the creation of a Digital Transformation reserve. 5. The potential scale of savings from the DTP, based on the initial analysis undertaken by the Strategic Partner, are £1.3m pa (core IT budget) and £4m pa respectively (third party spend). However, further due diligence work is now required in order to provide greater assurance regarding their deliverability. This work will be carried out through the development of Full Business Case, as set out elsewhere in this report. 6. In order to progress with the Digital Transformation Programme several projects need to be undertaken. Table 1 sets the indicative costs for this programme below. 		
Table One: Digital Transformation Indicative costs:		
	2021/22	2022/23
	£	£

Business Case and Strategy Development To Date (Committed)	94,000	
Data & Insights Development (Committed via OED)	330,130	
Adoption & Change (Committed))	273,139	
ITTP Remedial / Residual Resourcing (Committed)	481,206	63,932
Project Tooling, Programme Delivery and Further Development	618,022	202,674
Website Re-Platform	131,000	
External Partner: Discovery & Development	300,150	
External Partner: Telephony & Contact Centre	570,000	
Total new/ chargeable costs:	2,797,647	266,606
Optimism bias adjustment / contingency (20%)	559,529	53,321
Totals	3,357,176	319,927
		3,677,103

7. The Digital Transformation Programme is the next step following the completion of the Council's IT Transformation Programme (ITTP) in March 2021. In order to progress with the DTP, work continued post-ITTP closure on three workstreams alongside continued delivery of an Adoption & Change Management function, and for which resourcing cost has been covered from IT Base Budgets to date. Total cost, including contingency, pertaining to this work is c£1.491m.
8. The following three delivery workstreams will continue past the ITTP-closure date of 31st March 2021 and that will be included in this scope of work:
 - I. Windows 10: The completion of replacing/packaging software applications to enable colleagues to receive new Windows 10 devices. This includes the procurement and allocation of Windows 10 devices. It should be noted that delays have been experienced due to COVID, changes in organisational usage and the number of legacy applications which are not Windows 10 compatible.
 - II. Sharepoint Migration: The completion of movement of corporate data from network drives (on-premis hardware) into cloud-based storage to improve resilience and information management. This work is anticipated to go beyond the current 2021/22 financial year, as stated in the financial overview. It should be noted that delays have been experienced due to operational risks in relation to moving the data, and re-assigning access rights and retention policies.
 - III. MIM/AD: The Council's 'Active Directory' of active IT users is partially out of date, and we need to ensure it is updated, and then kept up to date via a data exchange with the Council's HR system. When users leave, or change roles, there permissions are updated accordingly. This replaces current manual processes. Delays have been experienced due to prioritisation of work within IT and HR teams and the delivery of the HR & Worker Index.
9. The work streams outlined above will help prepare the ground for the Digital Transformation Programme alongside other high priority activity including the replacement and development of the council's telephony systems and the re-platforming the council's website.
10. The council's current telephony technology is aging and unable to integrate with new technology the council has invested in such as Teams Calling and MS Cloud Telephony. New technology will better enable a 'hybrid' working approach with council officers being able to participate in conference calls and online meetings with a good user experience regardless of their location or equipment.
11. In particular this work stream will focus on the Contact Centre (CSC) phone system which increasingly unreliable and suffers from outages and does not meet the needs of future channel-shift strategy.
12. In addition to this, a project will be delivered to 're-platform' the council's website to address reliability issues. Currently, citizen-facing online forms are using aging technology which is expensive and is time-consuming to maintain. At present residents need several different user accounts to interact with different council services via its website. The replacement will support citizen-facing functionality and enable a single user account per resident.

13. Replacing the front-end of the website with a capable but low cost, open-source Content Management System (CMS) will achieve rapid improvements to the look and feel of the website, and our ability to review and rationalise content. The current website functionality is delivered via several third-party add-ins and custom-built applications. The project would replace these with functionality built upon, and supportable through, our standard platforms based on Microsoft. Not undertaking this work would result in an increasingly unreliable and insecure website, an increase in customer dissatisfaction, as well as an increase in support/maintenance time and costs.
14. The council has committed to funding the development of Business Cases and Financial profiles to support the scope of work within this proposal, via external consultant resource. In addition, to provide expert advice regarding potential remedial activity within the Customer Services, external consult resource has been procured.
15. To effectively deliver the proposed work within 2021/22, as well as build the wider proposal for the Digital Transformation Programme 2022/23 onwards, an effective delivery team will need to be established.
16. Each project within the Digital Transformation Programme will be subject to a Full Business Case which will be assessed by the Council's Digital Transformation Board and approved by Executive Director for Resources in consultation with the Cabinet Member for Finance, Governance and Performance.
17. The scale of resource has been anticipated at the highest level, and actual spend will be determined by the project documentation presented to the Digital Transformation Governance Board.
18. The Digital Transformation Governance Board will ensure that all projects that fall within the Digital Transformation Programme are supported by Full Business Cases that have clearly defined outcomes and benefits, alongside known costs. All investments will deliver a quantifiable positive impact ensuring the reasoning for the project is understood and agreed. This will be assured using the processes and governance stated by Change Services colleagues, and only with approval from the Executive Director for Resources with the Digital Transformation Governance Board.
19. As part of the Governance and Assurance of this scope of works, alongside the need for some of the activities herein, this work and wider Digital Transformation Programme will fully adhere to the commitments made within the ITTP Audit Report.
20. Terms of reference of the Digital Transformation Board can be found in appendix A. All project delivery including EqIA assessments, Business Case and Financial Planning, Benefits Realisation will be overseen by the Digital Transformation Governance Board with representation from Internal Audit, Finance and Change Services colleagues in attendance providing full assurance against corporate standards and decision pathways. Projects will only progress once they have been subject to a Full Business Case that has been approved by the Executive Director for Resources in consultation with the Cabinet Member for Finance, Governance and Performance.

Cabinet Member / Officer Recommendations:

That Cabinet:

1. Approve the series of works outlined in the report to enable the Digital Transformation Programme to progress.
2. Authorises the use of Digital Transformation Programme allocated reserve of up to £3.7m to deliver Digital Transformation activity identified in table 1 in the 2021/22 and 2022/23 financial years. financial year.
3. Authorise Executive Director for Resources in consultation with the Digital Transformation Governance Board to oversee the Digital Transformation Programme in accordance to the Terms of Terms of Reference in appendix A.
4. Authorise the Executive Director for Resources in consultation with the Cabinet Member for Finance, Governance and Performance and Director for Digital to take all steps necessary, including entering into necessary agreements and procuring and awarding any relevant contracts, including those which meet the Council's key decision threshold, to deliver the Programme as agreed in recommendation 2.
5. Note that all decisions which are taken which meet the Council's Key Decision threshold will be reported to Cabinet for information.

Corporate Strategy alignment:

1. Continue the delivery of IT Solutions that underpin the way we work as a Council, and collaborate with Partners

2. Continue to reduce costs through decommissioning legacy applications and hardware which have an ongoing cost or maintenance burden
3. Continue to drive Digital Skills within the organisation through Adoption and Change Management approach

City Benefits:

1. As the leading Smart City in the UK Bristol citizens and users of our services rightly expect a digital experience comparable to other areas of their lives. For many people accessing services online, outside of office hours is often the only way to get things done in today’s busy world. This doesn’t mean that those citizens who can’t or don’t want to access services online should be left behind, quite the opposite. Excellence in digital service delivery frees up staff to be able to spend more time answering phones and conducting face to face meetings in order to support people more effectively.
2. As described in our Corporate Strategy the way in which the council will interact with its citizens will need to change, delivering quicker and better outcomes, helping the council to be more efficient whilst making things easier for citizens.
3. Our digital ambitions have a critical part to play in achieving the future vision of a council that encourages inclusion, independence and enablement of all its citizens.
4. Our digital implementation plans over the next five years are carefully designed to achieve the right balance of minimising operations cost whilst maximising the quality and effectiveness of our services.

Consultation Details: N/A

Background Documents:

1. IT & Digital Strategy 2018-2023
2. ITTP Audit Committee Report – July 2021
3. Digital Transformation Governance Board – Terms of Reference (appendix A)

Revenue Cost	Up to £3.7ml	Source of Revenue Funding	Digital Transformation Reserve
Capital Cost		Source of Capital Funding	
One off cost <input checked="" type="checkbox"/>	Ongoing cost <input type="checkbox"/>	Saving Proposal <input type="checkbox"/>	Income generation proposal <input type="checkbox"/>

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

Finance Advice:

This report:

- Seeks approval for the proposed Digital Transformation Programme approach.
- To provide cabinet with an overview of the proposed Digital Transformation Programme and the necessary expenditure to conclude the IT Transformation Programme (ITTP) and to progress with a new Digital Transformation Programme that will include completing work to address legacy issues with the Council’s telephony provision and website.
- To provide Cabinet with an overview of the proposed spend from the Digital Transformation Reserve in the 2021/22 financial year.

Table one of this report sets out the overall cost and indicative projects costs of £3.357m including a 20% contingency for the 2021/22 financial year and £0.320m including a 20% contingency for those projects spanning into 2022/23 the financial year. The total indicative cost is £3.68m inclusive of a £0.613m contingency (20%) which can be funded from the Digital Transformation reserve of £3.7m.

Costs for the individual projects within the programme are indicative, as paragraph 15 sets out the scale of resource has been anticipated at the highest level, and actual spend will be determined by the project documentation presented to the Digital Transformation Governance Board.

A clear governance process is set out whereby the Digital Transformation Governance Board will ensure that all individual projects that fall within the Digital Transformation Programme are supported by Full Business Cases that have clearly defined outcomes and benefits, alongside known costs.

Projects will only progress once they have been subject to a Full Business Case that has been approved by the Executive Director for Resources in consultation with the Cabinet Member for Finance, Governance and Performance.

There no financial savings identified relating to this specific report request, if there are any these will be identified in the individual project Final Business Cases presented to and signed off at the Digital Transformation Governance Board.

The wider Digital Transformation Programme will also fully adhere to the commitments made within the ITTP Audit Report.

Finance Business Partner: Bev Winter, Senior Finance Business Partner -Strategic and Financial Management.
1/09/2021

2. Legal Advice: The procurement process related to delivering the Digital Transformation Programme 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. It is noted that some contracts may exceed the key decision threshold and authority is being sought for the Executive Director in these circumstances.

Legal Team Leader: Husinara Jones, Team Leader/Solicitor 6 September 2021

3. Implications on IT: The scope of works proposed will put the Council in a good place to determine the scope, costs and savings achievable from a full Digital Transformation Programme undertaken from 2022/23 onwards. Several risks pertaining to IT base budgets and completing remedial/residual works will be mitigated. This utilises allocated funding in an appropriate and assured manner, via the Digital Transformation Governance Board.

IT Team Leader: Simon Oliver. 23 August 2021.

4. HR Advice: This proposed investment should be used to offer development opportunities to current staff, bolstered as necessary by specialist external input. Actions relating to budget pressures will be taken in line with the Council's Managing Change Policy.

HR Partner: James Brereton (HR Business Partner), 6th September 2021

EDM Sign-off	Mike Jackson	6 th September 2021
Cabinet Member sign-off	Cllr Craig Cheney	6 th September 2021
For Key Decisions - Mayor's Office sign-off		6 th September 2021

Appendix A – Further essential background / detail on the proposal Terms of Reference for Digital Transformation Governance Board.	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
Appendix L – Procurement	NO

DIGITAL TRANSFORMATION GOVERNANCE BOARD

Terms of Reference

PURPOSE: To create a single oversight and governance function for all digital initiatives across the council, with partners and council-owned companies.

- To ensure a Digital Transformation Strategy is in place and regularly refreshed.
- To drive and promote the benefits of a holistic approach to digital transformation and business change.
- To embed the Digital Strategy in everyday practice and ensure appropriate advice is sought and acted upon when initiating change projects.
- To ensure the planning and delivery of One City objectives related to Digital Inclusion and/or Connected City ambitions.
- To prioritise council resources and allocated budgets in relation to the Digital Transformation Programme.
- To act as an arbiter if service area approaches are not aligned to the Digital Transformation Strategy.

1. Governance Board Purpose

The Digital Transformation Governance Board is responsible for setting the direction for and exploit the benefits of the use of technology through approved corporate software platforms and technical approaches for the council.

In the context of this Governance Board, the Digital Transformation remit will cover:

1. IT and Digital Transformation projects
2. Business change requiring IT systems/networks
3. Technology-led innovation and technology proof of concepts
4. In-home technology and technology enabled care initiatives
5. Digital inclusion initiatives
6. Digital Place/Smart City projects utilising new technology and systems
7. Utilisation of corporate networks and infrastructure
8. Provision of professional services utilising council network and systems
9. Governance of corporate platforms and appropriate usage and configuration

The Governance Board will cover all activities performed by, or on behalf of the council, via internal change projects/programmes, partners, suppliers, and council-owned companies.

Where there is lack of consensus the final decision will rest with the Chair.

2. Governance Board Accountabilities

The Digital Transformation Governance Board accountabilities cover two distinct areas:

The Digital Transformation Programme

- Be accountable for the definition and delivery of the Digital Transformation programme and associated business case
- Lead on digital transformation strategy development as part of other associated strategies such as Smart City/Place, Data and Insights, Digital Inclusion, Organisational Transformation, Channel-Shift, Data Management, Commercialisation and partnership/collaborative working
- Act as the decision-making authority on key programme decisions
- Understand and manage the impact of change and provide assurance for operational stability and effectiveness through the programme delivery cycle
- Monitor delivery against programme plan and approve significant changes
- Approve all new projects within the programme and any significant changes to current projects
- Define the risk thresholds for the programme and its constituent projects and ensure risks are actively managed
- Provide visible leadership, direction, and commitment to the programme, promoting the 'one council' narrative as part of the goals and success of the programme
- Provide programme resources
- Ensure the integrity and close monitoring of the benefit realisation plan.
- Approve all key programme and project governance related documents

Proposals and initiatives outside of the Digital Transformation Programme

- To be an advocate for the benefits of a holistic approach to digital transformation and how it aligns with wider council transformation work, such as Common Activities. This approach will help improve the efficiency and effectiveness of our systems which will give citizens a better experience and reduce our costs
- To champion the improvement of service delivery using technology-led innovation and change.
- To promote culture change within the organisation to encourage services to consider digital transformation as part of their change projects.
- Approve and ensure compliance with 'Digital Principles'. Alongside corporate strategies and policies, these will underpin decision making and provide clarity to colleagues on the criteria against which decisions (related to projects, programmes, and procurements) will be reviewed.
- Act as the arbiter of conflict between service area proposals/innovations and the Digital Transformation Strategy
- Act as oversight and arbiter for other governance boards with digital transformation in their scope, such as the Data and Insights Board and the Information Governance Board

- Undertake a holistic view of change projects to determine the appropriate approach to be undertaken to meet the Digital Strategy. This may require a long-term view to be taken and additional costs, or extended timescales for the projects.
- Ensure outputs of other associated governance boards are reflected into the work programme and that consistency of approach is achieved. This will include Data and Insights Board and Information Governance Board

3. Behaviours



All members of the Governance Board and Digital Transformation Programme Team will operate within the organisation's values and behaviours framework.

Within this wider context, the Programme Board will:

- **Demonstrate commitment to the Digital Transformation Programme** by operating as an ambassador for the change across the organisation and partner organisations
- **Take ownership of appropriate risks and actively seek mitigation where possible**
- **Be aware of the bigger picture and how it may affect all projects and programmes** - each Board member is responsible for actively identifying and flagging interdependencies and potential threats, opportunities and issues.
- **Work collaboratively as one team** - respecting what each other brings, listening to everyone's views, collectively sharing both successes and challenges; be committed to creating the necessary environment for success.
- **Operate in an environment of transparency and honesty** – positively recognising the value of a red status flag, asking for and listening to bad news and remaining objective and evidence based.
- **Ensure meetings are structured** – all members committed to delivery and reducing unnecessary bureaucracy, but ensuring necessary information is provided to inform decision making and manage risk. The meetings should follow a standard agenda, have pace and be decisive. Papers need to be provided in advance and on time wherever possible.

4. Governance Approach

Decision Pathway

It is the intention to establish the Digital Transformation Governance Board remit across the current Decision Pathway approach.



Pre-EDM

To include a new requirement that all proposals intended to move to a Directorate's EDM (G&R, People or Resources EDM) on the decision pathway will be triaged by the Architecture Review Board, on behalf of the Governance Board.

Pre-EDM pathways

1. Change Service Projects - Architecture Review Board (via OBC/FBC)

Any projects being taken through a Change Services PMO-managed outline/full business case process should already have hooks into the Architecture Review Board where any concerns or alignment issues to strategy/policy can be raised and addressed. Any concerns will be escalated to the Digital Strategy Owner via email: DTdecisionpathway@Bristol.gov.uk

2. Other projects or initiatives

Any council officer can refer a project or idea to the Digital Strategy Owner at any time via email: DTdecisionpathway@Bristol.gov.uk

Pre-EDM outcomes

All innovations and proposals will be reviewed for alignment with the appropriate Corporate Strategies (to include those pertaining to IT Strategy, Digital Strategy, Information Assurance and Data/Insight Strategy). Any risks or concerns will be discussed with the report's author to agree mitigation/rectification before proceeding to EDM.

This requirement may be accelerated by seeking advice from the councils' Enterprise Architecture function or associated governance processes (Architecture Review Board, Software Approval Board etc) that demonstrates appropriate governance/discussions being undertaken.

The outcome of this triage will be limited to:

- 1. No anticipated impact or need for further review.**

Approved to proceed through the Decision Pathway to a Directorate’s EDM without need for consideration by the Digital Transformation Governance Board prior to EDM/CMB/CLB.

2. Clarifications or concerns raised will require further professional advice and/or mitigations

The proposal will need to be updated with appropriate mitigations/rectifications in place and sent to Digital Strategy Owner for triage before approval to proceed to EDM.

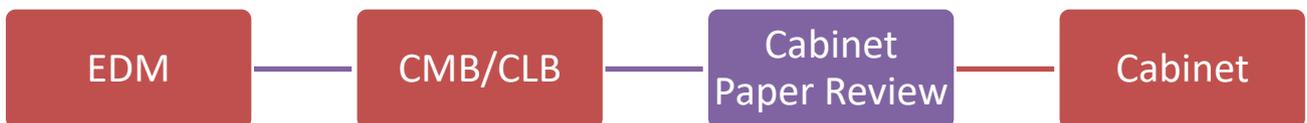
In the event of a disagreement with any requested mitigations/rectifications, the proposal author can ask for this to be reviewed by the Digital Transformation Governance Board at the next available meeting.

3. The proposal will need to be taken to Digital Governance board

There is consideration needed to further explore a potential strategic issue or prioritisation. In most cases, the need to be reviewed by the Digital Transformation Governance Board will be a formality and not necessitate further work.

Digital Transformation Governance Board

The Digital Transformation Governance Board will consider the proposal as part of the Board’s function and decide how the proposal should proceed.

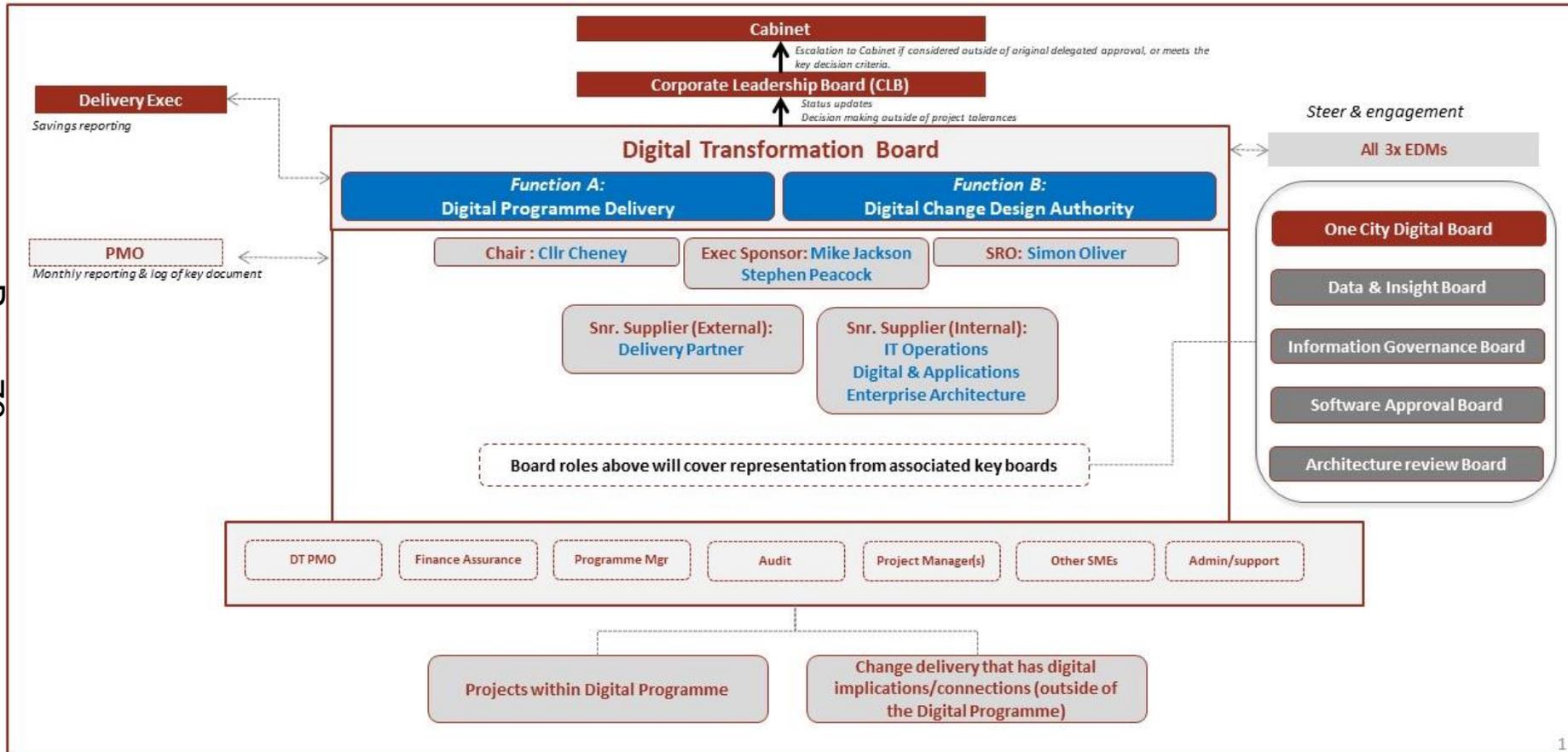


Cabinet Paper Review

The Digital Strategy Owner, on behalf of the Governance Board, will ensure any concerns or requirements set by the Digital Transformation Governance Board have been reflected within the proposal.

If, for any reason, the proposal presented for Cabinet decision has changed from that presented at the pre-EDM stage, or there isn’t reference to the Architecture Review Board, the Digital Strategy Owner may refer the proposal back to the Digital Transformation Governance Board prior to release to Cabinet.

5. Governance Board Structure



6. Format, Membership, Responsibilities and Quorum

Governance Board Membership

Governance Board Core Membership:

- Governance Board Chair – Exec Portfolio Holder for Digital Transformation
- Digital Strategy Owner (Deputy Chair) – Director, Digital Transformation
- Executive Sponsor(s) – Chief Executive
– Executive Director Growth & Regeneration
- Programme Manager – Digital Transformation Programme Manager

Governance Board supporting roles:

- Head of Information Assurance
- Head of Enterprise Architecture
- Lead ICT Business Partner
- Change Services Business Partner (Resources)
- Head of Internal Comms and Organisational Development
- Digital Transformation Programme Finance Lead
- Internal/External Programme Assurance
- Minutes and Administrative Support Officer

Will attend as required (depending upon agenda):

- Head of IT Operational Delivery
- Head of Customer Experience (IT & Citizen Services)
- Head of IT Applications and Digital
- Head of Insight, Performance & Intelligence
- External Delivery Partner(s)
- Directorate Strategy Representative(s)
- Project Manager(s) delivering/scoping projects with a Digital Transformation consideration
- Subject Matter Experts – e.g. Procurement, HR, Legal

Governance Board quorate membership and named delegates

Role	Named delegate	Quorate member	Named Delegate
Chair	Cllr Craig Cheney	The Chair or named delegate must be in attendance for the meeting to be deemed quorate	Digital Strategy Owner
Executive Sponsor(s)	Mike Jackson Stephen Peacock	One of the Executive Sponsors must be in attendance for the meeting to be deemed quorate	None
Digital Strategy Owner	Simon Oliver	The Digital Strategy Owner or named delegate must be in attendance for the meeting to be deemed quorate. If the Digital Strategy Owner is acting as Chair, the DT Programme Manager must act as a named delegate.	Digital Transformation Programme Manager
Digital Transformation Programme Manager	TBC	Ideally the Programme Manager will be in attendance, but this is not required for the meeting to be deemed quorate. The Board should ensure the Programme Manager is fully briefed on all decisions taken.	None

Quorate options;

1. Chair, Executive Sponsor, Digital Strategy Owner
2. Chair, Executive Sponsor, Digital Transformation Programme Manager
3. Executive Sponsor, Digital Strategy Owner, Digital Transformation Programme Manager

Governance Board Supporting Roles and named delegates

Role	Named delegate	Delegation
Head of Information Assurance	Ben Hewkin	N/A
Head of Enterprise Architecture	Iain Godding	Dave Morton
Lead ICT Business Partner	Stephen Harper	N/A
Change Services Business Partner (Resources)	Sian Houdmont	N/A
Digital Transformation Programme Comms/ACM Lead	Steph Griffin	N/A
Digital Transformation Programme Finance Lead	Jemma Prince	Phil Romain
Internal/External Programme Assurance	Alison Mullis	N/A
Directorate Representation	Stephen Beet	N/A
Minutes and Administrative Support Officer	Anne Addison	N/A

Governance Board Role Definitions

Role	Responsibilities
Chair	<ul style="list-style-type: none"> • Chairs the Governance Board • Represents the Mayor and Executive Cabinet, and provides assurance • Provides a steer and recommendations to meet political priorities • Champions the programme at Cabinet • Seeks decisions requiring Cabinet decision or input • Key point of escalation for engagement at a political level to resolve or mitigate issues with a political / citizen impact • Owns the vision for the programme
Digital Strategy Owner / Senior Responsible Owner (SRO)	<ul style="list-style-type: none"> • Acts as the Senior Responsible Owner for the Digital Transformation Programme of Work • Accountable (on behalf of the Cabinet Member and Sponsor) for the delivery of the programme and associated business change • Leads and directs the programme throughout its life • Accountable for achievement of the business case – including securing investment • Owns the programme Business Case • Manages the relationship with key senior stakeholders, keeping them engaged and informed • Chairs programme board • Escalating issues to suppliers on behalf of the board • Accountable (on behalf of the Cabinet Member and Executive Sponsors) for the delivery of the programme and associated business change • Leads and directs the programme throughout its life • Accountable for achievement of the business case – including securing investment • Owns the Digital Transformation Programme business case • Manages relationships with key senior stakeholders, keeping them engaged and informed • Provides professional advice • Represents the Data and Insight Board • Represents the One City Digital Board
Executive Sponsor	<ul style="list-style-type: none"> • Represents the Corporate Leadership Board (CLB) • Champions the programme at Corporate Leadership Board (CLB) • Seeks decisions requiring CLB decision or input • Key point of escalation for engagement at a strategic level to resolve or mitigate issues with strategic partners or internal BCC colleagues • Maintains alignment with organisational strategic direction, resolving strategic and directional conflicts which need the input and agreement of senior stakeholders • Provides a steer and recommendations to meet CLB priorities • Represents the wider council and officers from an organisation and operational perspective • Ensures Governance Board discussions are reflected at CLB when reviewing proposals from the decision pathway • Represents the corporate risk – in terms of where mitigations can be achieved and monitoring of mitigation activity

Role	Responsibilities
Digital Transformation Programme Manager	<ul style="list-style-type: none"> • Responsible (on behalf of the SRO) for planning and designing the Digital Transformation Programme and proactively monitoring its progress, resolving issues, and initiating appropriate corrective action • Define the Digital Transformation Programme's governance arrangements – create and maintain an appropriate delivery methodology and supporting tools/systems to deliver the Digital Transformation Programme to the SRO's expected standards • Ensure effective quality assurance and the overall integrity of the Digital Transformation Programme - focusing inwardly on the internal consistency of the programme, and outwardly on its coherence with infrastructure planning, relationships with other programmes and corporate, technical and specialist standards • Manage the Digital Transformation Programme's budget (on behalf of the SRO), monitoring expenditure and costs against delivered and realised benefits as the programme progresses • Facilitate the appointment of individuals to project teams • Ensure the delivery of new products or services from Digital Transformation Programme projects is to the appropriate level of quality, on time and within budget, in accordance with the Digital Transformation Programme plan and Digital Transformation Programme governance arrangements • Benefit realisation management (financial and non-financial) • Ensure there is allocation of appropriate resources and skills within the Digital Transformation Programme's individual projects • Manage the dependencies and relationships between projects within and outside of the Digital Transformation Programme • Manage risks to the Digital Transformation Programme's successful outcome • Reports the progress of the Digital Transformation Programme at regular intervals to the SRO • Highlight risks to the Digital Transformation Programme which are outside of the programme's remit - either Change Services projects, other major programmes or operational issues
Directorate Representation	<ul style="list-style-type: none"> • Represent any areas of the organisation which do not currently have a presence on the Board or where a Directorate is determined to be underrepresented by the Chair
Head of Information Assurance	<ul style="list-style-type: none"> • Represent and advise the Board in relation to Information Assurance, including Information Management and Information Security • Represents the Information Governance Board
Head of Enterprise Architecture	<ul style="list-style-type: none"> • Responsible (on behalf of the SRO) for the development and maintenance of an up-to-date Digital Transformation Strategy • Responsible (on behalf of the SRO) for the development and maintenance of an up-to-date Digital Transformation Roadmap for the improvement, replacement or addition of key platforms and applications • Reports on the pipeline of work within the Solutions Architecture and Innovation teams • Represents the Software Approval Board • Represents the Architecture Review Board

Role	Responsibilities
Lead ICT Business Partner	<ul style="list-style-type: none"> • Represent the Directorates in terms of ambition and requirements • Act as a conduit for decisions to Directorate EDM/DMTs • Act as an ambassador for the Digital Transformation Strategy • Highlight risks to delivery (operational or strategic) • Provide assurance as a member of project boards (within and external to the Digital Transformation Programme) • Provide professional view and advice in relation to change delivery for the programme
Change Services Business Partner (Resources)	<ul style="list-style-type: none"> • To represent the wider change portfolio being undertaken by the council • To ensure that the performance of the Digital Transformation Programme is correctly reflected within the wider change portfolio updates • Represents the Change Portfolio
Head of Internal Comms and Organisational Development	<ul style="list-style-type: none"> • To represent the ACM team • To advise on all matters relating to Internal Communications and ensure digital transformation is woven into the corporate 'One Council' narrative • To lead on the relationship with the Digital Champions Network • Liaise with External Comms colleagues in relation to case study and PR materials on behalf of suppliers
Head of IT Operational Delivery	<ul style="list-style-type: none"> • To represent Operational IT Teams • To advise on concerns regarding service delivery/handover to service
Head of Customer Experience (IT & Citizen Services)	<ul style="list-style-type: none"> • To represent Citizen Services • To advise on performance issues within IT Teams, identify issues
Head of IT Applications and Digital	<ul style="list-style-type: none"> • To represent the Application, Digital and Data/GIS Teams • To advise on concerns regarding application development/release
Head of Insight, Performance & Intelligence	<ul style="list-style-type: none"> • To represent the IPI Data & Insights Team • To advise on activities within the Data & Insights Board
DT Programme Finance Lead	<ul style="list-style-type: none"> • Provides assurance of current financial forecasting and variance against budgets allocation to the Digital Transformation Programme • Provides advice regarding budget allocation to new initiatives, particularly in the review of Business Cases • Undertakes appropriate review of financial returns against expectations from Invest to Save initiatives • Provides assurance that appropriate financial management is being undertaken by the Digital Transformation Programme and its constituent projects • Represents Delivery Executive
Senior Supplier (external) - Delivery Partner	<ul style="list-style-type: none"> • Champion the programme working in collaboration with the Programme Team • Responsible for the delivery the defined requirements within agreed tolerances without any defects • Resolve conflicts between programme priorities and delivery pressures • Ensure resources are made available when required by the programme

Role	Responsibilities
	<ul style="list-style-type: none"> • Represent the interests of the 'supplier' i.e. those designing, developing, procuring, implementing and possibly those maintaining and operating the products • Advising on the best available solutions for meeting user needs • Ensuring supplier and technical issues are appropriately addressed • Providing advice and resolutions for new risks and issues
Internal/External Assurance	<ul style="list-style-type: none"> • Ensure that the programme is being conducted correctly and that all programme interests (i.e. business, user and supplier) are being equally represented in the programme • Ensure that the Digital Transformation Programme is being conducted correctly and that all programme interests (i.e. business, user and supplier) are being equally represented in the programme • Provide an independent assessment of the Digital Transformation Programme to generate confidence that the programme is being managed effectively and is on track to realise the desired outcomes • Provide assurance in relation to Programme governance arrangements (taking professional advice from the Change Services Business Partner (Resources)) • Act as a critical friend and help identify solutions/improvements for the Board to progress. • Provide an independent escalation point for any concerns raised by any Board member to the Chair, Executive Sponsor, CLB and/or Audit Committee. • Represent Resources Scrutiny and/or Audit Committee
Directorate Strategy Representatives	<ul style="list-style-type: none"> • Represent the strategic requirements of the Directorate • Ensure that the business interests are met by the Digital Transformation Programme • Resolve conflicts between Digital Transformation Programme priorities and directorate requirements • Ensure directorate resources are made available when required by the Digital Transformation Programme • Champion the Digital Transformation Programme within directorate
Project Managers (within, and external to, the DT Programme)	<ul style="list-style-type: none"> • Represent their projects and provide assurance to the Board • Be responsible for project updates • Ensure resource and financial management is in place • Be accountable for project deliverables alignment to the various strategies including IT, Digital, Information Assurance etc.
Subject Matter Experts	<ul style="list-style-type: none"> • Represent their area of expertise and Corporate Policy • Provide expert advice • Highlight where decisions do not meet policy/strategy • Champion changes to policy/strategy where they are incompatible with Digital Transformation Programme (if appropriate)
Minutes and Administrative Support Officer	<ul style="list-style-type: none"> • Ensure the Board is Quorate before commencing meetings • Schedule Digital Transformation Governance Boards • Ensure appropriate invitations are sent for each Board • Log Decisions and Actions agreed at each Board • Manage and distribute the Board agenda

Role	Responsibilities
	<ul style="list-style-type: none"> • Highlight Actions (which have not yet been undertaken) to action owners as agendas are distributed • Ensure Board materials are sent on time to all delegates • Ensure Programme document delivery aligns with Decision Pathway timescale for CLB and Cabinet approval. Manage the forward plan.

7. Programme Board Frequency

The Programme Board meeting will be held **monthly** for two hours, with papers circulated no later than noon two working days prior to the meeting (12pm Tuesday for a Thursday board meeting). Additional Boards can be scheduled by exception by instruction from the Chair, as required.

The Board Agenda will be split into two sections, one relating to the Digital Transformation Programme and the other relating to projects and initiatives outside of the Digital Transformation Programme.

Decision Pathway – Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 14 September 2021

TITLE	2021/22 Period 3 and 4 Finance Report		
Ward(s)	n/a		
Author: Michael Pilcher	Job title: Chief Accountant		
Cabinet lead: Cllr Craig Cheney	Executive Director lead: Denise Murray		
Proposal origin: Other			
Decision maker: Cabinet Member			
Decision forum: Cabinet			
Purpose of Report:			
<p>The Council budget for 2021/22 was agreed by Council in February 2021 and this report provides the update on the Council’s financial performance in June and July and up to the end of Period 4 (end of July) against the approved budget and forecast use of resources for the financial year 2021/22.</p>			
Evidence Base:			
<p>The budget set in February 2021 was balanced over 5 year medium term. The Council operates to 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.</p> <p>Budget holders forecasting a risk of overspend which is not related to the pandemic and potentially recoverable, 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.</p> <p>For 2021/22 full Council agreed the following:</p> <ul style="list-style-type: none"> ○ The General Fund net budget of £424.1m; forecast variation at P4 is £30.7m (£23m in P2) overspend, prior to the application of the COVID-19 funding. <p>The Ring-fenced Accounts</p> <ul style="list-style-type: none"> ○ Housing Revenue Account (HRA) of £106.8m gross expenditure budget forecast overspend of £0.3m P4 (underspend of £1.5m at P2) ○ The Dedicated Schools Grant (DSG) budget, including amounts recouped by the Education and Skills Funding Agency for Academies, is £404.7m (forecast £11.1m in-year deficit at P4 and a total £21.1m carried forward deficit, £20.5 as at P2) ○ The Public Health budget is £33.6m (no forecast variation at P4) <p>Capital Programme</p> <ul style="list-style-type: none"> ○ Capital programme revised budget 2021/22 only is £237.3m for General fund and £110.6m for HRA. (forecast variation at P4 £22.1m underspend on General fund and £23.3m underspend on HRA) <p><u>Core Activity</u></p> <p>We are currently forecasting expecting to breakeven on core services budgets however there is significant risk to delivering this which will need consideration and mitigations to be identified during the year. There is still a high level of savings planned within the current year budget but which hasn’t been delivered, at P04 this still outweighs the</p>			

level of optimism bias applied within budget setting so represents a risk to year end position. Savings have a robust governance process for tracking delivery through Executive Directorate Meetings and Delivery Executive and all savings are expected to be delivered or mitigated by the end of the financial year.

There are also service risks particularly within Adult Social Care, Childrens Social Care and Property services which could result in overspends at the end of the financial year if not mitigated in a timely manner. It is anticipated these will require mitigating action and alternative funding and are currently subject to deep dive reviews which when concluded this month further detail will be brought to Cabinet. Where services have projected risks to exceeding their cash limited budgets the Council have a governance pathway to review these areas and agree action plans for ensuring approved budgets aren't exceeded.

COVID-19

Provision has been made in the budget for additional expenditure and income losses which are anticipated to occur against base budgets but core budgets have not been individually realigned to transparently report and manage the impact of Covid-19 separately from core activities, therefore within reporting Covid impact is shown as an "overspend"

The 2021/22 budget identified £16.965million resource to manage this impact of Covid-19, with a further £8.100 million ringfenced funding from funds received last financial year not yet spent, totalling £25.065 million.

The current indicative forecast indicates a total spend of £35.302million. Of this £4.511million relates to ringfenced grant funding, leaving £30.791million to fund. This total exceeds the £25.065million available so some planned reactive activities may not proceed to ensure costs are contained within available funding.

In addition the Council has £13.596million related to Contain Outbreak management activities not included in the above.

Dedicated Schools Grant

The in-year forecast deficit on the DSG is £11.1m, which when added to the brought forward balance will give a total deficit to carry forward at the end of the year of £21.1m. The main area for concern continues to be the High Needs block which is forecasting an overspend, in-year, of £11.5m. This position has deteriorated by £3.7m since the first iteration of a deficit management plan was presented to Schools Forum on 8 June 2021, this reflects the full year impact of special education needs tops ups agreed during the last financial year.

Housing Revenue Account

The Housing Revenue Account (HRA) is forecasting an overspend of £0.3m, this is a deterioration of £1.8m since Period 2 which reported an underspend of £1.5m. The movement reflects the risk of increases in arrears following economic impact of the pandemic. There are further risks of and the inflationary impact on labour and materials for repairs and construction works on housing stock.

Public Health

Public Health services are forecasting a breakeven position against the in-year grant allocation.

Full detail of revenue and capital spending and forecast is provided in Appendix A and A1 to A6 and Appendix B

City Region Sustainable Transport Settlement

The Council, as part of the West of England Combined authority have an opportunity to submit proposals for a multi-year transport settlement with significant funding available to fund significant investment in transport infrastructure between 2022 and 2027. Due to the short timelines associated with submission delegated approval is sought to submit the initial prospectus which will seek to maximise the allocation for Bristol.

Full detail will subsequently be brought to Full Council for approval for full acceptance of any funding awarded due to the scale of the grant and match funding outside the Cabinet delegated authority. Further detail is available in section

of 5.4.1 of appendix A.

Cabinet Member / Officer Recommendations:

The Cabinet approve,

- the allocation of the Discretionary Award element of the Adult Social Care Infection Control and Testing Fund Ring-Fenced Grant 2021 as set out in Appendix C.

That Cabinet delegate authority to:

- the Executive Director, Growth & Regeneration in consultation with the Mayor, Deputy Mayor and Cabinet Member for Finance, Governance & Performance, the Cabinet Member for Transport and the Director of Finance to submit a regional bid for the City Region Sustainable Transport Settlement for the West of England as set out in section 5.4.7 of Appendix A optimising the allocation of funding for Bristol and bring back to Full Council for approval the full proposal and detail of match funding.

That Cabinet note,

- the indicative impact of £35 million for 21/22 relating to Covid exceeds available resources set in the budget and some areas of planned reactive spend may not proceed.
- The significant risks, of £11.892m within service areas of non COVID-19 related overspend on General fund services at Period 4 and that management actions outlining how this will be managed will be included in the next finance report.
- Forecasts overspend of £0.3m within the Housing Revenue Account.
- A forecast in-year deficit of £11.1m and a total £21.1m carried forward deficit in the ring fenced Dedicated Schools Account (DSG)
- A breakeven position on Public Health services.
- A forecast £45.4m in-year underspend against the approved Capital Programme and a full reprofile will be brought back in the next finance report.
- The cost pressures emerging within the current capital programme particularly relating to delays and inflation caused by national supply issues.

Corporate Strategy alignment:

1. 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:

1. Cross priority report that covers whole of Council's business

Consultation Details: n/a

Background Documents: <https://www.bristol.gov.uk/council-spending-performance/council-budgets>

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

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

1. Finance Advice: The resource and financial implications are set out in the report

Finance Business Partner: Michael Pilcher, Chief Accountant 06 September 2021

2. Legal Advice: The report, including the detail set out in the appendices, will assist Cabinet to monitor the budget position, the ongoing impact of COVID 19 and mitigations put in place, with a view to meeting the Council's legal obligation to deliver a balanced budget.

The submission of a bid for funding does not raise any specific legal implications.

The report also seeks approval for the allocation of the Discretionary Award element of the Adult Social Care

Infection Control and Testing Fund Ring-Fenced Grant. Legal support should be sought to ensure that the grant terms are sufficiently robust.

Legal Team Leader: Nancy Rollason, Head of Legal Services 06 September 2021

3. Implications on IT: There are no IT implications arising from production of this report.

IT Team Leader: Simon Oliver, Director Digital Transformation 06 September 2021

4. HR Advice: No HR implications evident

HR Partner: James Brereton, HR Business Partner 06 September 2021

EDM Sign-off	Mike Jackson	06/09/2021
Cabinet Member sign-off	Councillor Craig Cheney	06/09/2021
For Key Decisions - Mayor's Office sign-off	Mayor's Office	06/09/2021

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

Bristol City Council July 2021 (P03/P04) Revenue Finance Report

1 GENERAL FUND REVENUE SUMMARY POSITION

- 1.1.1 At Period 4 (July), the Council is forecasting an overspend of £30.7m against the approved General Fund budget (£424.4m). The gross impact of COVID is £35.3m which is offset by £4.5m of specific COVID grant funding that has been received in the current financial year. This is set out in Table 1 of this report.
- 1.1.2 The non-Covid position is forecasting a breakeven position. There are, however, significant risks of £11.892 million to delivering a balanced position and also containing cost of Covid impact within funding set out within the allocated funding. The likelihood of these risks materialising and what mitigating actions need putting in place is being reviewed in line with the Council's budget improvement protocol through a series of deep dive meetings before bringing proposals back to Cabinet for approval.
- 1.1.3 An offer of a 1.75% pay award has been put forward to unions. An increase of 1.75% would result in increased costs of £3.2m - this is not reflected in the P4 forecast as it has not yet been agreed. The council have assumed £0.5m in this year's budget and MTFP in line with the Government announcement of a pause on pay increases for 2021/22.
- 1.1.4 Table below provides a summary of the current 2021/22 forecast General Fund position by directorate.

Table 1 General Fund P04 Directorate Level Forecast

SERVICE NET EXPENDITURE SUMMARY	2021/22 - Full Year						
	Approved Budget	Revised Budget	Forecast Outturn	Outturn Variance	Gross COVID Impact	Covid Service Grants/Inco	Non-COVID
	£000s			£000s	£000s		
People							
Adult Social Care	151,448	157,648	165,835	8,188	12,130	(3,942)	(0)
Children and Families Services	65,115	65,091	71,760	6,668	6,581		87
Educational Improvement	11,998	11,928	15,018	3,090	1,140		1,950
Public Health - General Fund	4,753	4,777	5,263	486	1,055	(569)	(0)
Total People	233,315	239,444	257,876	18,432	20,906	(4,511)	2,037
Resources							
Digital Transformation	15,305	14,765	14,980	215	376		(161)
Legal and Democratic Services	8,686	8,396	8,342	(53)	58		(111)
Finance	8,885	8,935	11,848	2,913	3,052		(139)
HR, Workplace & Organisational Design	16,344	16,944	16,878	(65)	162		(227)
Policy, Strategy & Partnerships	3,436	3,835	3,835	0	36		(36)
Total Resources	52,655	52,875	55,884	3,009	3,684	0	(675)
Growth & Regeneration							
Housing & Landlord Services	14,896	14,807	17,151	2,343	2,303		40
Development of Place	1,591	1,533	1,533	0	0		0
Economy of Place	12,436	12,807	13,756	950	1,108		(158)
Management of Place	33,049	33,797	41,098	7,301	7,300		0
Property and Asset Strategy	(7,122)	(7,122)	(7,322)	(0)	0		(0)
Total Growth & Regeneration	54,851	55,822	66,215	10,594	10,711	0	(118)
SERVICE NET EXPENDITURE	340,820	348,140	379,975	32,035	35,302	(4,511)	1,244
Levies	10,118	10,118	10,118	0	0		0
Corporate Expenditure	49,219	42,019	40,660	(1,360)	0		(1,360)
Capital Financing	22,495	22,495	22,496	1	0		1
Corporate Allowances	1,749	1,629	1,629	0	0		0
TOTAL REVENUE NET EXPENDITURE	(0)	(0)	30,476	30,676	35,302	(4,511)	(115)

2 NON-COVID POSITION

2.1.1 A breaking even position is forecast on core service budgets not impacted by the COVID 19 pandemic. There is, however, significant risk to delivering this which will need consideration, further assessment and mitigation to be identified during the year. The net risk to the General Fund budget not included within the forecast is £11.9m which includes £2.7m relating to the pay award (set out in paragraph 1.1.3) as set in Table 2 below with further detail within Directorate appendices.

Table 2: General Fund Net Risks Not Reflected In The Forecast.

NET Risk (Service/Description)	£M
Pay Award	2.700
People	5.807
Growth and Regeneration	2.456
Resources	0.929
Total	11.892

2.1.2 The key areas at risk of overspend are:

People

The Covid pandemic continues to be a challenging situation and there are on-going pressures for the service particularly around 18-64 working age adults with mental health and learning disabilities. There has been a 7% change which is estimated to cost c£3.3m in the Learning Disabilities cohort. Similarly, there has been a 26% change of c£4.2m in the Mental Health cohort and c£0.3m in relation to homelessness costs. The impact of these estimated costs has been mitigated by the reduction in the costs of people aged over 65 estimated at c£1.6m.

Care providers are continuing to experience significant covid related cost pressures estimate to be in the region of c£2m

Children's Social Care – There is significant volatility within placements within children's social care due to the impact of Covid-19 and lockdown. There are also pressures due to lack of supply of placements within the external market, the in-house fostering and placement service are also running at capacity which results in significant risk of increased spend as demand continues to rise. These are being identified as covid-19 related pressure (£6.58m). £0.087m (out of total £6.668m) overspend is projected as non-covid related expenditure, with £0.064m is due to increase in asylum pressures where no recourse to public funds placements – longer duration in service due to delay in other government departments.

Education and Skills – Education general fund budget is currently forecasting £1.95m non-covid related overspend. This is primarily driven by a £1.2m overspend in Accessible City, where the service was required to increase staffing levels in response to an inspection report, contribution from Transformation Project budget is anticipated to alleviate some of this budget pressure. £0.82m non-covid related overspend is also projected in Home to School Transport (HTST, *£1.7m overspend including covid related*) where more children are identified to be eligible for transport and having to travel longer distances due to local capacity constraints. This is a continuation of the trend seen last year, the Service is currently reviewing mitigation options and there is there is £0.5m of corporate funding which can be utilised to partially offset this risk if the mitigation identified is not sufficient.

3 COVID 19 IMPACT

3.1 SUMMARY POSITION

3.1.1 The Council is managing the financial impact of Covid-19 as a one-off shock, over the medium term. The Covid-19 budget identified for 2021/22 is £25.065m, as outlined in the table below:

	£m
Carry forward reserve from 20/21	8.100
Fees and Charges Losses 21/22	7.047
Response Expenditure 21/22	7.420
Hardship Payments	2.498
	25.065

3.1.2 Of this the current forecast on loss of sales, fees and charges is £9.2m, this is in excess of £7.0m provided in the 2021/22 budget and if there is no indication of an improving position alternative funding must be identified. Whilst there is opportunity this may improve this doesn't include any impact for a further lockdown restrictions being put in place. Further due diligence on current income trends is being undertaken to understand the medium term impact and whether there is further losses above those anticipated in the MTFP during 2022/23 and 2023/24 as services and demand takes time to return to pre-covid levels.

3.1.3 The net expenditure forecast of £21.6m is an indicative allocation with formal approvals to commit this spend still subject to decision making, from the available resource identified for 2021/22, which includes £8.1m carried forward from 2020/21 and £9.9m set in the 2021/22 budget. As this indicative forecast exceeds available resource some areas of planned reactive spend may not proceed.

3.1.4 The indicative assumptions below should be noted only. Further analysis is required to the robustness of the assumptions and priority areas of financial support, prior to approval being sought from Cabinet to allocate the Covid-19 funding currently available to the Council.

Table 3: Forecast Variances Due to COVID-19

SERVICE NET EXPENDITURE SUMMARY

	COVID-19 Expenditure	COVID-19 Income	Gross COVID Impact	Covid Service Grants/Inco
£000s				
People				
Adult Social Care	12,130	0	12,130	(3,942)
Children and Families Services	6,581	0	6,581	
Educational Improvement	970	170	1,140	
Public Health - General Fund	1,055	0	1,055	(569)
Total People	20,736	170	20,906	(4,511)
Resources				
Digital Transformation	221	155	376	
Legal and Democratic Services	58	0	58	
Finance	2,199	853	3,052	
HR, Workplace & Organisational Design	0	162	162	
Policy, Strategy & Partnerships	36	0	36	
Total Resources	2,514	1,170	3,684	0
Growth & Regeneration				
Housing & Landlord Services	2,303	0	2,303	
Development of Place	0	0	0	
Economy of Place	106	1,002	1,108	
Management of Place	448	6,852	7,300	
Property and Asset Strategy	0	0	0	
Total Growth & Regeneration	2,857	7,854	10,711	0
SERVICE NET EXPENDITURE	26,107	9,194	35,302	(4,511)

3.1.5 As noted above of the £26.107m expenditure forecast for 2021/22, £4.511m relates to specific ring-fenced grant leaving £21.596m as currently expected to be required in 2021/22 from the total resources available.

3.2 INDICATIVE ADDITIONAL EXPENDITURE

- 3.2.1 Adult Social Care - Reflecting the need to continue to maximise hospital capacity for those being treated for coronavirus and to support the social care sector to help support and deliver this, Adult Social Care has received £3.942m from the government for Quarter 1 2021/22 in relation to Covid-19 grants to fund infection control and rapid testing measures, particularly in relation to care homes. This is passported funding which has been deployed at pace to support care providers with the challenges they face.
- 3.2.2 There is also some increase in staffing needed across the services and costs related to increase due to impact on mental health services across the City.
- 3.2.3 Children's and Families: The division is forecasting £6.58m expenditure pressure due to the impact of Covid-19. Majority of this is in Placement Services where there had been significant increase in the number of children being looked after. This is further

compounded by lack of affordable provision to place them in. Other Covid-19 pressure area includes the Area teams, After Care teams and Specialist Services.

- 3.2.4 Education and Skills: The division are forecasting to overspend by £1.14m with main areas of overspend relates to HTST £0.903m, the risk of overspend of £0.170m in Inclusive City due to loss of income (parent penalty charges) and £0.066m covid-19 related expenditure in Employment, Skills & Learning. Review meetings have been arranged with the service leads to explore mitigation options in HTST.
- 3.2.5 Leisure – £1m of support is needed by leisure facilities to support them due to significant loss of income from closures and social distancing restrictions. £0.6m of this is funded by the National Leisure Recovery Fund grant.
- 3.2.6 Finance (Welfare Support) – Additional £2m spend on increase in Discretionary Housing Payments and Local Crisis Prevention Fund allocated from grant funding to support welfare schemes for 2021/22 as noted in report to Cabinet on 13 April 2021.
- 3.2.7 Housing & Landlord Services – Support is being provided during the pandemic for rough sleeping and this has also resulted in an increased use of temporary accommodation, active mitigations are being put in place to reduce spend as restrictions ease.

3.3 LOSS OF SALES, FEES AND CHARGES INCOME

- 3.3.1 The budget estimated an approximate £9.2m loss of sales, fees and charges income, predominantly from loss of parking income across the city for the financial year. It is expected £1.3m of this would be funded by grant from Government covering a proportion of Council's income losses between April and June during the period of restrictions, no further funding is anticipated.
- 3.3.2 Although losses to date are higher than forecast, income may recover more quickly than previously assumed, forecast losses are currently with forecast losses are currently £2.1m in excess of budgeted losses of £7.0m.
- 3.3.3 The change in profile also means that although overall losses across the year are similar there might be an opportunity Government support is higher than budgeted as the grant support just covers the first quarter of the year.

4 SAVINGS PROGRAMME

- 4.1.1 The savings programme agreed by Council in 2021 included savings totalling £7.4m. In addition, £4.3m of savings were carried forward from prior years which still requires delivery. The total savings delivery target for 2021/22 is £11.7m.
- 4.1.2 Some savings reported at risk have been impacted by the current Covid situation but continue to be monitored and reviewed for delivery or in-year mitigation, where

possible. The approach being taken in monitoring savings delivery and ensuring robustness of delivery plans prior to indicating that savings are safe means that at this early point in the year only £4.8 million of the planned savings are safe, which means there is a risk that the budget position may deteriorate if savings are not delivered, or mitigations not found. The total of £6.9million savings at risk is above the provision made in the budget for delay to savings delivery.

4.1.3 Since the last report Delivery Executive has approved movement of £0.25m out of 21_New03 Centralisation of contract management into 21_NS_04 Third party savings.

4.1.4 Further detail is shown in the directorate appendices.

Table 4 Summary of Savings by Directorate

Directorate	2021/22 Savings £m	2021/22 Savings reported as safe £m	2021/22 Savings reported as at risk	
			£m	%
People	6.11	2.02	4.09	67
Resources & Cross-Cutting	3.49	1.40	2.09	60
Growth and Regeneration	2.14	1.41	0.73	34
Total	11.74	4.83	6.91	59

5 RING-FENCED BUDGETS

5.1 HRA

5.1.1 The HRA forecast as at Period 4 is an overspend of £0.3m, a movement of £1.8m on the reported forecast at Period 2 of a (£1.5m) underspend. The overspend will be met from the HRA general reserve, which will be transferred at the end of the year. The further detail is available within Appendix A4.

5.1.2 Income is broadly forecast in line with budget, however there is an increase in impairment allowance of £1.6million from increased rent arrears, this is broadly offset by underspends within services due to vacancies and other small one-off savings.

5.1.3 The planned capital programme is forecast £23million slippage from initial budget of £111million, primarily due to delays in planned programme and new build works entering delivery and construction phase.

5.2 DSG

5.2.1 The in-year forecast deficit on the DSG is significant at £11.1m, which when added to the brought forward balance (of £10.0m) will give a total deficit to carry forward at

the end of the year of £21.1m as can be seen in the table below. The main area for concern continues to be the High Needs block, which is forecasting an in-year overspend of £10.5m and Early Years SEN overspend of £0.423m offset slightly by an underspend of £0.393m in the Schools block (growth fund).

5.2.2 Within the High Needs Block, top-up funding is still experiencing the biggest pressure, with significant increase from 2020/21, the current forecast is £11.5m over budget. There will be further rounds of top-up applications, due to take place later in the year, the impact of which are, as-yet, unknown. The other area of overspend is £0.541m in Early Year’s block due to pressure in SEND costs.

5.2.3 Summary of DSG grant performance is detailed in the table below:

Summary DSG position 2021/22 Period 4 (all figures in £000s)					
	b/f	Net DSG funding/ budget 2021/22	P4 2021/22 Forecast Outturn	In-year variance at P04	Cumulative c/f
Schools Block	-619	87,256	86,322	-934	-1,553
De-delegation	-553	31	31	0	-553
Schools Central Block	0	2,596	2,596	0	0
Early Years	-621	37,185	37,727	541	-80
High Needs Block	12,609	54,266	65,766	11,500	24,109
HNB Transformation	-812	1,400	1,400	0	-812
Funding		-182,734	-182,734	0	0
Total	10,004	0	11,108	11,108	21,112

5.3 Communities and Public Health

5.3.1 The Public Health England (PHE) grant award for Public Health (PH) ring-fenced grant for 2021/22 is £33.643m. PH also hold general fund budget and other partnership grants of £4.808m which supports domestic abuse and sexual violence, health watch, substance misuse, rough sleeping, drug and alcohol treatment, sports projects, Hengrove and Leisure Centres.

5.3.2 At Period 4, there is no adverse forecast relating to the Public Health ring-fenced budgets. The current forecast overspend on the Communities general fund relates to the potential financial assistance to SLM for Leisure services contract in the sum of £0.981m in 2021/22 as a result of Covid-19 pandemic. This will be mitigated by part funding by the National Leisure Recovery Funding (NLRF) - £0.494m grant and the remaining £0.487m would be covered by unallocated Covid-19 response funding carried forward from 2020/21.

- 5.3.3 In continuation of the Covid-19 support for the communities and public health in 2021/22, as at Period 4, Bristol City Council has received grant funding totalling the sum of £5.034m from government departments which include Test and Trace – Contain Outbreak Management Fund (COMF) £3.709m, Clinically Extremely Vulnerable (CEV) £0.758m, Practical Support for those self - isolating - £0.478m and Project Eagle Surge Testing - £0.089m. All outbreak management funding is committed up to end of March 2023 with COMF grant ring fenced against the plan to ensure the council had sufficient capacity to manage throughout the year. The delivery of the outbreak management plan is reliant on that budget and that posts across the council are in place.
- 5.3.4 Finally, Communities and Public Health have also been successful in securing £1.7m revenue-only funding for 2021/22 from Public Health England (PHE) following approval of its Year 1 delivery plan by the Project ADDER Programme Board. An indicative allocation of up to another £1.7m has also been allocated for Year 2 delivery plan for 2022/23 (making a total of £3.4m over two years). This funding has been awarded for the Project ADDER Accelerator programme. This is a two-year funding scheme in which PHE is working alongside the Home Office to support investment in a whole-system approach to tackling drug use, which includes enforcement, diversion and treatment and recovery interventions. The funding scheme is underpinned by the development of local plans to address drug-related offending and deaths.

5.4 Grants

5.4.1 City Regional Transport Settlement –West of England

- 5.4.2 On 22 July 2021, the Secretary of State for Transport wrote to the Mayor of the West of England (WECA) with details of a proposed City Region Sustainable Transport Settlement for the West of England. The settlement will cover the period from April 2022 until March 2027. Date for initial submission is early September, so delegation is requested to submit the initial submission to Department for Transport subject to full detail of the bid including any match funding to be brought to Full Council for approval.
- 5.4.3 The amount available to the West of England is approximately between £540m and £880m exclusive of local contributions which are expected to be between 15% and 20%. The current capital programme has schemes in development which would be suitable for match funding and further opportunities are being identified to try and maximise allocations to Bristol within the prospectus and regional settlement.

The WECA is required to submit a draft prospectus by 17 September setting out its plans to deliver sustainable transport solutions using the settlement for the 5 year

period. Proposals will be evaluated by DfT based on six criteria: value for money; growth and productivity; levelling up; decarbonisation, especially modal shift to public transport and active travel; local contribution; and deliverability. The proposed settlement includes some existing maintenance funding (including the Integrated Transport Block and highways maintenance funding) and will replace the Transforming Cities Fund. There will be additional funding streams available including existing announced funding for buses and cycling and the Levelling Up Fund.

- 5.4.4 The proposals will include significant investment in bus infrastructure and strategic corridors, walking and cycling including a 5 year programme to link local communities and the transport network, plans to increase capacity in the local rail network, further development of the Mass Transit programme and investment in maintenance. Bristol City Council have been fully involved in these discussions and work including discussions about making additional planned investment available as potential match funding. The prospectus will be formally approved at a West of England board meeting in October.

6 LOCAL TAX INCOME LOSS

6.1 Council Tax

- 6.1.1 Council tax including preceptor's income: Like many councils we set our Council Tax budget for 2021/22 with a 3.99% increase (1.99% for general requirements plus 2% specifically for adult social care). The Council's budgeted income from Council Tax is £236.2m and represents 56% of the net budget requirement (£424.1m).

Council Tax income is currently showing a reduction of £1.7m against the in-year target of 96% collection.

- 6.1.2 In terms of the Council Tax Reduction Scheme , after a significant increase in 2020/21 due to the pandemic, claims are now starting to level off, with a small increase in working age claimants offset with a reduction in pensioner claimants. £0.985m has been set aside for Hardship Fund payments, of which to date £0.594m has been awarded.
- 6.1.3 It is important to note this represents latest modelling however there is significant uncertainty with regard to these estimates as the impact of end of furlough at the end of September and the collection of arrears is unknown at this stage.

6.2 Business Rates

- 6.2.1 The Council's budgeted income is £133.6m in 2021/22 represents 31.5% of the net budget requirement (£424.1m). Over £50m of grants have been awarded this year,

mainly to businesses in the retail, hospitality and leisure sectors. These are in turn funded by Central Government. Following the payment holiday due to the pandemic, many businesses are liable to pay some rates from August 2021, and the ability of these businesses to bounce back after a difficult 18 months is not yet known. Currently missed instalments, including historic debt, is around £8m higher for the time of year than pre pandemic.

Please note that the collection fund shortfalls will impact on the Council's cash position in 2021/22 however, because of timing differences, the budgetary impact will fall in the following year, 2022/23.

a: Revenue Budget Monitor

	Revised Budget	Forecast Outturn	Outturn Variance	Of which: COVID	Non COVID
P04	£239.4m	£257.9m	£18.4m overspend (Covid expenditure offset by £4.5m direct grant income)	£20.9m	£2.0m
P02	£233.2m	£245.4m	£12.2m overspend (Covid expenditure offset by £2.8m direct grant income)	£13.7m	£1.4m

May	Jun/Jul	Aug	Sept	Oct	Nov	Dec	Jan	Feb
12.2	18.4							
	▼							

Position by Division:

SERVICE NET EXPENDITURE SUMMARY	2021/22 - Full Year				Variance Analysis				
	Approved Budget	Revised Budget	Forecast Outturn	Outturn Variance	COVID-19 Expenditure	COVID-19 Income	Gross COVID Impact	Covid Service Grants/Income	Non-COVID
	£000s		£000s		£000s				
People									
Adult Social Care	151,448	157,648	165,835	8,188	12,130	0	12,130	(3,942)	(0)
Children and Families Services	65,115	65,091	71,760	6,668	6,581	0	6,581		87
Educational Improvement	11,998	11,928	15,018	3,090	970	170	1,140		1,950
Public Health - General Fund	4,753	4,777	5,263	486	1,055	0	1,055	(569)	(0)
Total People	233,315	239,444	257,876	18,432	20,736	170	20,906	(4,511)	2,037

Key Messages:

Adult Social Care

Adult Social Care (ASC) – ASC budgets continue to experience significant pressure in 2021/22 with a risk of a gross overspend of £12.1m at P04. This is partly mitigated by the receipt of £3.9m of infection control and rapid testing grant funding giving a net position of £8.2m. This is an adverse forecast movement of £1.8m from P02.

However, the Covid pandemic continues to be a challenging situation and there are on-going pressures for the service particularly around 18-64 working age adults with mental health and learning disabilities. There has been a 7% change which is estimated to cost c£3.3m in the Learning Disabilities cohort. Similarly, there has been a 26% change of c£4.2m in the Mental Health cohort and c£0.3m in relation to homelessness costs. The impact of these estimated costs has been mitigated by the reduction in the costs of people aged over 65 estimated at c£1.6m.

Reflecting the need to continue to maximise hospital capacity for those being treated for coronavirus and to support the social care sector to help support and deliver this, Adult Social Care received £3.942m from the government for Quarters 1 and 2 of 2021/22 in relation to Covid-19 grants to fund infection control and rapid testing measures, particularly in relation to care homes. These grants have been deployed at pace to support

care providers with the challenges they face. However, there has been no further announcement by the central government as to the continuation of these funding for the rest of this financial year. Furthermore, there is still a significant level of risk and uncertainty surrounding the pandemic and therefore the service is forecasting a further risk of care costs pressures estimated to be in the region of c£2m.

Children and Families

Children and Families division are forecasting £6.7m overspend of which £6.5m was covid related. The finance position by service area is illustrated in the table below.

Service Area	Service Area Name	Revised Budget P04	21/22 Current Forecast P4	Current P4 Variance	covid	non covid
112	Service: Joint Commissioning (Children)	4,677,040	4,620,785	-56,255		- 56,255
113	Service: Targeted Support	9,270,707	9,269,367	-1,340		- 1,340
153	Service: Quality Assurance, BSCB	1,880,200	1,884,538	4,338		4,338
154	Service: Area Social Work (North)	2,439,014	2,487,234	48,220		48,220
155	Service: Area Social Work (East/Central)	3,547,158	3,911,687	364,529	300,000	64,529
156	Service: Area Social Work (South)	2,655,615	2,741,873	86,258	90,000	- 3,742
157	Service: Children & Aftercare teams	7,748,770	7,713,852	-34,918	303,393	- 338,311
158	Service: Internal & External Placements	26,546,744	32,940,093	6,393,349	5,785,800	607,549
159	Service: Children & Family Support - Mal	2,280,798	2,193,223	-87,575		- 87,575
15A	Service: Safeguarding and Area Services	1,876,330	1,888,364	12,034		12,034
15B	Service: Specialist Services	2,169,108	2,108,850	-60,258	102,000	- 162,258
15	Division: Children and Families Services	65,091,484	71,759,866	6,668,382	6,581,193	87,189

The major area of overspend is in Placement which is overspending by £6.4m and Social Work budgets are overspending by £0.3m.

There is continued pressure within placements with increasing LAC numbers from those coming into care and reduction in exiting care. A shift in the placements from low cost inhouse to expensive external much of which is result of placement instability from covid pressures. There has been a significant increase in OOA placements from 26 in April 20 to 44 in July 21, an average placement cost of £0.2m. per annum or an annual increase of £3.5m. Independent fostering has also increased from 153 placement in April 20 to 181 in July 21, @ average £0.042m per annum which is an added cost of £1.2m.

Movement between P2 and P4 (an increase of £2.3m in placement costs) is driven by:

- External supported accommodation +£0.801m (7 starts and 3 ended),
- Out Of Area +£1.352m (10 starts, 2 ended),
- Independent Fostering: +£176k (5 starts +169k and 5 ends -240k various +200k weekly rate changes) in June 21 offset by -£0.176m (3 starts & 7 ended) in July 21.
- Children's home budget £0.193m due to high level of sickness / absence.

£0.364m forecasted budget increase due to continued pressure in the services supporting those with no recourse to public funds, accommodation and subsistence costs have increased.

The service has developed a financial recovery plan and the current forecast does not include any mitigations to offset spend. Part of this plan is to continue the development of the in-house fostering and residential provision; and exploring possibilities of alternative provisions within the region.

Current estimated Covid-19 expenditure pressure is £6.58m.

Educational and Skills

Education and Skills division is forecasting to overspend by £3.1m, of which £1.1m was covid-19 related. Cost pressure is mainly relating to Home to School Transport (HTST) £1.7m (£0.903M is covid related) and Accessible City £1.2m.

Financial performance by service area is summarised in table below:

Service Area	Service Area Name	Revised Budget	YTD Actual	P04 Forecast	Variance	Covid	Non-covid
162	Learning City for All	623,428	308,656	667,819	44,391	-	44,391
163	Education Managem	3,579,380	1,643,270	3,602,829	23,449	-	23,449
164	Additional Learning Needs	5,677,180	2,257,401	7,401,003	1,723,823	903,516	820,307
165	Employment, Skills & Learning	733,720	317,625	805,217	71,497	66,670	4,827
166	Trading with Schools	-441,210	-2,494,465	-441,210	-	-	-
167	Schools PFI	-	- 4,414,894	-	-	-	-
168	Inclusive City	289,823	151,661	340,904	51,081	170,000	-118,919
169	Accessible City	1,465,313	1,443,546	2,641,362	1,176,049		1,176,049
16	Educational & Skills total	11,927,634	- 787,201	15,017,924	3,090,290	1,140,186	1,950,104

The pressure in HTST includes travel costs - linked to increased number of children being transported and pressure in getting good drivers and escorts, Personal Travel Budgets and Parent Partnership SPSP. There is still issue with getting accurate and timely information from Mission. This may impact on future forecast for HTST.

The risk of overspend in Accessible City is driven by additional staffing needed in the SEN team to tackle significant amount of EHC assessments backlog. Review meetings have been arranged with the service leads to explore mitigation options.

Additional funding of £0.140m for Holiday Activities and Food Programme 2021 has been confirmed but not included in the above figures yet. It is anticipated to be fully spent so will have no impact to the Service's overall budget position.

Communities and Public Health

The Public Health England (PHE) grant award for Public Health (PH) ring-fenced grant for 2021/22 is £33,643m. PH also hold general fund budget and other partnership grants of £4.753m which supports domestic abuse and sexual violence, health watch, substance misuse, rough sleeping, drug and alcohol treatment, sports projects, Hengrove and Leisure Centres.

At Period 4, there is no adverse forecast relating to the Public Health ring-fenced budgets. The current forecast overspend on the PH general fund relates to the potential financial assistance for Leisure services contracts in the sum of £1.055m in 2021/22 as a result of Covid-19 pandemic. This will be mitigated be partly

funded by the National Leisure Recovery Funding (NLRF) - £0.494m grant and the remaining £0.487m would be covered by unallocated Covid-19 response funding carried forward from 2020/21.

In continuation of the Covid-19 support for the communities and public health in 2021/22, as at Period 4, Bristol City Council has received grant funding totalling the sum of £5.034m from government departments which include Test and Trace – Contain Outbreak Management Fund (COMF) £3.709m, Clinically Extremely Vulnerable (CEV) £0.758m, Practical Support for those self - isolating - £0.478m, and Project Eagle Surge Testing - £0.089m. All outbreak management funding is committed up to end of March 2023 with the COMF grant ring fenced against the plan to ensure the council had sufficient capacity to manage throughout the year. The delivery of the outbreak management plan is reliant on that budget and that posts across the council are in place.

Finally, Communities and Public Health have also been successful in securing £1.7m revenue-only funding for 2021/22 from Public Health England (PHE) following approval of its Year 1 delivery plan by the Project ADDER Programme Board. An indicative allocation of up to another £1.7m has also been allocated for Year 2 delivery plan for 2022/23 (making a total of £3.4m over two years). This funding has been awarded for the Project ADDER Accelerator programme. This is a two-year funding scheme in which PHE is working alongside the Home Office to support investment in a whole-system approach to tackling drug use, which includes enforcement, diversion and treatment and recovery interventions. The funding scheme is underpinned by the development of local plans to address drug-related offending and deaths.

Savings Delivery

21/22 People Directorate Savings Target (£'000s):

6,114

	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	5,390	4,090	76%	5,390	4,090	76%
Yes - savings are safe	724	0	0%	724	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	6,114	4,090	67%	6,114	4,090	67%
n/a - represents one off savings or mitigations in previous year	-8,082	0	0%	-8,082	0	0%
WRITTEN OFF	6,520	0	0%	6,520	0	0%
Grand Total	4,552	4,090	90%	4,552	4,090	90%

Top 5 largest savings at risk in year (ordered by size of saving at risk)		
ID	Name of Proposal	Value at Risk in 21/22 (£'000)
FP33_21_C	Commissioning Adult Purchasing Budget (subset of original Better Lives savings)	£ 2,000
21_NE_0L	Monitoring and grip debt recovery and DPs	£ 1,200
FP33_21_B	Strengths Based Approach (subset of original Better Lives savings)	£ 850
BE7-2b	18/19 Rollover - Organisational redesign including the council's senior management structures (Mitigation for Education Post)	£ 40

Mitigated savings from previous years that remain 'due' for delivery this year (£m)		
Amount due from previous year(s):	£	3.39
Amount reported at risk:	£	2.89

Key Changes since last month

There have been no changes from P3 to P4 for the People Directorate

b) Risks and Opportunities

Division	Risk or Opportunity	Description of Impact £	Risk / Opportunity £	Likelihood (%age)	Net /(opportunity) £
Adult Social Care	Risk	Further wave of covid-19 infections resulting in additional care costs (e.g. hospital discharges, impact on cost of care and provider sustainability, above initial emergency planning assumptions and no certainty	4,000,000	50%	2,000,000

		regarding levels infection control or other government grant assistance.			
Adult Social Care	Risk	Impact of pandemic on ability to deliver transformational change and savings plans.	5,350,000	50%	2,675,000
Children's and Families	Risk	Risk of increase in placement costs due to constrained market and capacity to support placements	2,000,000	50%	1,000,000
Education	Risk	Home to School transport (HTST): Due to data quality issues, there is possibility that forecast in the monitor may be understated.	176,000	75%	132,000
DSG	Risk	Impact of future panel meetings not yet reflected in the monitor.	2,500,000	80%	2,000,000

c: Capital

Approved Budget	Revised Budget	Expenditure to Date	Forecast Outturn	Outturn Variance
£35.1m	£35.1m	£8.5m	£28.6m	(£6.4m)
		24% of Budget	82% of budget	

Programme Expenditure / Funding

Scheme / Project		Current Year (FY2021) - Period 4				Performance to budget	
		Budget	Expenditure to Date	Forecast	Variance	Expenditure to date	Forecast
		£000s				%	
People							
CRF1	Covid Recovery Fund – Community Improvements – Pending Bus	2,500	0	150	(2,350)	0%	6%
CRF2	Covid Recovery Fund – Youth Zones Investment – Pending Busine	750	0	400	(350)	0%	53%
NH05	Sports Provision - Pending Business Case Development	0	0	0	0		
PE01	School Organisation/ Children's Services Capital Programme	14,293	6,621	13,919	(374)	46%	97%
PE02	Schools Organisation/SEN Investment Programme	9,726	633	9,226	(500)	7%	95%
PE03	Schools Devolved Capital Programme	2,000	228	1,570	(430)	11%	79%
PE04	Non Schools Capital Programme	0	0	0	0		
PE05	Children & Families - Aids and Adaptations	120	80	120	0	67%	100%
PE06	Children Social Care Services	1,440	65	791	(648)	5%	55%
PE06B	Adult Social Care – Better Lives at Home Programme	4,257	913	2,466	(1,791)	21%	58%
PE10	Sports Capital Investment	0	(53)	0	0		
Total People		35,085	8,488	28,642	(6,443)	24%	82%

The People capital programme is currently reporting a £6.4m underspend at P4. Whilst the majority of the People capital programme relates to schools (which is forecast to overspend by a small amount) the main variances relate to the Covid Recovery Fund (£2.3m underspend) which is currently pending the completion and sign off of the business case. The other variance relates to the Better Lives at Home Programme which is currently reporting a forecast underspend of £1.8m where work is ongoing with our strategic partners Arcadis, on optimising the use of this capital funding.

a: Revenue Budget Monitor

	Revised Budget	Forecast Outturn	Outturn Variance	Of which :	
				Covid	Non Covid
P04	£52.9m	£55.9m	£3.0m overspend	£3.7m	(£0.7m)
P02	£53.1m	£56.0m	£2.9m overspend	£3.5m	(£0.6m)

May	Jun/Jul	Aug	Sept	Oct	Nov	Dec	Jan	Feb
2.9	3.0							
	▼							

Position by Division

SERVICE NET EXPENDITURE SUMMARY

	2021/22 - Full Year				Variance Analysis			
	Approved Budget	Revised Budget	Forecast Outturn	Outturn Variance	COVID-19 Exp	COVID-19 Inc	Gross COVID Impact	Non-COVID
	£000s			£000s	£000s			
Resources								
Digital Transformation	15,305	14,765	14,980	215	221	155	376	(161)
Legal and Democratic Services	8,686	8,396	8,342	(53)	58	0	58	(111)
Finance	8,885	8,935	11,848	2,913	2,199	853	3,052	(139)
HR, Workplace & Organisational Design	16,344	16,944	16,878	(65)	0	162	162	(227)
Policy, Strategy & Partnerships	3,436	3,835	3,835	0	36	0	36	(36)
Total Resources	52,655	52,875	55,884	3,009	2,514	1,170	3,684	(675)

Key Messages:

Of note across the divisions:

- Digital Transformation** continues to forecast a net £0.2m overspend. As a consequence of COVID-19, in addition to P2's forecast requirement for £0.1m of additional Zoom licences and £0.1m for additional phone numbers and phone usage, there is this month the forecast loss of £0.1m Translation Services net income. This was initially classified at P2 as Non-Covid. As a consequence of this reclassification, the forecast Non-COVID 19 favourable variance has therefore increased by (£0.1m) to almost (£0.2m). In addition, since P2, £0.4m employee budget has been vired out from the Web Delivery Team under Digital Transformation to PR, Consultation & Engagement in the PSP Division reflecting a change in line management for team members.
- Legal and Democratic Services** is forecasting a (£0.1m) underspend at P4, an improvement of (£0.1m) from P2. This is due mainly to improved internal income expectations in Legal Services. In addition, since P2, the Lord Mayor's Office budget of £0.2m budget has been transferred in to Legal and Democratic Services from the HR, Workplace & Organisational Design Division.
- Finance** continues to forecast a £3.0m overspend. The Benefits Service is forecasting a £2m pressure which relates to ongoing emergency and hardship fund payments due to COVID-19. The Revenues

Service is forecasting a shortfall of £0.9m, relating to the ongoing loss of summons and overpayments income. It continues to be assumed at this time that recovery will recommence in the second half of the year.

- **HR, Workplace and Organisational Design** division reports little move in forecast over the previous couple of months.

It is noted here that in the recent absence of the Deputy Mayor in P3 it was necessary for the S151 Officer to approve an Officer Executive Decision as a matter of urgency for a second 12 month extension to the current Office Supplies contract (12 month value representing £0.2m). This value reflects additional spend on PPE due to Covid-19 since March 2020.

- **Policy, Strategy and Partnerships** division is also reporting little move in its forecast this month.

Savings Delivery

B. Resources Dashboard

21/22 Resources Directorate Savings Target (£'000s):

3,493

	This month			Last month			Top 5 largest savings at risk in 21/22 (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 21/22 (£'000)
No - savings are at risk	2,125	1,990	94%	2,100	1,980	94%	21_NS_04	Third Party Savings	£ 500
Yes - savings are safe	1,088	110	10%	1,113	110	10%	21_NS_05	Corporate Landlord Delivery Model	£ 500
SAVING CLOSED - CONFIRMED AS 'SECURED & DELIVERED'	280	0	0%	280	0	0%	21_NS_03	Common Activities	£ 380
NO RAG PROVIDED	0	0	n/a	0	0	n/a	21_New03	Centralisation of contract management	£ 250
Grand Total	3,493	2,100	60%	3,493	2,090	60%	NEW-4 Amended	Digital Transformation savings (Replaces legacy rollovers from 1920)	£ 140
n/a - represents one off savings or mitigations in previous year	-1,448	0	0%	-1,448	0	0%	Mitigated savings from previous years' that remain 'due' for delivery this year (£m)		
WRITTEN OFF	1,205	0	0%	1,205	0	0%	Amount due from previous year(s): £ 0.12		
Grand Total	3,250	2,100	65%	3,250	2,090	64%	Amount reported at risk: £ -		

Key Changes since last month:

1. There has been an increase in P4 in the value of savings reporting at risk, this is due to the following savings line now reporting at risk:

*21_New02 Oxygen Finance (indicative) (£25k target, of which £15k deliverable leaving 10k at risk) . It is understood the remaining amount can be mitigated/ absorbed via the service (PMO will request change request).

Key messages/Comments

1. There are a number of savings continuing to report large values at risk (mostly cross cutting savings) however some of these have now presented savings plans to Delivery Exec which have been endorsed. It is anticipated that many will reduce their savings at risk for next month. (PMO will follow up with appropriate change requests where needed).

2. Given delays /changes to approach for the Digital Transformation Programme, Resources EDM should consider if alternative savings can be identified to mitigate in the short term.

3. Note nil return means that some of the savings reported at risk are understood to be safe, but reporting not updated to reflect the latest plans.

4. Note that the Green RAG for Lord Mayor's chapel saving relates to a mitigation identified by the service. A change request approval is being sought 11/08.

b: Risks and Opportunities

Division	Risk or Opportunity		Risk / (Opportunity) £	Likelihood (%)	Net Risk / (Opportunity) £	Detailed Comment
Digital Transformation	Risk	Digital Transformation - Contracts	600,000	100%	600,000	Microsoft Desktop Licensing agreement new contract commences July 2021 and due both to an increase in the unit price of the licences and also to an increase in the total number of licences required over the lifetime of the contract, there is a confirmed additional expenditure, compared to 20/21 of £0.6m in 21/22
Digital Transformation	Risk	Digital Transformation - Contracts	300,000	80%	240,000	Microsoft Azure Licensing agreement new contract commenced May 2021 for the continued use of Azure Cloud based infrastructure. The contract value commitment in 21/22 is £0.3m greater than 20/21 actual and in addition there is a delay in switching off of legacy support tools that will be replaced by Azure as this awaits the progress of the DTP business case.
Digital Transformation	Risk	Digital Transformation - Contracts	237,000	100%	237,000	Resources Legacy issue saving of £140k and contribution to Print Scanning & Strategy budget under Print & Mail project. £97k to FM both vined from existing Digital Transformation contract budgets. These items represent a saving offered up by the Division without an existing current plan to reduce spend.
Digital Transformation	Opportunity	Digital Transformation - Contracts	(837,000)	50%	(418,500)	Whilst the DTP is progressing, in the short term, solutions such as stopping non-essential unified support contracts and reduction in staff numbers will be examined.
Digital Transformation	Opportunity	Digital Transformation - Staffing	(200,000)	50%	(100,000)	Systems Support Team transferred from People with £0.2m pressure in 20/21. DT confirmed that staffing pressure will be offset in 21/22 by fully absorbing into existing DT staffing budgets.
Digital Transformation	Risk	Citizens Services - Income	125,000	100%	125,000	Year on year overachievement of Citizens Services income target resulted in £0.125m being used as contribution to write-off of Resources carried forward legacy issues. This overachievement may not be sustainable ongoing.
Digital Transformation	Opportunity	Citizens Services - Income	(125,000)	75%	(93,750)	To explore ways of increasing income levels during 21/22
Digital Transformation	Risk	Digital Transformation - Income	370,000	100%	370,000	Staff charged to ITTP have been retained but there is currently no confirmed funding stream to cover the additional costs. If no funding stream identified then the DT BAU budget will pick up the pressure.
Digital Transformation	Opportunity	Digital Transformation - Income	(370,000)	67%	(247,900)	Awaiting progress of Digital Transformation Programme business case to confirm recharging of DT BAU staff time plus identification of further internal projects to recharge staff time to.
Digital Transformation	Risk	Digital Transformation - Contracts			0	In 20/21, there was an increase in Telephone Communications spend due to increase in smart phone & dongle numbers and usage charges through staff working at home because of COVID. The DT 21/22 forecast has £0.150m as a full year COVID pressure through retained increase in numbers. If grant MHCLG grant does not cover this retained pressure (or only covers, say 6 months) then there will be an additional pressure to the DT BAU forecast position.
Digital Transformation	Risk	Digital Transformation - DTP	1,100,000	100%	1,100,000	Costs currently committed to DTP before the business case and funding has been approved. Current commitments are £0.330m for intelligent-I delivery, £0.276m Adoption Change Management Team & £0.094m Consultant Resources. In addition a baseline position is being prepared for a Windows 10 project team costing £0.4m to complete the roll-out of new laptops.
Digital Transformation	Opportunity	Digital Transformation - DTP	(1,100,000)	100%	(1,100,000)	DTP business case is approved and funding becomes available to cover the already committed costs
HR, Workplace & Organisational Development	Risk	Holiday Purchase Scheme	416,000	100%	416,000	People Operations - Low take up of ACU - holiday purchase scheme due to higher than normal levels of carried forward leave through consequences of COVID. Shortfall based on the a straight line forecast of April & May actual less 20/21 confirmed DSG / HRA repayment
HR, Workplace & Organisational Development	Opportunity	Change Services - Employees	(100,000)	100%	(100,000)	Current staffing levels indicate an underspend across all employees (both permanent & agency)
HR, Workplace & Organisational Development	Risk	Change Services - Employees	100,000	100%	100,000	In the event of additional work being approved by CLB (as per experience in previous years) then additional capacity will be needed.
HR, Workplace & Organisational Development	Opportunity	FM Service area	(400,000)	50%	(200,000)	One-off in year opportunity over and above £(0.2)m in P2 forecast
Total					927,850	

c: Capital

Approved Budget £8.6m	Revised Budget £9.0m	Expenditure to Date £1.5m	Forecast Outturn £6.3m 70%	Outturn Variance (£2.7m)
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Gross expenditure by Programme		Current Year (FY2021) - Period 4				Performance to Budget	
Ref	Scheme	Budget	Expenditure to Date	Forecast	Variance	Expenditure to date	Forecast
Resources							
NH06A	Bristol Operations Centre - Phase 2	348	7	348	0	2%	100%
PL21	Building Practice Service - Essential H&S	2,787	497	2,695	(92)	18%	97%
PL27	Vehicle Fleet Replacement Programme	4,053	239	1,377	(2,676)	6%	34%
RE01	ICT Refresh Programme	1,571	461	1,571	0	29%	100%
RE03	ITTP – IT Transformation Programme	219	285	219	0	130%	100%
RE06	Return to Workplace ICT equipment – Covid Response Fund	0	1	99	99		
Total Resources		8,978	1,491	6,308	(2,670)	17%	70%

Key Messages:

- The Vehicle Fleet Replacement Programme now anticipates that delivery of vans due in March 2022 will now be rescheduled in to 2022/23.

Section A: Revenue Budget Monitor

	Revised Budget	Forecast Outturn	Outturn Variance	Of which: Covid	Non Covid
P04	£55.8m	£66.2m	£10.6 m overspend	£10.7m	-£0.01m
P02	£55.8m	£64.9m	£9.1m overspend	£8.8m	0.3m

May	Jun/Jul	Aug	Sept	Oct	Nov	Dec	Jan	Feb
9.1	10.6							
	▼							

Position by Division

SERVICE NET EXPENDITURE SUMMARY

	Approved Budget	Revised Budget	Forecast Outturn	Outturn Variance	COVID-19 Exp	COVID-19 Inc	Gross COVID Impact	Non-COVID
	£000s			£000s	£000s			
Growth & Regeneration								
Housing & Landlord Services	14,896	14,807	17,151	2,343	2,303	0	2,303	40
Development of Place	1,591	1,533	1,533	0	0	0	0	0
Economy of Place	12,436	12,807	13,756	950	106	1,002	1,108	(158)
Management of Place	33,049	33,797	41,098	7,301	448	6,852	7,300	0
Property and Asset Strategy	(7,122)	(7,122)	(7,322)	(0)	0	0	0	(0)
Total Growth & Regeneration	54,851	55,822	66,215	10,594	2,857	7,854	10,711	(118)

The Growth & Regeneration Directorate reported a **£10.6m** overspend against the revised net expenditure budget of **£55.822m** in Period 4. The overspend results from a combination of the impact of the current lockdown which is still having a significantly impact on several of the directorate's fee generating services; as well as unachieved income targets resulting from vacant operational buildings (previously rented space became vacant during 20/21).

* Note – the total budget has increased **£1m** due to inflationary increases in the Waste contract.

Key Messages:

Housing & Landlord Services

The Division is forecasting an overspend of **£2.34m** against a revised budget of **£14.8m**. This is an increase of **£0.04m**, on the previously reported overspend at P2. The main reasons for the expenditure pressures are:

- **131 Housing Options** – Forecast overspend of **£2.3m**. Subsidy loss has a forecast overspend at P4 of £2.4m, a decrease of £0.1m on P2. The whole of this overspend is due to the impact of the pandemic which has seen an increase in Temporary Accommodation. Measures to reduce this overspend are currently being considered i.e. increasing block purchases and changes in the type of accommodation provided. There are other minor variances of (£0.1m) within the service.

- **132 GF - Private Housing & Accessible Homes –**
No material variance to report at P4, however there is a movement of £0.4m on the variance reported at P2. The underspend of £0.4m in P2 was related to staffing costs, however a re-evaluation of the staffing requirements for the year have meant that outturn is expected to be in line with the budget.
- **135 Housing Solutions – Forecast overspend of £0.04m.**
There has been a movement in projected overspend from £0.2m in P2 to £0.04m in P4. This is due to the realignment of agency staff costs between General Fund and HRA.

Development of Place

The division is forecasting a nil variance. There are however a few risks and opportunities that have been reported in the Risks & Opportunities log Section B below.

Economy of Place

The division is forecasting a **£0.950m** overspend against a revised budget of **£12.807m**. This is the result of covid (mainly income related) pressures. The total covid related budget pressure is £1.107m. When these are taken into account the underlying position of the Division is underspend of £0.157. The main reasons for the £0.950m overspend are:

- **Culture Services** - Most of this is attributable to an estimated shortfall in income across a range of services, because of the pandemic **£0.9m**.
- **Library Services** - Most of this is attributable to an estimated shortfall in income across a range of services, because of the pandemic **£0.2m**.
- **Various** – There are several of non-covid pressures in other divisions, however these are more than mitigated by underspends elsewhere.

Management of Place

The division is forecasting a **£7.3m** overspend against a revised budget of **£33.797m**. The main reasons for the variance are projected shortfall in income across a few services due to the impact of Covid-19:

- The Pandemic as well as the gradual re-opening of society is still being felt in the Councils Car Parks and resident parking schemes and parking charge notices etc. Occupancy has reduced significantly during the pandemic. And Income is forecast to range from between 60-85% between now and the end of the financial year. Estimated in-year loss is **£6.1m**.
- Additional enforcement costs related to covid restrictions has created a budget pressure of **£0.8m**.

Property & Asset Strategy Management – The division is forecasting a Nil variance. There are however some significant risks which have been captured in the Risks & Opportunities log in section B below.

Savings Delivery

21/22 G&R Directorate Savings Target (£'000s):

2,135

	This month			Last month			Top 5 largest savings at risk in year (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 21/22 (£'000)
No - savings are at risk	825	725	88%	825	725	88%	FP01-7b	ROLLOVER: Alternative to expensive nightly accommodation	£ 300
Yes - savings are safe	1,252	0	0%	1,252	0	0%	FP36-E2	MITIGATION/ROLLOVER For "Identify alternative funding to continue to support people in Council Housing".	£ 210
SAVING CLOSED - CONFIRMED AS 'SECURED & DELIVERED'	58	0	0%	58	0	0%	IN27b	Generating and saving money through energy generation and efficiency	£ 180
NO RAG PROVIDED	0	0	n/a	0	0	n/a	IN25_continued	Increase income generation and efficiency across culture services	£ 35
Grand Total	2,135	725	34%	2,135	725	34%			
n/a - represents one off savings or mitigations in previous year	-1,652	0	0%	-1,652	0	0%	Mitigated savings from previous years' that remain 'due' for delivery this year (£m)		
WRITTEN OFF	1,195	0	0%	1,195	0	0%	Amount due from previous year(s):		£ 0.78
Grand Total	1,678	725	43%	1,678	725	43%	Amount reported at risk:		£ 0.69

Key Changes since last month

There have been no changes from P3 to P4 for the G&R Directorate

Key messages/ Comments

- The largest saving target is the **£0.8m Parking charges** target - currently reporting as GREEN. The savings plan is due for Delivery Exec sign off on 25/08.
- Of the £2.1m target, £0.8m is continuing to report as 'RED', with **£0.7m of that stated as at risk**. The two largest savings within G&R continue to relate to rollover/legacy items in Housing (a) to identify alternatives to expensive nightly accommodation (£300k) and (b) alternative funding to continue to support people in council housing (£210k). It is understood that savings of £110k have been identified against the expensive nightly accommodation (£300k) savings line, so this should be reflected in the director return next month.
- There are two other savings (worth >£0.2m total) that are continuing to progressing through the 'secured and delivered' process, but yet to achieve full sign offs (RS02 operations centre vacancy reduction, and RS11 reduce funding to key arts providers).
- A mitigation is still required for the culture income saving, which has been stated by the service as not deliverable in year - G&R should look for alternatives to mitigate at least in the short term.

Reminder - although Stephen Peacock is also the lead Director for the Corporate Landlord savings target but given this is a corporate/cross-cutting saving, this is shown in the Resources dashboard, along with other corporate/cross-cutting targets.

Section B : Risks and Opportunities

GROWTH & REGENERATION DIRECTORATE RISKS & OPPORTUNITIES

Division Name	Risk / Opportunity	Revenue or Capital	Description	Risk / Opportunity £'000
Management of Place	Risk	revenue	Staff salary pressure in BOC - Civil Protection and Emergency Control	180
Management of Place	Risk	revenue	The suspension of the garden waste service will for 10 weeks will impact on the revenue generated in August & September	200
Management of Place	Risk	revenue	Hartcliffe RRC opening and revenue costs hitting budget in 4th quarter of this year	tbc

Management of Place	Opportunity	revenue	Potential non-cv19 underspends in MOP Reg Services (£434k). Trf to R&Ops log to help mitigate MOP non-cv19 pressure, such as in Parks +£572k at P4	-434
Management of Place	Risk	revenue	Downs Committee forecasted net pressure on the Parks budget	150
Management of Place	Risk	revenue	Cems & Crems - full Cremator relining costs and upgrade scatter areas in Canford Crem £95k, IT subscription at South Bristol Crem £10k	105
Management of Place	Risk	revenue	Potential non-cv19 overspend pressure at P4 due to reduced draw-down on S106 as agreed with Patsy (12.8.21). Trf to R&Ops log can be mitigated by potential non-cv19 underspends in MOP on Reg Services (£434k) and Highways (£164k)	572
Management of Place	Risk	revenue	Settlement costs re employment tribunal	120
Management of Place	Opportunity	revenue	Additional costs and income associated with enforcement of Bristol Bridge Closure and associated restrictions in the area. Note: Redcliffe Bridge closed for c.2 months traffic re-routed over Bristol Bridge therefore can't enforce PCNs hence forecast reduced from a net -£800k surplus in P2 to a net -£540k surplus in P3. P4 slight increase to net -£572k surplus due to delays with Redcliffe Bridge closure	-572
Management of Place	Opportunity	revenue	Potential non-cv19 underspends in MOP Highways (£164k). Trf to R&Ops log to help mitigate MOP non-cv19 pressure, such as in Parks +£572k at P4	-164
Management of Place	Risk	revenue	City Leap – Additional costs relating to extensive procurement activities undertaken.	410
Management of Place	Risk	revenue	Removal of funding stream from Salix Energy Efficiency Loan Scheme cc15151 - Energy Saving Partnership	70
Management of Place	Risk	revenue	Turnover Provision not achieved cc10377 - Energy Service Staff & Overheads	38
Management of Place	Risk	revenue	Agency Staff pressure cc10377 - Energy Service Staff & Overheads	69
Management of Place	Risk	revenue	Reduction of Energy recharges cc10377 - Energy Service Staff & Overheads & cc15414 - Energy Development Work	100
Management of Place	Risk	revenue	Energy Heat Network connection fee reductions cc15413 - BCC PipeCo	50
Management of Place	Risk	revenue	Loss / Reduction in Energy Display Certificate Income cc15411 - Energy Revenue	35
Management of Place	Risk	revenue	Expecting 10% rise in electricity prices following end of contract in Sept 2021. Gas contract is to be renewed in Oct 21 and prices are currently high, demand is also	88

			higher than normal due to ventilation of offices to prevent Covid	
Management of Place	Risk	revenue	Risk of a shortfall in wind income after 2 months of little wind	87
Development of Place	Risk	revenue	Staff salary pressure in development Management	35
Development of Place	Opportunity	revenue	Various small budget pressures	-35
Housing & Landlord Services	Risk	revenue	Various non covid-19 related income shortfall	300
Housing & Landlord Services	Risk	revenue	Various non covid-19 related income shortfall	210
Property and Asset Strategy	Risk	revenue	Income & Busines Rates	742
Property and Asset Strategy	Opportunity	revenue	Income & Busines Rates	-500
Property and Asset Strategy	Risk	revenue	Potential Loss of Income due to firms going bust	600

2,456

The net risks and opportunities flagged by service managers total £2.456m. Review meetings are being organised to explore mitigating options that can be explored. Any unmitigated pressure will be escalated during or after P6.

Section C: Capital

Approved Budget	Revised Budget	Expenditure to Date	Forecast Outturn	Outturn Variance
£191.8m	£192.0m	£23.1m	£179.0m	£ (13.0m)
2020/21	Comparator	12% of Budget	93% of Budget	
£163.3m	£157.1m	£14.8m	£122m	£ (35.5m)
		9% of Budget	81% of Budget	

Gross expenditure by Programme

Ref	Scheme	Current Year (FY2021) - Period 4				Performance to budget	
		Budget	Expenditure to Date	Forecast	Variance	Expenditure to date	Forecast
£000s						%	
Growth & Regeneration							
CRF3	Covid Recovery Fund – Economic Infrastructure	1,000	0	850	(150)	0%	85%
GR01	Strategic Property – Temple Meads Development	17,062	72	14,474	(2,588)	0%	85%
GR03	Economy Development - ASEA 2 Flood Defences	3,319	(1,218)	3,234	(85)	-37%	97%
GR05	Strategic Property - Hawkfield Site	2,088	53	3,252	1,164	3%	156%
GR05A	South Bristol Light Industrial Workspace Redevelopment	(127)	0	127	253	0%	-100%
GR08	Delivery of Regeneration of Bedminster Green	1,857	99	1,145	(712)	5%	62%
GR09	Clean Air Zone Programme	11,600	215	11,600	0	2%	100%
NH01	Libraries for the Future	152	24	152	0	16%	100%
NH02	Investment in parks and green spaces	3,219	290	2,313	(906)	9%	72%
NH03	Cemeteries & Crematoria - Pending Business Case Development	1,513	53	872	(640)	3%	58%
NH04	Third Household Waste Recycling and Re-use Centre	4,949	661	4,882	(67)	13%	99%
NH06A	Bristol Operations Centre - Phase 2	2,747	1,159	2,747	0	42%	100%
NH07	Private Housing	3,527	759	3,528	1	22%	100%
PL01	Metrobus	569	144	1,607	1,037	25%	282%
PL02	Passenger Transport	806	103	758	(47)	13%	94%
PL04	Strategic Transport	2,430	705	4,680	2,250	29%	193%
PL05	Sustainable Transport	2,361	299	2,032	(329)	13%	86%
PL06	Portway Park & Ride Rail Platform	2,661	117	2,661	0	4%	100%
PL09	Highways infrastructure - bridge investment	2,490	774	3,725	1,235	31%	150%
PL09A	Highways infrastructure - Cumberland Road Stabilisation Scheme	8,056	1,494	6,075	(1,981)	19%	75%
PL10	Highways & Traffic Infrastructure - General	14,346	3,525	13,179	(1,167)	25%	92%
PL10B	Highways & Traffic - Street Lighting	579	49	579	0	8%	100%
PL10C	Transport Parking Services	1,357	616	1,357	0	45%	100%
PL11A	Cattle Market Road site re-development	2,261	78	2,026	(236)	3%	90%
PL14	Bristol Legible City Scheme	162	22	162	0	13%	100%
PL15	Environmental Improvements Programme	209	76	209	0	36%	100%
PL17	Resilience Fund (£1m of the £10m Port Sale)	47	1	47	0	3%	100%
PL18	Energy services - Renewable energy investment scheme	10,532	322	11,105	573	3%	105%
PL18A	Energy Services – Bristol Heat Networks expansion	10,828	2,634	10,828	0	24%	100%
PL18B	Energy Services - School Efficiencies	79	161	176	97	203%	223%
PL18D	Energy Services - EU Replicate Grant	(154)	0	12	166	0%	-8%
PL20	Strategic Property	1,692	155	279	(1,413)	9%	16%
PL22	Strategic Property - Investment in existing waste facilities	469	(153)	469	0	-33%	100%
PL23	Strategic Property - Temple St	341	14	341	0	4%	100%
PL24	Bristol Beacon	34,658	7,368	28,478	(6,179)	21%	82%
PL30	Housing Delivery Programme	21,571	2,412	18,812	(2,760)	11%	87%
PL30A	Housing Programme delivered through Housing Company	18,172	0	18,172	0	0%	100%
PL32	Western Harbour Design Development	180	0	180	0	0%	100%
PL34	Strategic property - Community investment scheme	1,150	0	1,150	0	0%	100%
PL35	Harbour Operational Infrastructure	832	38	332	(500)	5%	40%
PL36	Investment in Markets infrastructure & buildings	387	(58)	370	(17)	-15%	96%
Total Growth & Regeneration		191,978	23,060	178,978	(13,000)	12%	93%

Key Messages

The current report shows **£23.1m** spend against budget (12% delivery) against the budget of **£192m**, and a forecast underspend of **£13m**. To achieve the budget target for 21/22, the directorate will need to spend an average of **£21m** (excluding HRA) each month for the rest of the year.

a: Revenue Budget Monitor

	Revised Budget	Forecast Outturn	Outturn Variance	Of which :	
				Covid	Non Covid
P04	£0.0m	£0.3m	£0.3m overspend	£2.3m	(£2.0m)
P02	£0.0m	(£1.5m)	(£1.5m) underspend	£0.0m	(£1.5m)

Forecast Outturn Variance by month £m									
May	June	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb
(1.5)	(1.5)	0.3							
		▼							

Revenue Position – Income and Expenditure

HRA Income and Expenditure	2021/22 - Full Year					Current Forecast Variance P4		Previous Forecast Variance P2		Movement	
	Budget £000	Current Forecast £000	Forecasted Outturn Variance £000	Previous Forecast P2 £'000	Variance from previous forecast £'000	COVID £000	Non COVID £000	COVID £000	Non COVID £000	COVID £000	Non COVID £000
Dwelling rents	(113,495)	(113,639)	(145)	(113,718)	78	0	(145)	0	(223)	0	78
Voids	1,200	1,200	0	1,009	191	0	0	0	(191)	0	191
Non-dwelling rents	(1,171)	(933)	238	(1,176)	243	0	238	0	(4)	0	242
Charges for services and Contributions towards	(8,621)	(8,778)	(157)	(8,761)	(17)	0	(157)	0	(140)	0	(17)
	(30)	9	39	0	9	0	39	0	30	0	9
TOTAL INCOME	(122,117)	(122,142)	(25)	(122,645)	503	0	(25)	0	(528)	0	503
Repairs & Maintenance	33,854	33,805	(48)	33,996	(191)	0	(48)	0	142	0	(190)
Supervision & Management	32,219	30,870	(1,349)	31,022	(151)	0	(1,349)	0	(1,197)	0	(152)
Special Services	9,771	9,957	186	9,890	67	0	186	0	119	0	67
Rents, rates, taxes and other	755	731	(25)	751	(21)	0	(25)	0	(4)	0	(21)
Depreciation & impairment	29,444	29,444	0	29,444	0	0	0	0	0	0	0
Debt management	41	41	0	41	0	0	0	0	0	0	0
Movement in the allowance	1,362	1,362	0	1,362	0	1,600	(1,600)	0	0	1,600	(1,600)
Movement on Impairment	421	2,021	1,600	421	1,600	0	1,600	0	0	0	1,600
TOTAL EXPENDITURE	107,867	108,232	365	106,928	1,304	1,600	(1,235)	0	(940)	1,600	(295)
NET COST OF HRA SERVICES	(14,250)	(13,910)	340	(15,717)	1,807	1,600	(1,260)	0	(1,468)	1,600	208
Net interest payable, pension costs and other non	11,043	11,043	0	11,043	0	0	0	0	0	0	0
Capital Expenditure Funded	3,206	3,204	(2)	3,206	(2)	0	(2)	0	0	0	(2)
SURPLUS FOR THE YEAR ON H	0	338	338	(1,468)	1,804	1,600	(1,262)	0	(1,468)	1,600	206

Key Messages

The HRA, is a ring-fenced account within the General Fund, it cannot budget for a deficit, it is required to be self-financing over time. In each year, there will be either a net spend or a net surplus, which will either be covered off from, or carried to the HRA General Reserve.

The HRA forecast as at Period 4 is an overspend of £0.3m, a movement of £1.8m on the reported forecast at Period 2 of a (£1.5m) underspend. The overspend will be met from the HRA general reserve, which will be transferred at the end of the year. The movement in forecast by service area is explained below:

Summary by Service		2021/22 - Year to date						Previous Forecast		
Service	Service Description	Revised Budget	Forecast Outturn P4	COVID-19 Exp	COVID-19 Inc	Covid-19 Pressures (B)	Non-Covid Pressures (C)	Outturn Variance	Forecast Outturn P2	Movement in Forecast
		£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s
321	Strategy, Planning & Governance	17,284	16,899			0	-384	-384	16,914	-15
322	Responsive Repairs	28,385	27,998			0	-388	-388	28,264	-266
323	Planned Programmes	15,006	15,621	0		0	614	614	15,409	211
324	Estate Management	-105,326	-106,285	0		0	-959	-959	-106,676	390
326	Estate Regeneration	536	390			0	-145	-145	505	-115
Division: Housing Services - HRA		-44,115	-45,377	0	0	0	-1,262	-1,262	-45,583	205
X10	HRA - Funding & Expenditure	11,465	13,065		1,600	1,600	0	1,600	11,465	1,600
X11	HRA - Capital Financing	3,206	3,206			0	0	0	3,206	0
X12	HRA - Year-end transactions	29,444	29,444			0	0	0	29,444	0
Division: HRA Funding & Expenditure		44,115	45,715	0	1,600	1,600	0	1,600	44,115	1,600
TOTAL HRA		0	338	0	1,600	1,600	-1,262	338	-1,468	1,805

- **321 Strategy, Planning & Governance- (£0.384m) underspend.** Main variance budget to outturn forecast at P4 is due to the following: the Moving Forward Together project is on hold therefore budget saving of (£0.250m), increase in income from overhead recharges to projects on Joinery shop (£0.120m), other minor variance (£0.014m).
- **322 Responsive Repairs - (£0.388m) underspend.** Lower number of relets and voids therefore less repair costs of (£1.6m), offset by additional repair costs, due to use of sub-contractors of £1.1m. Leaseholder recharge income lower than expected by £120k. The leaseholder service is currently under review. The movement of (£0.266m) previously reported is due to a review of void repairs at P4.
- **323 Planned Programmes - £0.614m overspend.** Renewal of heat management contract was higher than expected by £0.380m, an increase in spend of £0.200m on communal amenities energy cost which was originally forecast to budget but has been changed to actuals for last year. Increase in costs of £0.060m due additional safety testing required on lifts, offset by other minor variations (£0.026m) The movement on forecast is mainly due to the communal amenities.
- **324 Estate Management - (£0.959m) underspend.** The main underspend is on salary savings due to vacancies of (£0.664m), additional rents largely from unsecured tenanted properties (£0.145m) and (£0.107m) additional service charges income from caretaking, inflationary increase not included in budget, (£67k) savings from court cost and other minor variations of £24k. The movement on previously reported forecast of £0.390m due to lower rent loss on voids revised to budget at P4 £190k, Leaseholder costs reviewed, forecast based on 2019/20 charges, changes in salary forecasts, new cost centre not included in P2 £41k
- **326, Estate Regeneration - (£0.145m) underspend,** Savings on consultancy fees of (£0.145m). An increase of (£0.115m) on previously reported forecast.

b: Risks and Opportunities

Risk	Key Causes	Key Consequence	Key Mitigations
Universal Credit (UC) and increased number of tenants in arrears following Covid 19.	UC continues to be a risk with increased monthly claimants and High level arrears cases continuing to rise as enforcement action continues to be suspended	Arrears for UC tenants will increase as well as the number of claimants	DHP applied for UC cases where applicable Use of Managed Payments All team training on UC management Weekly meeting with DWP Fortnightly UC review meetings with Team Leaders Implementation of Rent Sense – January 2021
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	BCC Climate Emergency target for all council properties to meet net zero carbon by 2030	May be required to retro fit and ensure compliance for new builds	City Leap may enable innovative solutions. Funding is yet to be identified for this work
Review of Decent Homes Standard	Social Housing White Paper announced a review of the Decent Homes Standard, currently under consultation no date yet for introduction of new standard	Increased spend in the housing stock to bring up to the new minimum standard, estimated cost over 30 years £100m	Re-prioritise spend, review income and continue to find ways to delivery Services more effectively.
Increase in income arrears and unable to spend Right to Buy receipts within designated timeframe	Impact of Covid-19 social distancing and economic disruption	Impact on the ability to development new stock and to progress the Housing Investment Programme	Monitor impact of Covid on 2020/21 budget and 30 year business plan and develop action plan for recovery including use of Rentsense to target arrears. Recent changes to the RTB Receipts Pooling requirements will go some way to mitigating the risk of not being able to spend 1-4-1 receipts within the requisite timeframe.
Impact of Brexit	Potential disruption to supply of materials / labour	Delays to planned programme work	Reprioritise work that can be done

c: Capital

Approved Budget	Revised Budget	Expenditure to Date	Forecast Outturn	Outturn Variance
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P4 £110.6m	£110.6m	£9.7m 8.8% of Budget	£87.3m 79% of Budget	(£23.3m)
P2 £110.6m	£110.6m	£1.7m 1.5% of Budget	£84.9m 77% of budget	(£25.7m)

		Current Year (2021)			
Project	Project Description	Budget	Expenditure to Date	Forecast	Variance
£000s					
Housing Revenue Account					
Total for HRA1 - Planned Programme - Major Projects		16,341	1,818	12,012	(4,329)
Total for HRA2 - New Build and Land Enabling		64,765	4,222	52,937	(11,828)
Total for HRA3 - Building Maintenance and Improvements		28,982	3,640	21,981	(7,001)
Total for HRA4 - HRA Infrastructure		500	6	375	(125)
Total Housing Revenue Account		110,589	9,686	87,306	(23,283)

An overall net underspend of (£23.3m), is forecast at period 4 on the 2021/22 HRA Capital Programme, a decrease of £2.4m reported at P2. The underspend is due to delays in works and will be re-profiled to future years in the HRA 5 year Capital Programme.

The main variations in the forecast are:

- **Planned Programme** – An underspend in the year of (£4.3m) against a budget of £16.3m due to a delay in the works. Key variations are on the following schemes:
 - £0.2m cost increase due to revision of heating component lifecycles
 - (£0.2m) underspend against rewires based on current rate of repairs to date
 - (£0.1m) underspend on window replacements as some works moved to External Repairs, contract re-tendering and two sites being held back on capacity grounds
 - (£2.1m) Kitchen Contract and the timing of a new contract coming into effect
 - (£1.6m) Retro Fit Pilot, which it is anticipated will be clawed back in 2022/23
 - (£0.5m) savings against major repairs to blocks
- **New Build and Land Enabling** – An underspend (£11.8m) against a budget of £64.8m. The budget has undergone significant re-profiling during the year to date as a number of schemes continue to suffer delays due to Covid, and other issues such as Environmental concerns. However, a number of schemes have now either achieved planning, or are close to doing so, and the procurement of development partners is in progress. This has resulted in greater confidence that these schemes will be on site this year, with the resultant increase in spend now forecast.

- **Building Maintenance and Improvement** – An underspend of (£7.0m) against a budget of £29.0m, is due largely to the potential bringing forward of Major Refurb works at Silcox Road and Northfield House, £1.1m overspend, as well as a £0.5m increase to the contingency budget for works to blocks £0.1m for works to acquired properties and £0.3m additional requirement for structural works, offset by (£0.4m) underspend against Night Storage Replacement and (£8.6m) underspend on Major Refurbishments at Walwyn Gardens, Ropewalk House, Barton Hill, Bishport 5 and Eccleston & Phoenix.

a: Revenue Budget Monitor

	Revised Budget	Forecast Outturn	Outturn Variance	Cumulative Deficit
P04	£182.7m	£193.8m	£11.1m overspend	£21.1m overspend
<i>P02</i>	<i>£182.7m</i>	<i>£193.2m</i>	<i>£10.5m overspend</i>	<i>£20.5m overspend</i>

May	June	Jul/Aug	Sept	Oct	Nov	Dec	Jan	Feb
20.5	20.5	21.1						
		▼						

Revenue Position

Summary DSG position 2021/22 Period 04 (all figures in £000s)

	b/f	Net DSG funding/budget 2021/22	P04 2021/22 Forecast Outturn	In-year variance at P4	Cumulative c/f
Schools Block	(619)	87,256	86,322	(934)	(1,553)
De-delegation	(553)	31	31	0	(553)
Schools Central Block	0	2,596	2,596	0	0
Early Years	(621)	37,185	37,726	541	(80)
High Needs Block	12,609	54,266	65,766	11,500	24,109
HNB Transformation	(812)	1,400	1,400	0	(812)
Funding		(182,734)	(182,734)	0	0
Total	10,004	0	11,108	11,108	21,112

Key Messages

The in-year forecast deficit on the DSG is significant at £11.1m, which when added to the brought forward balance (of £10.0m) will give a total deficit to carry forward at the end of the year of £21.1m as illustrated in the table above. The main area for concern continues to be the High Needs block, which is forecasting an in-year overspend of £11.5m and Early Years SEN overspend of £0.541m; offset slightly by an underspend of £0.934m in the Schools block (growth fund, due to close of 3 schools).

Within the High Needs Block, £7.4m increase is anticipated in top-up funding alone and is still experiencing the biggest pressure; followed by £2.34m increase in special placements and £0.897m in ISP's. There will be further rounds of top-up applications, due to take place later in the year, the impact of which are, as-yet, unknown.

The other area of overspend is £0.568m in Early Year's block due to pressure in SEN additional needs area where more children have been identified with EHCP needs, offset slightly by £0.026m savings in central team costs.

Appendix A6 – Public Health

2021/22 – P04 Budget Monitor Report

a: Revenue Budget Monitor

	Revised Budget	Forecast Outturn	Outturn Variance
P4	£0.0m	£0.0m	£0.0m overspend
P02	£0.0m	£0.0m	£0.0m overspend

May	June	Jul/Aug	Sept	Oct	Nov	Dec	Jan	Feb
0.0	0.0							

- Public Health (PH) Grant of £33.643m was awarded for 2021/22.
- The investment will focus on developing commissioning strategies and plans for the key services including Domestic Abuse, Drugs and Alcohol, Sexual Health and Child health.

The tables below provide a breakdown as follows:

- Table 1: The budget for 2021/22 and the current forecast at P04
- Table 2: Internally commissioned services for 2021/22
- Table 3: Externally commissioned services for 2021/22

Table 1: Summary of Spend

Budget Projection	Budget 2021/22	Forecast as at P4 2021/22	Variance
	£'000	£'000	£'000
Salaries	2,896	2,927	31
Running Costs & Overheads	1,115	1,027	-88
Internal Commissioned Services	5,572	5,760	188
External Commissioned Services	28,868	30,889	2,021
Gross Cost	38,451	40,603	2,152
Funding:			
Public Health Grant	-33,643	-33,643	0
Other Grants	0	0	0
Joint Partnership Funding	-4,808	-6,602	-1,794
Use of Reserve	0	-358	-358
Total Funding	-38,451	-40,603	-2,152
Net Spend	0	0	0

Table 2: Public Health – Internal Commissioned Services: Plan 2021/22

Public Health - Internal Commissioning intentions	Directorate	Planned 2021/22	Forecast as at P4	Variance Outturn as at P4
		£'000	£'000	£'000
Gypsy and Traveller Health	Growth & Regeneration	12	12	0
Housing Officers	Growth & Regeneration	70	70	0
Prevention Homelessness - Substance Misuse Pathway	Growth & Regeneration	750	938	188
Breast Feeding Support Team	People	83	83	0
Safety Fitting Equipment	People	20	20	0
Children's Centres	People	1,220	1,220	0
Community Use of school sports facilities	People	649	649	0
Children and Young People Substance Misuse	People	146	146	0
Substance Misuse	People	0	0	0
Domestic Abuse	People	896	896	0
Health Protection	People	0	0	0
Inclusion Facilitators	People	120	120	0
Advice Grants	People	76	76	0
Impact Grant	People	597	597	0
Community Development Team	People	809	809	0
JSNA Manager	Resources	15	15	0
QOL Survey - Health Questions	Resources	10	10	0
Comms Support and Campaigns		100	100	0
Leisure Centres Contribution re COVID	People	0	0	0
Total - Internal Commissioned Services		5,572	5,760	188

Table 3: Public Health – External Commissioned Services: Plan 2020/21

PHE Code	Public Health - External Commissioning Intentions	Planned 2021-22	Forecast as at P4	Variance
		£'000	£'000	Outturn as at P4 £'000
361	Sexual health services - STI testing and treatment (prescribed functions)	5,251	5,204	-47
362	Sexual health services - Contraception (prescribed functions)	3,388	3,446	57
363	Sexual health services - Promotion, prevention and advice (non-prescribed functions)	288	472	184
365	NHS health check programme (prescribed functions)	400	400	0
366	Health protection - Local authority role in health protection (prescribed functions)	0	0	0
368	National child measurement programme (prescribed functions)	463	554	92
370	Public health advice to NHS commissioners (prescribed functions)	0	0	0
371	Obesity - adults	0	10	10
372	Obesity - children	0	49	49
373	Physical activity - adults	192	157	-35
374	Physical activity - children	192	156	-36
376	Substance misuse - Treatment for drug misuse in adults	6,616	6,550	-66
377	Substance misuse - Treatment for alcohol misuse in adults	2,249	2,244	-5
378	Substance misuse - Preventing and reducing harm from drug misuse in adults	0	0	0
379	Substance misuse - Preventing and reducing harm from alcohol misuse in adults	39	39	0
380	Substance misuse - Specialist drug and alcohol misuse services for children and young people	0	5	5
381	Smoking and tobacco - Stop smoking services and interventions	470	524	53
382	Smoking and tobacco - Wider tobacco control	15	15	0
383	Children 5–19 public health programmes	1,428	1,703	275
384	Mandated 0-5 children's services (prescribed functions)	7,545	8,870	1,325
385	All Other 0-5 children's services (non-prescribed functions)	15	134	120
386	Health at work	0	0	0
387	Public mental health	110	175	65
389	Miscellaneous public health services - other	207	182	-25
391	Test, track & trace and outbreak planning	0	0	0
392	Other public health spend relating to COVID-19	0	0	0
	Total External Commissioning Intentions	28,868	30,889	2,021

Bristol City Council July 2021 (P03/P04) Capital Summary Finance Report

1. Capital Programme

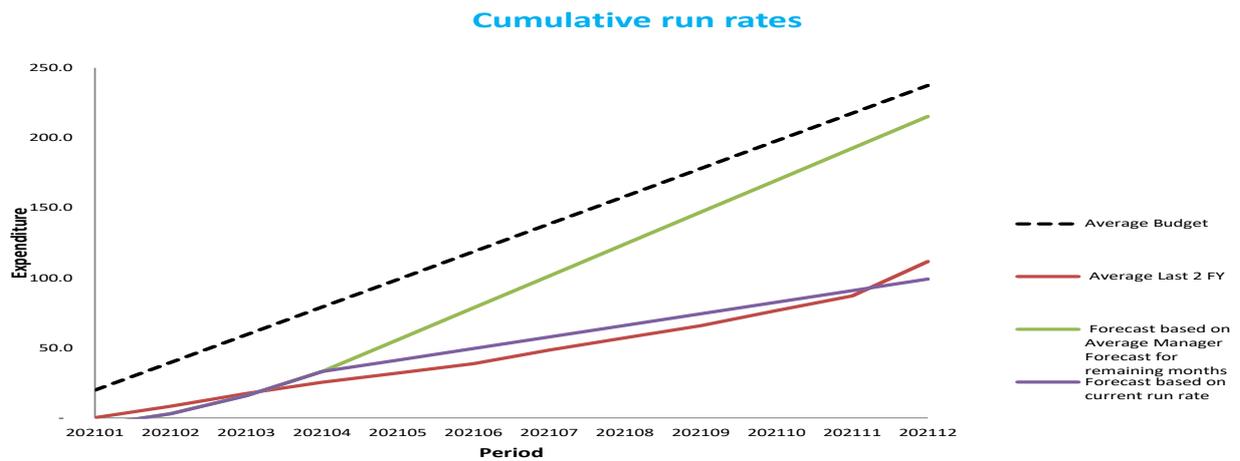
1.1. Figure 1 below sets out the Capital Outturn position for 2021/22 by Directorate, further detail is provided in the individual directorate appendices to this report.

Figure 1 - Capital Forecast Outturn position for 2021/22 by Directorate

Approved Budget (Feb 21)	Budget Changes upto P4	Directorate	Revised Budget	Actual Spend to date	Budget Spend to date %	Forecast Outturn	Variance
£m	£m		£m	£m		£m	£m
36.4	(1.3)	People	35.1	8.5	24%	28.7	(6.4)
8.3	0.7	Resources	9.0	1.5	17%	6.3	(2.7)
154.1	37.9	Growth and Regeneration	192.0	23.0	12%	179.0	(13.0)
198.8	37.3	Sub-total	236.1	33.0	14%	214.0	(22.1)
12.0	(10.7)	Corporate	1.3	0.0	0%	1.3	0.0
110.6	0.0	Housing Revenue Account	110.6	9.7	9%	87.3	(23.3)
321.4	26.6	Total Capital Programme	348.0	42.7	12%	302.6	(45.4)

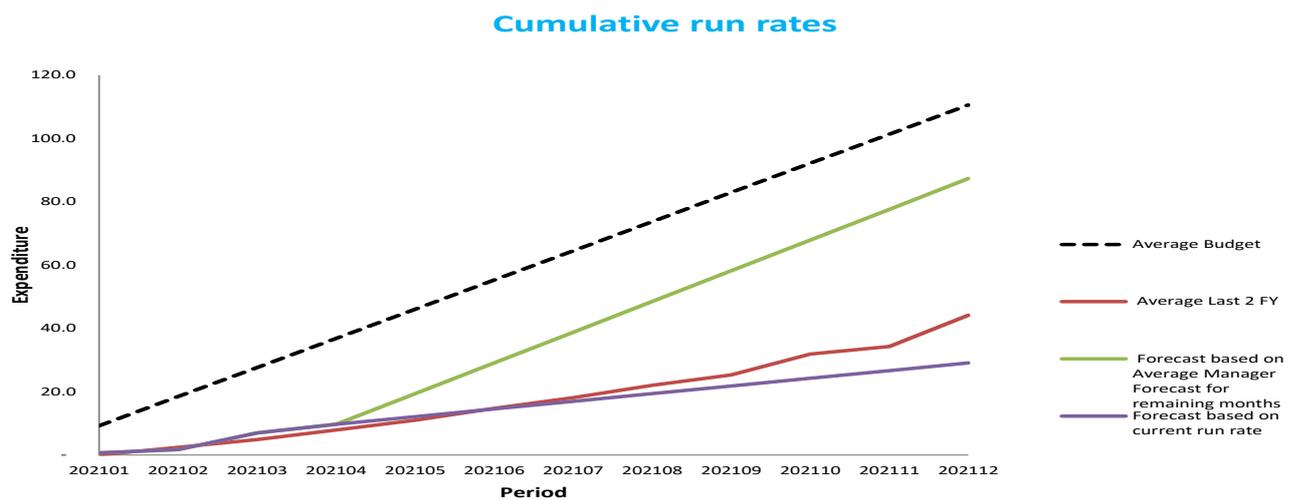
- 1.2. The 2021/22 capital programme approved budget at Full Council in February 2021 is £321.4m, an increase of £26.6m to the revised budget of £348m at Period 4. The 2021/22 budget change minor movements incurred at Period 4 from Period 3 total £0.3m.
- 1.3. The actual spend at P04 continues to be low at £42.7m (12%) and the delivery expectation continues to be overly optimistic based on previous year spend trends of £166m 2020/21, £145m 2019/20, £130m 2018/19 which are significantly lower than the current 2021/22 forecasted expectation of £303m.
- 1.4. This £215m General Fund outturn projection has been based on current low level of actual spend £33m as at P04, the current run rate graph (Figure 2 below) predicts a £116m spend deficit if trajectory follows the same rate as for the first 4 months of the year.
- 1.5. Governance of the Capital Programme is in the process of being reviewed and an update on actions being taken and changes to support delivery will be presented to Audit Committee in September and reflected in the refreshed Capital Strategy for approval later this financial year.
- 1.6. Whilst there is slippage in the current programme there are risk of pressures to the overall programme caused by delays due to National supply issues of labour and raw materials and also resultant inflationary pressures.

Figure 2 – General Fund – 2021/22 Capital Programme Period 4 run rate graph



1.7. The Housing Revenue Account (HRA) has a delivery gap of £58m based on predictive run rate levels of spend to meet the period 4 forecast outturn position of £87m as seen in the run rate graph (Figure 3 below).

Figure 3 – HRA – 2021/22 Capital Programme Period 4 run rate graph



Appendix C - Infection Control Fund and Rapid Testing

1. The Adult Social Care Infection Control Fund was first introduced in May 2020. It was extended in October 2020 for infection prevention and control (IPC). The Rapid Testing Fund was introduced in January 2021 to support additional rapid lateral flow testing of staff in care homes, and enable indoors, close contact visiting where possible. These funding streams have been consolidated and extended until June 2021. This is a new grant, with separate conditions to the original Infection Control Fund, the extension to the Infection Control Fund and the original Rapid Testing Fund. The total Bristol allocation is £2,270,788 with the discretionary award element of £790,546.
2. This funding will be paid as a Section 31 grant ring fenced exclusively for actions which support care homes and CQC-regulated community care providers mainly to tackle the risk of COVID-19 infections and enable close-contact visiting, and is in addition to funding already received. Local authorities should pass on directly:
 - 70% of the IPC allocation to care homes on a 'per beds' basis, and CQC-regulated community care providers on a 'per user' basis; and
 - 70% of the rapid testing allocation to care homes on a 'per beds' basis within the local authority's geographical area, including to social care providers with whom the local authority does not have existing contracts.
 - The local authority has discretion to use the remaining 30% of the IPC allocation and the rapid testing allocation to provide further support to the care sector. This element is the focus of this decision paper.
3. £1.675m has been allocated to Bristol City Council for distribution as per guidance. The discretionary award element is £284,428 (Infection Control) and £232,332 (Rapid Testing) Authorisation is sought to allocate of the Discretionary Award element of the Adult Social Care Infection Control and Testing Fund Ring-Fenced Grant 2021.

Local discretionary decision

4. Guidance states IPC funding could be used for providing support on the IPC measures outlined above to a broader range of care settings. Supported Living and other community providers face similar challenges as residential care homes in terms of infection control and facilitating safe visiting but have not enjoyed the same priority in terms of DHSC funding or when new testing initiatives have been rolled out. Therefore the local decision is that this discretionary funding will be distributed on the basis of the number of people in supported living residing in Bristol for providers to utilise on continued IPC measures and awarded to Support To Access the Community (STAC) and Time for You Carers support (T4U) providers for the same purpose.

5. The IPC funding could be put in place to boost the resilience and supply of the adult social care workforce in their area. The local decision is that this discretionary funding will also be used to continue / expand current resilience.
6. Guidance states local authorities may use a small amount of this IPC funding (capped at 1% of their total IPC allocation) for reasonable administrative costs associated with distributing and reporting on this funding. We will use a small amount (under 0.5%) to pay additional hours to current staff to free time to administer this fund.
7. The Rapid Testing allocation will be divided amongst ECH, Bristol based Supported Living, STAC, T4U and Day Services providers.

IPC LA discretion	£264 947	Bristol based Supported Living and STAC/T4U providers	Allocated per user
	£9 481	Additional admin costs	
	£10 000	Workforce resilience	
RT LA discretion	£232 332	Bristol based ECH, Supported Living STAC, T4U Day Services providers	Allocated per user

Decision Pathway – Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 14 September 2021

TITLE	Parks Capital Maintenance Programme			
Ward(s)	Citywide			
Author: Richard Fletcher	Job title: Parks Services Manager			
Cabinet lead: Councillor Asher Craig, Deputy Mayor and Cabinet Member for Communities, Equalities and Public Health	Executive Director lead: Stephen Peacock, Executive Director Growth and Regeneration			
Proposal origin: BCC Staff				
Decision maker: Cabinet Member Decision forum: Cabinet				
Purpose of Report:				
<ol style="list-style-type: none"> 1. To approve the addition of new capital budgets to the capital programme for rebuild and restoration works in parks and green spaces and cemeteries and to procure equipment that will support the goals of the One City Environmental Emergency Strategy and aspirations for better management of parks for nature. 				
Evidence Base:				
<ol style="list-style-type: none"> 1. Parks and Green Spaces are important to our way of lives and sense of wellbeing. The value of our parks to residents continues to increase and the city’s park and green spaces became a vital destination during the Coronavirus pandemic. 2. At Full Council on 23rd February 2021 the following capital budget was approved for Parks Services to enable essential rebuild and restoration works to take place on parks and cemeteries’ infrastructure. This will ensure that the quality of the assets in scope is raised to the benefit of park users and lower maintenance costs moving forward. 				
		Year and budget (£000’s)		
Items	21/22	22/23	23/24	Total
Essential Parks Maintenance	1,400	850	750	3,000
<ol style="list-style-type: none"> 3. The hard surface and walling re-build and restoration programmes were determined following a condition assessment with costs estimated via the engineer’s report or via Highways Contract specification and rates. The work programme is identified in Appendices A1 and A2. This work will improve access and safe use of parks and green spaces in many parts of the city and help restore heritage walls in parks including Ashton Court Estate. The work recognises the increased importance of the city’s parks for its residents as a result of the covid pandemic. 4. The ‘St George Park boating lake perimeter wall re-design and build’ will be combined with a project already funded by Area Committee 4 that will result in a total investment of £475K to significantly enhance the lake for nature and park users and help make the park a significant city attraction adding to the investment in café and toilet facilities in recent years. 5. Year 1 of the “grounds maintenance operational equipment replacement programme” is determined by monitoring the condition of equipment through annual maintenance and servicing carried out by Fleet Services. All grounds maintenance services are delivered in-house and relevant equipment needs to be 				

procured to enable this. The replacement programme for Year 1 is provided in Appendix A3.

6. A review of the council’s approach to grounds maintenance is required in order to respond to the goals of the One City Environmental Emergency Strategy and support our aspirations for better managing parks for nature. The budget for year’s 2 and 3 of £635K for this programme will be informed by that process and support the delivery of change.
7. The Parks Service has recruited to a 3-year FTC project officer to support delivery of this programme.

Officer recommendations:

That Cabinet:

1. Approve the addition of new capital budgets to the capital programme for rebuild and restoration works in parks and green spaces and cemeteries as set out in this report at a cost of up to £3M.
2. Authorise the Executive Director – Growth & Regeneration in consultation with Cabinet Member for Communities, Equalities and Public Health and the Director of Finance to take all steps required spend the additional budget and to procure and award the contracts necessary to implement the rebuild and restoration works in parks and green spaces and cemeteries and to procure equipment in line with the maximum budget envelopes outlined in this report.

Corporate Strategy alignment:

1. Build city resilience, improving our ability to cope with environmental, economic or social ‘shocks and stresses’;
2. Focus on planned long-term outcomes not short-term fixes, prioritising early intervention, and prevention.

City Benefits:

1. Enabling the Council to provide a safe and efficient grounds maintenance service for the city;
2. Helping ensure accessible public spaces are safe for all users in accordance with the Health and Safety at Work Act 1974;
3. Helping to restore and protect heritage features in park and green spaces for future generations.

Background Documents:

Budget report Full Council 23rd February 2021

Revenue Cost	£0	Source of Revenue Funding	<i>Insert specific service budget</i>
Capital Cost	£3M	Source of Capital Funding	£3m Prudential Borrowing to fund Essential Maintenance Programme.
One off cost <input checked="" type="checkbox"/>	Ongoing cost <input type="checkbox"/>	Saving Proposal <input type="checkbox"/>	Income generation proposal <input type="checkbox"/>

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

1. **Finance Advice:** The report seeks approval of the Parks capital maintenance programme for next 3 years (starting 2021/22) and is estimated at £3m. The budget is to fund rebuilding and restoration works in parks and green spaces and cemeteries and to procure equipment.
2. Funding was approved by full Council in February 2021 and will be financed through prudential borrowing.
3. The work outlined within the Table below will be contained within the funding envelope provided, and it is not expected to result in any additional financial implications for the council:

Items	Year and budget (£000’s)			
	21/22	22/23	23/24	Total
Hard surface re-build and restoration programme	100	540	535	1,175
Grounds maintenance operational equipment replacement programme	140	435	200	775

Urgent wall re-build and restoration programme	30	180	180	390
Oldbury Court riverside footpath - bank defence work, raise & renew footpath	100	90	-	190
Snuff Mills - halfpenny bridge replacement	-	70	-	70
Canford Crematorium roof and skylight repairs and replacement	30	-	-	30
Avonview cemetery - public and operational building upgrade	-	20	-	20
South Bristol Crem - New Air Con unit as health & safety requirement	10	-	-	10
St George Park boating lake perimeter wall re-design and build	130	210	-	340
	540	1,545	915	3,000
4. The service will be expected to follow the Council approved procurement process and ensure that adequate contingencies are built into the various work packages that will be commissioned.				
Finance Business Partner: Kayode Olagundoye, Interim Finance Business Partner, Growth and Regeneration, 23/08/2021				
2. Legal Advice: 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 : Husinara Jones Team Leader/Solicitor 23 rd August 2021				
3. Implications on IT: "No anticipated impact on IT/Digital Services"				
IT Team Leader: Simon Oliver, Director, Digital Transformation. 5 th August 2021				
4. HR Advice: "There are no HR implications evident"				
HR Partner: Celia Williams, HR Business Partner – Growth and Regeneration. 6 th August 2021				
EDM Sign-off	Stephen Peacock, Executive Directors Growth and Regeneration, EDM 14 th July but subsequently adjusted and amendments approved			5 th August 2021
Cabinet Member sign-off	Cllr Asher Craig, Deputy Mayor and Cabinet Member for Communities, Equalities and Public Health			29 th July 2021
For Key Decisions - Mayor's Office sign-off	Mayor's Office			16 th August 2021
Appendix A – Further essential background / detail on the proposal Appendix A1 – Hard surface restoration works priorities Appendix A2 – Walling restoration works priorities Appendix A3 – Operational equipment requirements				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

APPENDIX A1 - Hard Surface restoration works priorities

Site Name	Ward	Condition	Repair Cost
Various. Combined value of works under £5K	Various	Bad	£ 297,464
Bedminster Common Open Space	Bishopsworth	Bad	£ 5,181
Perretts Park	Windmill Hill	Bad	£ 5,478
Blaise Castle Estate	Henbury & Brentry	Bad	£ 6,094
Dingle Close	Stoke Bishop	Bad	£ 6,179
Perretts Park	Windmill Hill	Bad	£ 6,326
Cobden Street AA	Easton	Bad	£ 6,354
Eastville Park	Eastville	Bad	£ 6,456
Blaise Castle Estate	Henbury & Brentry	Bad	£ 6,562
Blaise Castle Estate	Henbury & Brentry	Bad	£ 6,651
St Augustines Park	Hengrove & Whitchurch Park	Bad	£ 7,289
Stoke Park Estate	Lockleaze	Bad	£ 7,299
Eastville Park	Eastville	Bad	£ 8,344
Victoria Park	Windmill Hill	Bad	£ 8,588
Victoria Park	Windmill Hill	Bad	£ 8,842
Blaise Castle Estate	Avonmouth & Lawrence Weston	Bad	£ 8,884
Doncaster Road Park	Southmead	Bad	£ 8,933
Hartcliffe Millennium Green	Hengrove & Whitchurch Park	Bad	£ 9,038
Fonthill Park	Southmead	Bad	£ 9,146
Clifton and Durdham Downs	Stoke Bishop	Bad	£ 10,225
Oldbury Court Estate	Frome Vale	Bad	£ 10,709
Victoria Park	Windmill Hill	Bad	£ 10,888
Doncaster Road Park	Southmead	Bad	£ 10,944
Victoria Park	Windmill Hill	Bad	£ 11,116
Eastville Park	Eastville	Bad	£ 11,281
St Annes Wood	Brislington East	Bad	£ 11,540
Hengrove Park	Hengrove & Whitchurch Park	Bad	£ 11,663
Netham Park	Easton	Bad	£ 12,657
St George Park	St George West	Bad	£ 12,779
Victoria Park	Windmill Hill	Bad	£ 13,477
Brandon Hill Park	Hotwells & Harbourside	Bad	£ 13,744
Muller Road Recreation Ground	Lockleaze	Bad	£ 13,785
Blaise Castle Estate	Avonmouth & Lawrence Weston	Bad	£ 15,586
Horfield Common Open Space	Bishopston & Ashley Down	Bad	£ 15,707
Canford Cemetery	Westbury-on-Trym & Henleaze	Bad	£ 15,902
Victoria Park	Windmill Hill	Bad	£ 17,715
Redcross Street Open Space	Lawrence Hill	Bad	£ 20,179
Victoria Park	Windmill Hill	Bad	£ 21,538
Henacre Open Space	Avonmouth & Lawrence Weston	Bad	£ 25,830
Horfield Common Open Space	Horfield	Bad	£ 27,085
Oldbury Court Estate	Frome Vale	Bad	£ 30,885
Muller Road Recreation Ground	Lockleaze	Bad	£ 31,208
Blaise Castle Estate	Avonmouth & Lawrence Weston	Bad	£ 73,738
Eastwood Farm	Brislington East	Bad	£ 74,829
Various Sites - Amount for urgent unidentified issues and Plots that have deteriorated from Poor to Bad since inspection or Poor that would be prudent to do in conjunction with Bad. Note Poor Status cost currently is £1.4M		Poor	£ 220,882
			£ 1,175,000

APPENDIX A2 - Walling restoration works priorities

Site Name	Ward Name	Job Notes	Priority within Urgent	Cost Estimate
Arnos Court Park	Brislington West	Partial collapse of stonework (unstable) - Take down and rebuild Movement cracks and loose stonework - Take down and rebuild Upper section of stone missing/loose - Take down and rebuild	2	£13,700
Ashton Court Estate	Bedminster	Various locations - Total collapse, partial collapse, repair		£70,150
Brandon Hill Park	Hotwells & Harbourside	Bar to railing/handrail missing - Replace	2	£75
Brandon Hill Park	Hotwells & Harbourside	Loose high-level coping and stonework - Take down and repair	2	£800
Brandon Hill Park	Hotwells & Harbourside	Significant damage to fence protecting exposed edge - Replace	2	£1,000
Castle Park	Central	Loose high-level stonework and brick repairs - Cut out and repair	2	£1,500
East Park Housing	Eastville	Missing and loose high-level stonework - Take down loose stone and rebuild	3	£500
East Park Housing	Eastville	Missing and loose brickwork - Take down loose stone and rebuild in engineering brickwork	3	£375
Eastville Park	Eastville	Partial collapse of rear buttress - Cut out loose and damaged bricks and repair Drainage pipe through wall damaged - Cut out and repair	3	£600
Eastville Park	Eastville	Loose coping - Take down and rebuild Missing stonework - Clean and repair	3	£675
Eastville Park	Eastville	Partial collapse/missing stonework - Take down	3	£600
Eastville Park	Eastville	Partial collapse and loose stonework - Take down and remove	3	£1,200
Eastville Park	Eastville	Partial collapse and loose stonework - Take down, cut out loose stone, clean and rebuild Loose coping - Take down, cut out loose stone, clean and rebuild	3	£2,600
Eastville Park	Eastville	Loose/missing stonework - Cut out, clean and repair	3	£400
Fishponds Park	Frome Vale	Loose coping stone - Take down and rebuild	3	£125
Greville Smyth Park	Southville	Cock and hen coping loose/missing - Take down and repair Excessive spacing to cock and hen coping providing insufficient support to vertical stonework - Take up and re-bed stonework	1	£6,000
Greville Smyth Park	Southville	Stone piers damaged Take down and repair Inner face of wall partially collapsed Take down and rebuild	3	£2,000
Kings Head Lane Park	Bishopsworth	Damaged mesh and concrete post - Replace damaged/missing fencing	3	£1,200
Mina Road Park	Ashley	Update paintwork Prepare and paint all previously painted surfaces	5	£200
Montpelier Park	Ashley	Rails to edge missing - Take down and replace	3	£1,500
Montpelier Park	Ashley	Framing corroding - De-rust, treat and paint	5	£75

Netham Park	Easton	Loose brickwork to top of wall - Take down and repair	2	£100
Netham Park	Easton	Loose stonework - Cut out and repair/stabilise	2	£600
Netham Park	Easton	Loose stone coping - Cut out and repair	2	£400
Old Quarry Park	Westbury-on-Trym & H	Partial collapse of stonework - Take down and rebuild		
Old Quarry Park	Westbury-on-Trym & H	Loose stonework - Cut out, clean and relay	2	£18,200
Old Quarry Park	Westbury-on-Trym & H	Roadside wall repoint whilst doing above	2	£12,800
Old Quarry Park	Westbury-on-Trym & H	Roadside wall repoint whilst doing above	2	£5,760
Old Quarry Park	Westbury-on-Trym & H	Traffic management lane closer cost for above	2	£3,000
Old Sneed Park Nature Re	Stoke Bishop	Concrete posts damaged and missing - Replace		
Old Sneed Park Nature Re	Stoke Bishop	Metal railings bent and corroding - Repair/replace	5	£700
Sidelands Road Park	Frome Vale	Section of stonework collapsed - No action	4	£900
Snuff Mills Park	Frome Vale	Partial collapsed chain-link fencing - Take down and replace	5	£900
Snuff Mills Park	Frome Vale	Significant damage to post and rail and Chestnut fencing - Repair	5	£1,100
Snuff Mills Park	Frome Vale	Partial collapse to low level stonework - Take down and rebuild	5	£800
St Andrews Park	Ashley	Partial collapse of stonework - No action		
St Andrews Park	Ashley	Missing/loose stonework - Cut out and repair	5	£1,100
St Andrews Park	Ashley	Missing/loose stonework - Cut out and repair	5	£300
St Andrews Park	Ashley	Partial collapse of stonework - Take down and rebuild		
St Andrews Park	Ashley	Missing stonework - Clean and repair		
St Andrews Park	Ashley	Loose stonework - Cut out and repair		
St Andrews Park	Ashley	Stonework out of alignment - No action	5	£3,200
St Andrews Park	Ashley	Missing/loose stonework - Cut out and repair		
St Andrews Park	Ashley	Stonework to pier missing/loose - Cut out and repair	5	£4,200
St Andrews Park	Ashley	Missing/loose stone - Clean and repair	5	£675
St Annes Park	Brislington East	Chain-link adjacent pylon significantly damaged - Replace damaged fencing surrounding pylon	4	£300
St George Park	St George West	Section of fencing removed - Replace	4	£1,800
St James Park	Central	Loose high-level stonework - Cut out, clean and repair/rebuild		
St James Park	Central	Cracked/loose stonework to pier - Cut out, clean and repair/rebuild	2	£600
Stoke Park Estate	Lockleaze	Partial collapse of stonework due to tree root growth - Remove adjacent trees, take down and rebuild stonework		
Stoke Park Estate	Lockleaze	Significant root damage to stonework - Take down stone work, remove roots and rebuild	4	£25,000
Stoke Park Estate	Lockleaze	Significant loose stone and frost damage to coping - Cut out and replace		
Stoke Park Estate	Lockleaze	Loose stone and coping - Take down and rebuild	4	£15,011
Stoke Park Estate	Lockleaze	Partial collapse - Rebuild	4	£500
Stoke Park Estate	Lockleaze	Partial collapse of keystone to opening (W62) - Take down and rebuild	2	£800
The Dings Park	Lawrence Hill	Loose high-level stone - Take down and rebuild		
The Dings Park	Lawrence Hill	Missing stonework - Clean and repair	2	£2,000

Victoria Park	Windmill Hill	Loose and cracked stonework - Take down defective stone and rebuild Root damage to stonework - Take down, remove roots/vegetation and rebuild	3	£2,700
Victoria Park	Windmill Hill	Partial collapse of stonework - Take down and rebuild Missing stonework to buttress - Cut out and rebuild	3	£550
Victoria Park	Windmill Hill	Missing stonework to buttresses - Take down and repair Loose stone to buttresses - Cut out and repair	3	£400
Victoria Square Park	Clifton	Significant damage, erosion and missing ashlar and coping - Cut out and replace/repair Significant damage to ornate coping - Cut out and replace damaged bricks Wall damaged by tree root growth - Take down damaged section of wall, reduce roots and rebuild Mortar joints deteriorating - Rake out and repoint	5	£0
Willmott Park	Hartcliffe & Witherwood	Significant decay to steps - Cut out and replace	3	£200
Willmott Park	Hartcliffe & Witherwood	Impact damage to vehicle gate - Take down and repair/replace	4	£800
Various		Essential Works brought forward in conjunction with Urgent Works or have become Urgent since survey	3	£50,000
Blaise Castle Estate		Awaiting Condition Survey report which is in progress	3	£50,000
Kingsweston Estate		Awaiting Condition Survey report which is in progress	3	£25,000
Oldbury Court East	Frome Vale	Awaiting Condition Survey report which is in progress	3	£30,000
Various		Adhoc collapses over next three years	2	£27,329
				£393,000

APPENDIX A3 - OPERATIONAL EQUIPMENT REQUIREMENTS

Item	No. of machines	Estimated Unit Cost	Total cost	Operational Location
Stander ride on mower	2	£6,900.00	£13,800.00	South
60" Rotary deck for Ransome HR300	2	£4,400.00	£8,800.00	North
60" out front ride on machine	4	£21,000.00	£84,000.00	Central/East, Downs
batwing mower	1	£43,000.00	£43,000.00	South
Pedestrian, mowers	3	£1,100.00	£3,300.00	All areas
Various hand-held equipment items	62	£427.25	£26,489.50	All areas
Scag not Ferris	3	£6,500.00	£19,500.00	South, NorthN
Gator	1	£13,000.00	£13,000.00	Downs
Remote ride control bank mower	1	£36,000.00	£36,000.00	All areas
Hott water towed steam cleaner	1	£20,000.00	£20,000.00	Central/East
1.5T high lift dumper	1	£17,000.00	£17,000.00	Landscapes
Transport trailer for above	1	£6,000.00	£6,000.00	Landscapes
Tractor 120HP	1	£60,000.00	£60,000.00	Downs
Total			£350,889.50	

Parks capital maintenance programme risk assessment

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

Ref	Risk Description	Key Causes	Key Consequence	Status Open / Closed	Strategic Theme	Risk Category	Risk Owner	Key Mitigations	Direction of travel	Current Risk Level			Monetary Impact of Risk £k	Risk Tolerance			
										Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating	Date
R001	The budget allocated is not sufficient to resolve all urgent and essential works as anticipated.	The asset base is subject to regular inspection and new works may be identified. The cost of repair may be higher than anticipated by the inspector.	Higher risk repairs are not able to be progressed.	Open		Health and safety	Parks Services Manager	Within the capital programme divert funding from a category/workstream that has lower risk case work to one that is of higher risk. Allocate revenue budgets to support essential repairs where necessary	Static	3	3	9	£0.00	3	3	9	Aug-21
R002	Works do not meet public expectations in terms of scope	Park users may expect that an asset in poor condition in a local park will be remedied when BCC assessment is that it is a lower priority	Enhanced scrutiny on the purpose and scope of works planned.	Open		Reputation	Play and Projects Manager	Potential to publish list of works online and provide to members. Work with External Comms on public messaging. Include key message that other works can be carried out through revenue budgets for repairs.	Static	3	3	9	£0.00	3	3	9	Aug-21
R003	Profile of spend cannot be delivered as prescribed	Delays in specifying works or carrying through successful procurement processes.	Spend needs to be moved to a later financial year. Spend moves into a fourth financial year	Open		Project/Programme management Reputation	Project manager	Employ project specific officer to concentrate on delivery. Diversify means of delivery in terms of work packages - strategic partner, through Building Services, case procurement, programme procurement.	Improved	3	3	9	£0.00	3	3	9	Aug-21
R004	Works reveal higher cost issues than originally specified	The work specification failed to include all works required as identified at inspection	Costs will increase on individual projects reducing the scope of the programme overall. Higher risk repairs are not able to be progressed.	Open		Project/Programme management Health and safety	Play and Projects Manager	Employ skilled and experienced project officer to concentrate on delivery. Build in contingency to projects. Allocate revenue budgets to support essential repairs where they can no longer be sustained by the programme	Improved	3	3	9	£0.00	3	3	9	Aug-21
												0				0	

Equality Impact Assessment [version 2.9]



Title: Parks Capital Maintenance Programme	
<input type="checkbox"/> Policy <input type="checkbox"/> Strategy <input type="checkbox"/> Function <input checked="" type="checkbox"/> Service <input type="checkbox"/> Other [please state]	<input checked="" type="checkbox"/> New <input type="checkbox"/> Already exists / review <input type="checkbox"/> Changing
Directorate: Growth and Regeneration	Lead Officer name: Richard Fletcher
Service Area: Parks and Green Spaces	Lead Officer role: Parks Services Manager

Step 1: What do we want to do?

The purpose of an Equality Impact Assessment is to assist decision makers in understanding the impact of proposals as part of their duties under the Equality Act 2010. Detailed guidance to support completion can be found here [Equality Impact Assessments \(EqIA\) \(sharepoint.com\)](#).

This assessment should be started at the beginning of the process by someone with a good knowledge of the proposal and service area, and sufficient influence over the proposal. It is good practice to take a team approach to completing the equality impact assessment. Please contact the [Equality and Inclusion Team](#) early for advice and feedback.

1.1 What are the aims and objectives/purpose of this proposal?

Briefly explain the purpose of the proposal and why it is needed. Describe who it is aimed at and the intended aims / outcomes. Where known also summarise the key actions you plan to undertake. Please use plain English, avoiding jargon and acronyms. Equality Impact Assessments are viewed by a wide range of people including decision-makers and the wider public.

To deliver a series of capital works to rebuild and restore elements of infrastructure in parks over a three-year period. Works will be carried out on heritage walls, footpaths and hard surfaces and include the restoration of the lake at St George Park.

To procure new grounds maintenance equipment and machinery over a three-year period and use this to sustain grounds maintenance services and enable a migration towards managing spaces better for nature.

Detail:

- Hard surface re-build and restoration programme
- Grounds maintenance operational equipment replacement programme
- Urgent wall re-build and restoration programme
- Oldbury Court riverside footpath - bank defence work, raise & renew footpath
- Snuff Mills - halfpenny bridge replacement
- Canford Crematorium roof and skylight repairs and replacement
- Avonview cemetery - public and operational building upgrade
- South Bristol Crem - New Air Con unit as health & safety requirement
- St George Park boating lake perimeter wall re-design and build

1.2 Who will the proposal have the potential to affect?

<input type="checkbox"/> Bristol City Council workforce	<input checked="" type="checkbox"/> Service users	<input checked="" type="checkbox"/> The wider community
<input type="checkbox"/> Commissioned services	<input type="checkbox"/> City partners / Stakeholder organisations	
Additional comments:		

1.3 Will the proposal have an equality impact?

Could the proposal affect access levels of representation or participation in a service, or does it have the potential to change e.g. quality of life: health, education, or standard of living etc.?

If 'No' explain why you are sure there will be no equality impact, then skip steps 2-4 and request review by Equality and Inclusion Team.

If 'Yes' complete the rest of this assessment, or if you plan to complete the assessment at a later stage please state this clearly here and request review by the Equality and Inclusion Team.

<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	[please select]
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We have not identified any significant equality impact at this stage. The delivery officer will ensure that the specifications are such that access is improved and surface deterioration is prevented over the medium term.

The capital works identified will have a number of positive benefits. The hard surface re-build and restoration programme will improve the surfacing of a number of footpaths in parks helping those with limited mobility, parents/carers using buggies with small children, and in general terms reduce the risk of slips, trips and falls.

Work on the Oldbury Court riverside footpath will similarly improve access by rebuilding the path surface and helping protect sections from flooding and the subsequent deposition of mud in the winter that can often remain wet and freeze on the coldest days.

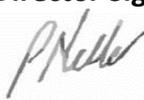
The new Air Conditioning unit at South Bristol Crem will improve conditions for staff and visitors, stabilising temperature in the building.

The St George Park boating lake perimeter wall and path rebuild will improve the path surface around the lake and enable a section to be re-opened and allow access for everybody right around the lake. The path is an important path feature in the site for those with limited mobility as level access is afforded from the car park, into the site and around the lake.

Individual projects within the scope of the programme will be subject to separate equality impact assessments as appropriate. Whilst the overall capital budget has previously been set by Full Council, the programme of works need not be financially rigid within this envelope. This will allow us to respond to any emerging equality or accessibility issues that may require e.g., amendments to designs, or additional resources to minimise disruption during works.

Step 5: Review

The Equality and Inclusion Team need at least five working days to comment and feedback on your EqIA. EqIAs should only be marked as reviewed when they provide sufficient information for decision-makers on the equalities impact of the proposal. Please seek feedback and review from the Equality and Inclusion Team before requesting sign off from your Director¹.

Equality and Inclusion Team Review: <i>Reviewed by Equality and Inclusion Team</i>	Director Sign-Off: 
Date: 16/8/2021	Date: 17/08/2021

¹ Review by the Equality and Inclusion Team confirms there is sufficient analysis for decision makers to consider the likely equality impacts at this stage. This is not an endorsement or approval of the proposal.

Eco Impact Checklist

Title of report: Parks Capital Maintenance Programme				
Report author: Richard Fletcher				
Anticipated date of key decision. 14 th September 2021				
Summary of proposals: Progression of a three-year capital programme for rebuild and restoration works in parks and green spaces and cemeteries and the procurement of equipment that will support the goals of the One City Environmental Emergency Strategy and aspirations for better management of parks for nature.				
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	-ve	There will be impacts due to infrastructure repair works including for example tarmacing and sourcing stone for walling works.	<p>Procurement processes seek contractor environmental policy detail if the contract is of significant value.</p> <p>Suppliers will be required to implement an emissions strategy to design buildings and construction operations to operate with minimal emissions.</p> <p>The Council will assess and approve specifications before contracts are awarded.</p> <p>Opportunities for installing solar photovoltaic systems as part of other works will be evaluated.</p>
Bristol's resilience to the effects of climate change?	Yes	+ve	<p>Securing the integrity of built assets so that they will better withstand extreme weather conditions.</p> <p>Supporting managing for nature where new management practices will help slow surface water run-off for example.</p>	New or upgraded Infrastructure will be designed to be capable of withstanding extreme and intense rain, hail, snow, temperature or wind events.

Consumption of non-renewable resources?	Yes	-ve and +ve	There will be impacts due to construction works as assets are improved. Reduced use of fossil fuels through greater use of battery operated equipment.	Suppliers will be required to select materials to prioritise renewable materials with a low climate impact.
Production, recycling or disposal of waste	Yes	-ve	Construction works always include some waste.	Suppliers will be required to re-use on-site material when available.
The appearance of the city?	Yes	+ve	Asset condition will be improved.	
Pollution to land, water, or air?	Yes	-ve	Construction works have the potential to cause pollution.	Suppliers will be required to implement pollution plans to assess risks and prevent pollution as far as possible and mitigate any that happens (e.g. wheel washes to avoid tracking mud offsite, solar battery site floodlighting in place of generators, measures to avoid fuel spillage or leakage).
Wildlife and habitats?	Yes	-ve and +ve	Construction works have the potential to damage or enhance biodiversity and habitats. New equipment will be used to help with managing sites better for nature.	Suppliers will be required to implement ecology plans to assess the ecological value of work sites and designing in features that ensure biodiversity net gain is achieved. Initial assessments will include checks for the presence of protected flora or fauna (e.g. bats) before works begin and taking action if necessary to avoid or legally mitigate their disturbance.
Consulted with: N/A				
Summary of impacts and Mitigation - <u>to go into the main Cabinet/ Council Report</u>				
The significant impacts of this proposal are as a result of construction through the				

upgrading of hard surfaces and rebuilding of Victorian park infrastructure.

The proposals include the following measures to mitigate the impacts – to assess build specifications and consider material used, sources of materials and construction methods. Emissions, flood resilience, pollution prevention and ecological plans will be required for construction works. The extent of such plans should be determined firstly by the scale of risk and opportunity and secondly by the value of the contract.

The overall impact will depend on the scale of construction works but is expected to be well controlled and deliver long term improvements.

Checklist completed by:

Name:	Richard Fletcher
Dept.:	Growth and Regeneration
Extension:	
Date:	18/08/2021
Verified by Environmental Performance Team	Giles Liddell, Project Manager – Environmental

Decision Pathway – Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 14 September 2021

TITLE	DfT Active Travel Fund (ATF) Tranche 3		
Ward(s)	Citywide		
Author: Jacob Pryor	Job title: Transport Policy, Bidding and Strategic Projects Team Manager		
Cabinet lead: Cllr Don Alexander, Cabinet Member for Transport	Executive Director lead: Stephen Peacock, Executive Director Growth and Regeneration		
Proposal origin: BCC Staff			
Decision maker: Cabinet Member Decision forum: Cabinet			
Purpose of Report:			
<ol style="list-style-type: none"> 1. To provide a summary of the funding opportunity from the Department for Transport (DfT) for the Active Travel Fund (AFT) Tranche 3. 2. To approve the schemes and Expressions of Interest included in Bristol’s bid to the DfT via WECA. 3. To delegate authority to the Executive Director for Growth and Regeneration to deliver the scheme if the bid is successful 			
<u>Background</u>			
<ol style="list-style-type: none"> 1. Recognising that the city faces a number of transport, health and environmental challenges, one of the priorities of the council is identify funding for schemes that help reduce congestion, improve health outcomes and contribute to our objective of being net carbon zero by 2030. Walking and cycling initiatives and ‘Liveable Neighbourhoods’ are some of the most effective means of meeting these goals offering several benefits beyond safer and more reliable transport connections. 			
<u>Context</u>			
<ol style="list-style-type: none"> 1. The Department for Transport (DfT) have announced a funding competition that seeks to improve walking and cycling infrastructure across the country titled ‘Active Travel Fund (ATF) Tranche 3’. 2. The competition also seeks to identify Local Authorities (LA) interested in receiving development funding to deliver a national pilot Liveable Neighbourhood scheme and/or partake in a GP Prescribing Pilot 3. The bid was submitted on the 9th August by the West of England Combined Authority (WECA). 4. While the DfT have not detailed an indicative funding allocation per LA the value of the bid is expected to be in line with last years’ ATF settlement of £3m across the WECA area – of which Bristol received £1.2m. 5. That said there is an expectation that LA’s will overbid to show ambition and outline plans that may receive funding if other submissions across the country fall below standard. 6. Schemes will need to be delivered by March 2023 7. The invitation to bid from the DfT can be found in <i>Appendix A1</i> 			
<u>Bid strategy for cycling infrastructure</u>			
<ol style="list-style-type: none"> 1. Bristol’s ‘Street Space’ walking and cycling programme has seen the introduction of several high-profile 			

improvements that have contributed to keeping the city moving over the course of the pandemic. Further information on the projects can be found on the Bristol City Council website

2. Bristol's approach to ATF 3 will be to build on the schemes in the Bristol 'Street Space' project providing high quality and permanent materials in place of the temporary orange and white barriers and wands currently in place.
3. The headline scheme will be improving and making permanent the pedestrian and cycle infrastructure on Upper Maudlin/Park Row/Colston Street and Queens Road. Two additional schemes will also be submitted: Old Market pedestrian and cycle improvements and Cotham Hill streetscape improvements
4. This will include better crossing environments and separation from motor traffic for pedestrians and safe, segregated routes for cyclists.
5. The Councils bid for these schemes will be £4.120m of which £3.130m will be for Upper Maudlin, £0.693m for Old Market and £0.350m for Cotham Hill
6. These improvements are part of our longer-term strategy looking at significant investment into the walking and cycle network as outlined in our Local Walking and Cycling Infrastructure Plan
7. In addition to the ATF3 funding the Council will be relying on £0.303m of s278 payments agreed with developers and a further £0.250m from the council capital highways maintenance budget, bringing the total value of projects to £4.673m.
8. It is anticipated that the necessary works and services to deliver on the above projects will be commissioned through the Councils Highway Asset Management and Associated Works Framework. Although other routes may be appropriate. Individual contracts may exceed £0.5m

Expression of Interest for Liveable Neighbourhood Pilot

1. The One City Plan highlights support for designing and delivering Liveable Neighbourhoods (LN), building on similar statements of support in the Joint Local Transport Plan 4, Bristol Transport Strategy and most recently through the Citizens Assembly process
2. Bristol is already developing its first pilot LN in the East of Bristol focussing on the area covering Barton Hill, Netham and St George. Bristol will frame its EoI around the East Bristol LN.
3. Successful EoI's will receive development funding of up to £0.1m to begin initial work on schemes

Expression of Interest for GP Prescribing Pilot

1. The third aspect of the bid for is for LA's to submit an Expression of Interest to receive development funding (up to £0.1m) to be 1 out of 4 areas promoting a GP walking and cycling prescribing pilot. These pilots must be supported by the Clinical Commissioning Groups and Primary Care Networks.
2. The concept is that GP's could prescribe walking and cycling to patients and where appropriate signpost patients to loan bikes, training and peer support groups among other offers.
3. Bristol will frame its EoI around the Family Cycling Centre and communities in south Bristol.

In the event that either or both of the EoI's are successful, it is proposed that the initial funding be used to develop the pilot projects further before reporting back to Cabinet before committing capital funds.

Cabinet Member / Officer Recommendations:

That Cabinet:

1. Approve the submission of a bid to the DfT's ATF3 programme for £4.120m for the identified schemes set out in this report.
2. Note the additional funding from developer contributions and highways maintenance budget as set out in the report.
3. Authorise, in the event that the bid is successful, the Executive Director for Growth and Regeneration, in consultation with the Cabinet Member for Transport, the s151 officer, and the Head of Legal Services to take all steps required to procure and award all necessary contracts to deliver the schemes as outlined in the finance section to the limit of £4.673m.
4. Approve the submission of an expression of interest in being a national Liveable Neighbourhood Pilot area

and a GP Prescribing Pilot area.

Corporate Strategy alignment:

1. Promoting active travel in the city helps us to meet a number of different health, economic and social challenges, but this proposal relates specifically to the 'key commitment 1' under the "well connected" theme which states: *Improve physical and geographical connectivity; tackling congestion and progressing towards a mass transit system*

City Benefits:

1. Encouraging more of our residents to walk and cycle will improve health outcomes and air quality and reduce carbon emissions associated with transport. Protected cycle infrastructure will disproportionately benefit children, women and black and minority ethnic cyclists who typically cite safety as the biggest barrier to cycling. Similarly, improved crossing points and a better-quality walking environment will provide the largest benefit to those citizens with physical, visual and neurological disabilities. The Liveable Neighbourhoods approach will adopt a 'co-design' process to increase the sense of ownership that residents have over changes in their local area and the GP Prescribing pilot provides the opportunity to target areas in the south of the city with poor health outcomes.

Consultation Details:

- The capital element of the bid proposal builds on existing engagement and consultation with residents and businesses along the Upper Maudlin Street/Park Row/Colston Street and Queens Road corridor as well as engagement with residents and traders on Cotham Hill. All schemes will be subject to further engagement before delivery.

Background Documents:

- Appendix A1: Invitation to bid from the DfT

Revenue Cost	£ 0	Source of Revenue Funding	N/A
Capital Cost	£4.673m	Source of Capital Funding	Department for Transport capital grant (£4.1m), developer match funding (£0.3m) and local highway maintenance funding (0.25m)
One off cost <input type="checkbox"/>	Ongoing cost <input type="checkbox"/>	Saving Proposal <input type="checkbox"/>	Income generation proposal <input checked="" type="checkbox"/>

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

Finance Advice:

1. The report is seeking approval to fund this project from a combination of sources. The council is seeking approval to submit a bid to the Department for Transport (DfT) for £4.120m. In addition, developer funding has already been agreed total £0.303m, and the Council will be contributing £0.250m from the council capital highways maintenance budget (P135071005) in 2022/23 (The Highways maintenance budget allocations are confirmed by WECA annually, as a result, it is important to secure such approval ahead of commissioning any related work in 2022/23 or find an alternative source of funding in the unlikely event that the expected allocation is not approved).
2. The report is seeking approval to spend £4.673m in capital resources over the current and next two financial years. The total amount of estimated expenditure and how this will be funded has been summarised in the Table 1 below:

Table 1

DETAILS	2021/22				2022/23				2023/24				TOTAL COSTS			
	DFT Funding	Developer Funding	Council Funding	Total	DFT Funding	Developer Funding	Council Funding	Total	DFT Funding	Developer Funding	Council Funding	Total	DFT Funding	Developer Funding	Council Funding	Total Amount
Old Market	94,935	20,715	0	115,650	544,368	282,632	0	827,000	0	0	0	0	639,303	303,347	0	942,650
Park Row	147,575	0	0	147,575	2,561,437	0	0	2,561,437	421,834	0	250,000	671,834	3,130,845	0	250,000	3,380,845
Cotham Hill	350,000	0	0	350,000	0	0	0	0	0	0	0	0	350,000	0	0	350,000
TOTAL	592,510	20,715	0	613,225	3,105,805	282,632	0	3,388,437	421,834	0	250,000	671,834	4,120,149	303,347	250,000	4,673,495

3. Delegated authority is sought (subject to a successful Dft grant award) to procure the necessary goods and services to deliver the projects as detailed below. Table 2 below outlines the summary items of spend:

Table 2

All Projects	
Item	Cost
PM	187,230
Design	588,381
Construction & Contingency	3,897,884
Total	4,673,495

4. The cost of the work outlined will be contained within the funding envelope provided, with reasonable contingencies allowed. Approval of this report is therefore not expected to result in any additional financial implications for the council beyond the amounts detailed above.
5. The service will be expected to follow the Council approved procurement process and ensure that adequate contingencies are built into the various work packages that will be commissioned.
6. The report also seeks authorisation to submit an expression of interest to become both a Liveable Neighbourhood Pilot area and a GP Prescribing Pilot area. There are no funding implications for the Council at this stage, if successful, the Council will be able to bid for funding to develop each scheme.

Finance Business Partner: *Kayode Olagundoye, Interim Finance Business Partner, Growth and Regeneration, 26/08/2021*

2. Legal Advice: Submitting bids and expressions of interest in themselves raises no particular legal issues. If a bid is successful consideration will need to be given to any conditions attached and arrangements put in place to ensure compliance. When commissioning any contracts (goods works or services) to deliver the schemes procurement will need to comply with the Public Contracts Regulations and the Councils own procurement rules.

Legal Team Leader: *Eric Andrews, Team Leader, Legal Services 18/8/21*

3. Implications on IT: No anticipated impact on IT Services

IT Team Leader: *Simon Oliver 30/06/21*

4. HR Advice: There are no anticipated HR implications

HR Partner: *Celia Williams 30/07/21*

EDM Sign-off	Stephen Peacock	06/07/21
Cabinet Member sign-off	Marvin Rees - Mayor	29/06/21
For Key Decisions - Mayor's Office sign-off	Mayor's Office	16/08/21

Appendix A – Further essential background / detail on the proposal	YES
Appendix B – Details of consultation carried out - internal and external	NO
Appendix C – Summary of any engagement with scrutiny	NO
Appendix D – Risk assessment	NO

Appendix E – Equalities screening / impact assessment of proposal	YES
Appendix F – Eco-impact screening/ impact assessment of proposal	NO
Appendix G – Financial Advice	NO
Appendix H – Legal Advice	NO
Appendix I – Exempt Information	NO
Appendix J – HR advice	NO
Appendix K – ICT	NO
Appendix L – Procurement	NO



Department
for Transport

Rupert Furness
DEPUTY DIRECTOR, ACTIVE TRAVEL
DEPARTMENT FOR TRANSPORT
33 HORSEFERRY ROAD
LONDON
SW1P 4DR

walking.cycling@dft.gov.uk

Web Site: www.dft.gov.uk

14 June 2021

Dear Sir/Madam,

Active Travel Fund: Local Authority Capital Funding for 2021/22 and expressions of interest for Mini Hollands and GP Prescribing Pilot

This letter invites your local authority to bid for capital funding for the current financial year 2021/22, to support delivery of ambitious new cycling and walking infrastructure schemes. This funding is part of the Government's £2 billion commitment set out in "[Gear Change](#)" to deliver a step change in the provision of high quality schemes that deliver better streets for everyone.

Bids must be submitted by **Monday 9 August but you are encouraged to bid sooner**. Combined Authorities are expected to produce a single bid on behalf of their constituent authorities. Funding for London boroughs is being handled separately, and London boroughs do not need to submit proposals to the Department for Transport.

The Department does not intend to set indicative capital allocations. To give an indication of scale, the total amount of funding being made available is £239 million, and eligible local authorities may therefore receive broadly similar levels of funding to 2020/21; however, to qualify for any funding at all this year, authorities must commit to the following key principles:

1. The Department only intends to fund schemes which comply with the [Cycling Design Standards](#) set out in local transport note LTN 1/20. All cycling schemes will need to include segregation or point closures to through traffic. Advisory cycle lanes, and those marked only with white paint, will not be funded. We expect local authorities and developers to utilise the guidance in the design of all schemes regardless of whether they are seeking Government funding. Over the coming months, we will be offering training events aimed at local highway teams, active travel teams and accessibility teams, covering the key features of the standards, and its supporting tools.
2. All authorities are to undertake network planning to inform prioritisation of future schemes, in the form of [Local Cycling and Walking Infrastructure Plans \(LCWIPs\)](#) or similar local strategies. This helps to ensure that schemes are integral to long term investment plans and are driven by local demand for cycling and walking infrastructure. LCWIPs should be supported by your authority at the

very highest levels of leadership; developed in consultation with local communities; and integrated with your local transport plans, as well as wider plans for public health, economic development and carbon reduction. These plans must also show proper integration with cross-modal schemes, such as opportunities for boosting cycling and walking around HS2, East West Rail, Highways England, Restoring Your Railways, Historical Railways Estate and National Cycle Network schemes.

We know that many authorities have already developed LCWIPs with support via the Department's pilot support programme, or through your own independent work. If your authority has yet to develop a LCWIP, or it is at an early stage of development, the Department will be offering dedicated technical support in partnership with Sustrans to help you develop your future plans. We will provide further details of this support, and what you need to do to access it, shortly. Authorities without LCWIPs are still able to bid for capital funding this year, but it must be demonstrated that proposed schemes fit into a robust long-term network plan, which will need to be provided as part of the bidding process.

3. All schemes must include plans to be **developed in consultation with local communities**, in line with the process set out for the Active Travel Fund (see Annex A). As we have set out in previous letters, consultation does not mean giving anyone a veto, requiring consensus on schemes, or prioritising the loudest voices. It could include adopting measures (such as polling) to cut through the noise and come to an accurate understanding of public views.
4. All schemes must be **supported by local authority leaders**, who will need to provide written confirmation of the authority's long-term commitment to them. All schemes should be given sufficient time to bed in and for benefits to be realised before any changes are made to them: the Department will reserve the right to claw back funding where schemes which it has funded are prematurely removed.
5. To agree, if asked, to put larger schemes through a **design review**, to be managed by DfT and the future Active Travel England body.

Bids will be assessed in line with the following criteria, which will guide final allocations to authorities:

1. Propensity to convert short vehicle journeys into cycling and walking, resulting in carbon, air quality and congestion benefits;
2. Tackling areas with poor health outcomes and with high levels of deprivation;
3. Number of people that will benefit from the measures;
4. Compliance with the key principles above.

The bidding proforma should be completed via [Smart Survey](#). More detailed FAQs for bidding authorities are attached to this letter, along with a copy of the bid proforma. It is our intention that the bidding process should be swift and not onerous. In many cases authorities will already have proposals for LTN1/20-compliant schemes or may wish to make permanent some of the temporary schemes installed under the Emergency Active Travel Fund in the last year.

Funding can be used to support a range of scheme types and can also be used to support feasibility studies and scheme design as well as construction, providing that the funding can be capitalised. Local authorities should also consider, and take steps to mitigate, the wider impacts of any proposals, particularly on disabled people and others with protected characteristics as part of their Public Sector Equality Duty.

In applying for funding, we are asking authorities to supply the following evidence to the Department within the bid proforma:

- Updated LCWIPs (if applicable), including your latest network plans.
- Brief information on your authority's investment priorities for cycling and walking infrastructure schemes over the next 1 year, 4 years and 10 years. Only high level information is required for schemes to be delivered over the 4 and 10 year time period. This information will enable the Department to establish a clearer picture of future funding demand.
- Details of the schemes for which you are seeking funding in 2021/22, in priority order.

Applicants are also expected to assess and confirm, through their section 151 officer, the value for money of their schemes. For all schemes costing £2 million or more, the Department will require applicants to undertake a value for money assessment using the Active Mode Appraisal Tool (AMAT). Accompanying this letter, we have sent you value for money guidance to help assess your schemes which should make this process straightforward.

In the event that schemes are unable to be delivered, the authority should submit revised proposals which do offer value for money to the Department as soon as possible. Where this is not possible, the Department will reserve the right to claw back any funding by adjusting downwards a future grant payment to your authority.

The Department will also expect the impact of schemes to be monitored and evaluated. A copy of the monitoring and evaluation guidance issued with earlier tranches of funding accompanies this letter. This will be a requirement for all schemes costing £2 million or more and is recommended for other significant schemes.

Mini Hollands development programme

The Department is also taking this opportunity to invite expressions of interest from authorities in the Government's Mini-Hollands development programme. Mini Hollands involve intensive, transformational spending on local roads and streetscapes to make them, over time, as cycle and pedestrian-friendly as their Dutch equivalents. This includes installation of high quality segregated cycle lanes on main roads, low-traffic neighbourhoods and high streets, and greater roadspace allocation for people walking.

The results from three Mini Holland schemes in London have shown dramatic improvements, with cycling increasing by 18 per cent and walking by 13 per cent in the first year after construction. Congestion did not rise in the longer term, because the changes allowed many people who had previously driven very short journeys to walk or cycle instead.

We are therefore looking to develop a shortlist of around 12 non-London local authority areas, to benefit from intensive investment in mini-Holland schemes on the same model. The main focus will be on replacing short car trips. Candidate authorities must be places where there is serious political commitment to dramatic change – not just for cyclists, but for everyone who lives and works there. There must also be clear plans for the mini-Holland schemes to be properly integrated into wider cycling and walking network plans (e.g. within the 4 and 10-year project pipelines).

More details on how to apply are set out in the attached FAQ guidance. Revenue funding will be made available to shortlisted authorities (up to £100k per authority) to develop detailed proposals later in the year. Longer term funding will be provided following the next multi-year Spending Review, expected later in 2021.

GP prescribing pilot

We are looking for a small group of Local Authorities to take part in a pilot to provide cycling and walking interventions as part of a social prescribing offer. These pilots must be supported by the local Clinical Commissioning Groups and Primary Care Networks.

Taking up cycling is amongst the most effective health interventions a person can make: according to a recent Glasgow University study, cycling to work can contribute to a 45% lower risk of developing cancer, a 46% lower risk of heart disease and a 41% lower risk of premature death, compared to a nonactive commute.

We will develop a shortlist of up to four authorities to take part in the pilot. The Department wishes to invite local authorities with areas of poor health and low physical activity rates to express their interest via a short letter. We invite EOIs from authorities with a range of experiences in social prescribing, from more to less mature. A commitment to innovation and buy-in from key stakeholders is important.

The project will seek to deliver personalised care through approaches determined most appropriate for the identified areas. A key network for this will be link workers experienced in social prescribing in primary care networks. Pilots will prescribe cycling or walking wherever appropriate, and make available cycles, as well as training, access to cycling groups and peer support.

To support patients to feel safe to cycle in their local community, places will need to invest in infrastructure improvements such as segregated lanes, low-traffic neighbourhoods and secure cycle parking. There must also be clear plans for the prescribing pilots and related infrastructure improvements to be properly integrated into wider cycling and walking network plans. Access to good quality green space and green routes, away from traffic, can both increase attractiveness of cycling and bring mental health benefits. Such interventions could be connected to NHS campaigns in the pilot areas.

As with the mini-Hollands development programme, more details on how to apply are set out in the attached FAQ guidance. Revenue funding will be made available to shortlisted authorities (up to £100k per authority) to develop detailed proposals later in the year.

Longer term funding will be provided following the next multi-year Spending Review, expected later in 2021.

Further advice and guidance

Cycle Infrastructure Design Guidance (LTN 1/20) one-day training events will be available to all local and combined authorities. This training is aimed at local highway teams, active travel teams and accessibility teams and will comprise a one-day interactive course. The training will be provided from July 2021 through to January 2022 by Sustrans with support from the LCWIP consortium (Sustrans, Living Streets and Cycling UK). Courses will generally be provided for single authorities (or combined authorities) and will be for 8 to 12 places for each authority (or combined authority) per course. To register your interest please book a slot for your authority at the following Eventbrite link

<https://www.eventbrite.co.uk/e/designing-high-quality-walking-cycling-infrastructure-ltn-120-guidance-tickets-155795834535>.

We are arranging two one-hour online sessions for LAs during the early phase of the bidding window, to discuss the key requirements of the bidding process, and answer any remaining questions. These sessions will cover general bid and value for money requirements, monitoring and evaluation and guidance on consultation. Invitations for these sessions will be circulated in due course.

The Department is in the process of commissioning a number of roundtable events, where Local Authority Leaders and Cabinet Members, will have the opportunity hear from senior representatives of the Department for Transport, joined by other speakers, to discuss their experiences of implementing ambitious active travel programmes. More details on speakers, facilitators, aims, outcomes, and how to reserve a place will be circulated in due course.

Yours sincerely,

A handwritten signature in blue ink, appearing to read 'R Furness', with a long horizontal stroke extending to the right.

Rupert Furness



Title: DfT Active Travel Fund 3, Mini-Holland and GP Prescribing Expression of Interest.	
<input type="checkbox"/> Policy <input checked="" type="checkbox"/> Strategy <input type="checkbox"/> Function <input checked="" type="checkbox"/> Service <input type="checkbox"/> Other [please state]	<input checked="" type="checkbox"/> New <input type="checkbox"/> Already exists / review <input type="checkbox"/> Changing
Directorate: Growth and Regeneration	Lead Officer name: Jacob Pryor
Service Area: Economy of Place – City Transport	Lead Officer role: Transport Policy, bidding and strategic projects team manager

Step 1: What do we want to do?

The purpose of an Equality Impact Assessment is to assist decision makers in understanding the impact of proposals as part of their duties under the Equality Act 2010. Detailed guidance to support completion can be found here [Equality Impact Assessments \(EqIA\) \(sharepoint.com\)](https://sharepoint.com).

This assessment should be started at the beginning of the process by someone with a good knowledge of the proposal and service area, and sufficient influence over the proposal. It is good practice to take a team approach to completing the equality impact assessment. Please contact the [Equality and Inclusion Team](#) early for advice and feedback.

1.1 What are the aims and objectives/purpose of this proposal?

Briefly explain the purpose of the proposal and why it is needed. Describe who it is aimed at and the intended aims / outcomes. Where known also summarise the key actions you plan to undertake. Please use plain English, avoiding jargon and acronyms. Equality Impact Assessments are viewed by a wide range of people including decision-makers and the wider public.

Context

- The Department for Transport (DfT) have announced a funding competition for 2021/22 that seeks to improve walking and cycling infrastructure across the country titled ‘Active Travel Fund (ATF) Tranche 3’.
- The fund also seeks to identify local authorities (LA) who wish to express an interest in receiving development funding to deliver a national pilot Liveable Neighbourhood and/or partake in a GP Prescribing Pilot.
- Bids are to be submitted on the 9th August via Combined Authorities

Bid strategy for cycling infrastructure

- Bristol’s ‘Street Space’ walking and cycling programme has seen the introduction of several high-profile improvements that have contributed to keeping the city moving over the course of the pandemic. Further information on the projects can be found [here](#) and [here](#)
- Bristol’s approach to ATF 3 will be to build on the schemes in the Bristol ‘Street Space’ project providing high quality and permanent materials in place of the temporary orange and white barriers and “wands” that citizens will have seen in the city centre
- The headline scheme will be improving and making permanent the pedestrian and cycle infrastructure on Upper Maudlin/Park Row/Colston Street and Queens Road.
- This will include better crossing environments and separation from motor traffic for pedestrians and safe, segregated routes for cyclists.
- Two additional schemes will also be submitted: Old Market pedestrian and cycle improvements and Cotham Hill Streetscape improvements
- These improvements are part of our longer-term strategy looking at significant investment into the walking and cycle network as outlined in the [Local Walking and Cycling Infrastructure Plan \(LCWIP\)](#)

Expression of Interest for Liveable Neighbourhood Pilot

- The [One City Plan](#) highlights support for designing and delivering Liveable Neighbourhoods (LN) building on similar statements of support in the [Joint Local Transport Plan 4](#), , [Bristol Transport Strategy](#) and most recently through the [Citizens Assembly](#) process
- Bristol is already developing its first pilot LN in the East of Bristol focussing on the area covering Barton Hill, Netham and St George. Bristol will frame its Expression of Interest around the East Bristol LN.
- The Expression of Interest requires a letter of support from the LA leader that they are committed to delivering a LN scheme that improves health outcomes
- Successful Expressions of Interest will receive development funding of up to £100k to begin initial work on schemes
- Through our Liveable Neighbourhoods approach we aim to look at a holistic set of improvements in communities to improve health and accessibility and provide more green and social space. For example, this might include tree planting, closing 'through routes' to motor traffic to encourage more walking and cycling trips, community art projects and improvements to local green space.

GP Prescribing Pilot

1. The third aspect of the bid is for LA's to submit an Expression of Interest to receive development funding (up to £100k) to be 1 out of 4 areas promoting a GP walking and cycling prescribing pilot. These pilots must be supported by the Clinical Commissioning Groups and Primary Care Networks.
2. The concept is that GP's could prescribe walking and cycling to patients and where appropriate signpost patients to loan bikes, training and peer support groups among other offers.
3. Bristol will frame its Expression of Interest around the Family Cycling Centre and communities in south Bristol where health outcomes and levels of walking and cycling are low compared to the Bristol average.

1.2 Who will the proposal have the potential to affect?

<input type="checkbox"/> Bristol City Council workforce	<input checked="" type="checkbox"/> Service users	<input checked="" type="checkbox"/> The wider community
<input type="checkbox"/> Commissioned services	<input checked="" type="checkbox"/> City partners / Stakeholder organisations	
Additional comments:		

1.3 Will the proposal have an equality impact?

Could the proposal affect access levels of representation or participation in a service, or does it have the potential to change e.g. quality of life: health, education, or standard of living etc.?

If 'No' explain why you are sure there will be no equality impact, then skip steps 2-4 and request review by Equality and Inclusion Team.

If 'Yes' complete the rest of this assessment, or if you plan to complete the assessment at a later stage please state this clearly here and request review by the Equality and Inclusion Team.

<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	[please select]
--	------------------------------------	-----------------

N/A

Step 2: What information do we have?

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

Please use this section to demonstrate an understanding of who could be affected by the proposal. Include general population data where appropriate, and information about people who will be affected with particular reference to

protected and other relevant characteristics: <https://www.bristol.gov.uk/people-communities/measuring-equalities-success> .

Use one row for each evidence source and say which characteristic(s) it relates to. You can include a mix of qualitative and quantitative data e.g. from national or local research, available data or previous consultations and engagement activities.

Outline whether there is any over or under representation of equality groups within relevant services - don't forget to benchmark to the local population where appropriate. Links to available data and reports are here [Data, statistics and intelligence \(sharepoint.com\)](#). See also: [Bristol Open Data \(Quality of Life, Census etc.\)](#); [Joint Strategic Needs Assessment \(JSNA\)](#); [Ward Statistical Profiles](#).

For workforce / management of change proposals you will need to look at the diversity of the affected teams using available evidence such as [HR Analytics: Power BI Reports \(sharepoint.com\)](#) which shows the diversity profile of council teams and service areas. Identify any over or under-representation compared with Bristol economically active citizens for different characteristics. Additional sources of useful workforce evidence include the [Employee Staff Survey Report](#) and [Stress Risk Assessment Form](#)

Data / Evidence Source [Include a reference where known]	Summary of what this tells us
Population Projections: The population of Bristol - bristol.gov.uk	Bristol is projected to see an overall population increase of 15% between 2018 and 2043. The biggest single increase when broken down into age range is Age 75+, which is projected to be 40%. Engagement undertaken to inform the various schemes types of interventions will need to ensure targeted action to reach people within this group, to help ensure appropriate solutions are delivered.
Quality of Life Survey: 40acbac5-6166-0413-3df7-65ffd1362829 (bristol.gov.uk)	Feedback from the 2020/21 Bristol Quality of Life survey showed that: <ul style="list-style-type: none"> • People from the most deprived areas of Bristol are 30% less satisfied with their local areas as a place to live, compared to the cities average. • Rates of people whose day-to-day life is affected by fear of crime is double in the most deprived areas of the city, compared to the cities average. • People from the most deprived areas of Bristol are 25% less satisfied with parks and open spaces in their local area, compared to the cities average. • 30% less people from the most deprived areas of Bristol feel they belong to their neighbourhood, compared to the cities average. • People from the most deprived areas of Bristol are 20% less satisfied with life, compared to the cities average. These results show that people from the most deprived areas in Bristol are less satisfied across a range of indicators (including, Health & Wellbeing, Crime & Safety, Education & Skills, Sustainability & Environment) compared with the cities average. The proposed schemes have a range of objectives, across health and wellbeing, access to goods and services (including education and employment), and greater equity (e.g., air quality, transport, crime) with which they will need to be measured against, with reference to the results of the QoL survey.

	Category 2020	Sub-Category 2020	Issues Raised	2020 Ranking	2019 Ranking	2018 Ranking
	Transport	Reduce congestion / less cars	612	1	2	2
	Transport	Improve buses and/or public transport	456	2	1	1
	Environment	Air / noise pollution	393	3	3	3
	Transport	Improve cycling infrastructure / facilities	308	4	5	9
	Council Services	Democracy and Governance	293	5	8	5
	Waste and street cleanliness	Litter and/or street cleanliness	261	6	4	4
	Community & Living	Local community and facilities	210	7	18	19
	Transport	Improve traffic management	198	8	12	8
	Transport	Parking	134	9	7	11
	Environment	Parks and green spaces	129	10	14	17
	Of the top 10 issues raised within the Quality of Life survey categories, the schemes have the ability to directly or indirectly impact positively on 8, not including Council Services or Waste and Street Cleanliness, although some aspects of the proposed schemes may still link to these.					
Rapid Evidence Assessment: Liveable and Low Traffic Neighbourhoods	<p>Where schemes succeed at encouraging walking and cycling, they will decrease the rates of asthma, depression, diabetes and increase life expectancy. Schemes designed to reduce speed and volume of traffic have significant impact on road injuries and crime, critical from an equity perspective, as children from lowest socio-economic groups and BAME groups are far more likely to be injured on road. By implementing schemes in areas with which suffer from low rates of physical activity, where private vehicle ownership is low (and non-local traffic is high) and where congestion and accident levels are high, options for safe active travel (amongst other interventions) will provide more inclusive infrastructure which can be accessed by a wider range of users.</p> <p>Active travel schemes which include supporting infrastructure (benches, unobstructed pavements, signage, parking for blue badge holders etc) which improves accessibility for all will ensure changes make the environments they are in more inclusive, rather than changes being more restrictive. Where trials are being undertaken, input from groups representing people with disabilities and protected characteristics is critical and ongoing engagement is required to ensure final schemes resolve unforeseen negative impacts during the trial periods.</p> <p>By improving the quality and safety of environments for non-car drivers, liveable neighbourhoods can make local trips, such as taking children to school, visiting the doctor or local high street on foot or bicycle a more attractive and realistic option. This is particularly beneficial for those who suffer from transport poverty and experience the biggest negative impacts of car-oriented environments and are often under-represented in local decision making. The engagement strategy for these schemes will need to ensure seldom heard groups are able to input and engage with the process of development and delivery of schemes.</p>					
Additional comments:						

2.2 Do you currently monitor relevant activity by the following protected characteristics?

<input checked="" type="checkbox"/> Age	<input checked="" type="checkbox"/> Disability	<input type="checkbox"/> Gender Reassignment
<input type="checkbox"/> Marriage and Civil Partnership	<input type="checkbox"/> Pregnancy/Maternity	<input checked="" type="checkbox"/> Race
<input type="checkbox"/> Religion or Belief	<input checked="" type="checkbox"/> Sex	<input type="checkbox"/> Sexual Orientation

2.3 Are there any gaps in the evidence base?

Where there are gaps in the evidence, or you don't have enough information about some equality groups, include an equality action to find out in section 4.2 below. This doesn't mean that you can't complete the assessment without the information, but you need to follow up the action and if necessary, review the assessment later. If you are unable to fill in the gaps, then state this clearly with a justification.

For workforce related proposals all relevant characteristics may not be included in HR diversity reporting (e.g. pregnancy/maternity). For smaller teams diversity data may be redacted. A high proportion of not known/not disclosed may require an action to address under-reporting.

Whilst it is a challenge to engage with all our citizens and we know that there are some groups with seldom heard voices with whom we can do a better job at engaging with, recent surveys do capture a credible snapshot of feeling on several key issues Bristol continues to face. Results from the Quality of Life, Your City Our Future (related to the Covid-19 pandemic and subsequent lockdowns) and Bristol Citizens Assembly, highlighted many of the imbalances and feelings of inequality across the city and made recommendations for change, and which have fed into the development of the schemes aims and objectives outlined in Section 1.1.

As schemes progress (and pending the outcomes of submitted bids), we will need to ensure ongoing engagement is meaningful with communities and representative groups for people who could be impacted by any proposed changes. As projects develop, we will continue to work with the Transport Engagement Team, following the process set out below in Section 2.5.

2.4 How have you involved communities and groups that could be affected?

You will nearly always need to involve and consult with internal and external stakeholders during your assessment. The extent of the engagement will depend on the nature of the proposal or change. This should usually include individuals and groups representing different relevant protected characteristics. Please include details of any completed engagement and consultation and how representative this had been of Bristol's diverse communities. See <https://www.bristol.gov.uk/people-communities/equalities-groups>.

Include the main findings of any engagement and consultation in Section 2.1 above.

If you are managing a workforce change process or restructure please refer to [Managing change or restructure \(sharepoint.com\)](#) for advice on consulting with employees etc. Relevant stakeholders for engagement about workforce changes may include e.g. staff-led groups and trades unions as well as affected staff.

The Transport Engagement team have led an engagement process throughout the Bristol Streetspace project of which Park Row and Cotham Hill schemes are included.

The questions below were asked to help us ensure that the survey has been responded to by a representative sample of the local ward populations.

- What is your age?
- Do you consider yourself to be a disabled person?
- What is your sex?
- Have you gone through any part of a gender reassignment process or do you intend to?
- What is your ethnic group?
- What is your religion/faith?
- What is your sexual orientation?
- Are you pregnant or have you given birth in the last 26 weeks?
- Are you a refugee or asylum seeker?

A detailed report on the engagement, which details responses to these questions in comparison with ward profile data. The reports for the Park Row and Cotham Hill schemes have been attached as appendices.

In pre covid19 times we would have followed up the postal surveys with targeted door knocking in this area and would have carried out interview surveys on street to help boost responses from certain groups. If street events had been allowed the team would have held roadshows asking people to get involved and fill in the survey. The team are very aware that not everyone has access to online resources which is why the team put on posters in the local streets to advertise the engagement and provided contact details in different forms. On all the paper and online copies of the engagement outputs the team provided a language template so that people could get the survey in a different language or in a different format as noted in the engagement tool section.

The consumables also had a phone number which had an answerphone function. People could call and leave a message asking a question or leaving a comment and someone would get back to them. An email address was also provided along with a written address so people had a choice of how they wished to communicate. The team also offered phone surgeries and virtual meetings to allow people to speak to the team if they had any questions and queries.

As restrictions have eased the team have recently completed on street surveys on Cotham Hill to compliment the assessment of the temporary scheme. Demographics of responders has been captured and a summary of the responses has been attached as an appendix.

Furthermore, targeted engagement has taken place with groups that are likely to be impacted by a change in the built environment such as Bristol Physical Access Chain and Bristol Sight Loss Council. The schemes will continue to be reviewed by stakeholder groups as part of the Active Travel Fund 3 scheme development. This model for engagement has been successful despite the challenging circumstances that the pandemic has presented. A similar method of engagement will take place for the 'Mini-Holland' and GP prescribing scheme as they're developed.

Citizens Assembly

The Assembly

In January 2020 Bristol begun a significant trial in deliberative democracy by running the city's first Citizens' Assembly. The transport theme posed the question:

What changes should we make to our neighbourhoods to make how we travel easier, healthier and better for the environment"

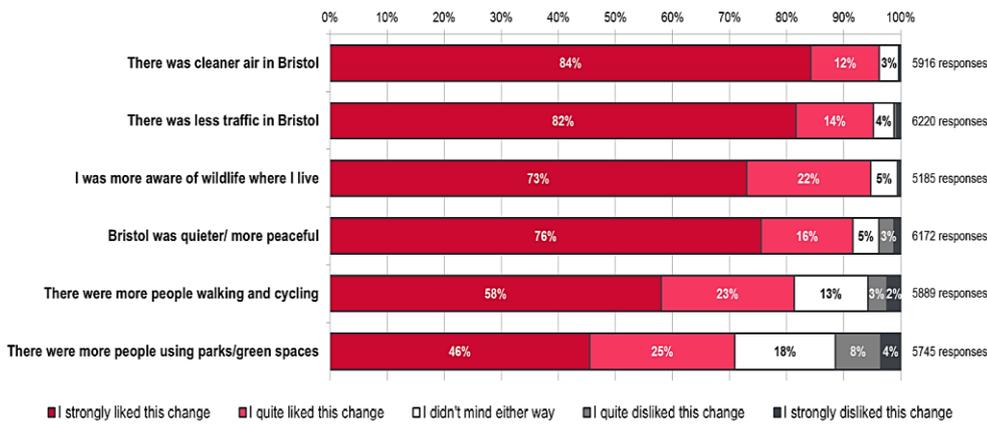
The [recommendations of the assembly](#) demonstrate the appetite for transformative neighbourhood improvements with over **90% of the panel supporting the following recommendations:**

- *Fundamentally reimagine the places we live so that they are people centred (i.e. create liveable neighbourhoods)*
- *Developing a pilot program to showcase what could be achieved if a citywide approach to being carbon neutral was taken received*
- *Empower local communities in the decision-making process to deliver the services and activities that they want to promote healthy lifestyle choices*

'Your City our Future' Survey

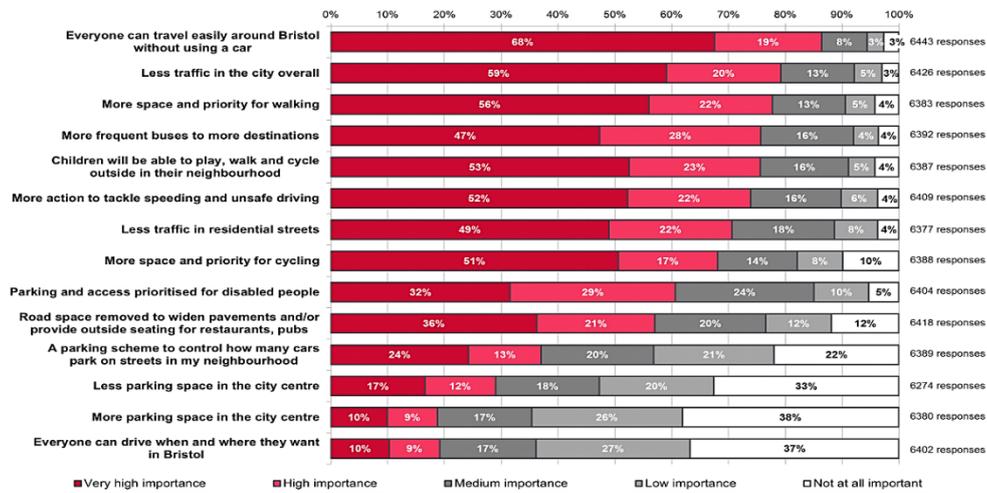
Between August and September 2020, 6,535 Bristolians responded to a survey which sought to understand their experiences of Bristol before and during lockdown as well as their hopes for the future. [The responses](#) suggest strong support for more 'liveable' and multi-functional neighbourhoods as highlighted by the graphs below:

During lockdown: environment
All respondents



In terms of future priorities respondents:

Views on future priorities: transport
All respondents



2.5 How will engagement with stakeholders continue?

Explain how you will continue to engage with stakeholders throughout the course of planning and delivery. Please describe where more engagement and consultation is required and set out how you intend to undertake it. Include any targeted work to seek the views of under-represented groups. If you do not intend to undertake it, please set out your justification. You can ask the Equality and Inclusion Team for help in targeting particular groups.

Effective engagement is about providing a platform for the community to help shape their local area, whether they are connected by geographic location, special interest, or affiliation to identify and address issues affecting their well-being.

The overall purpose of engaging (in the context of this EqlA) is to understand the barriers faced by people in accessing a range of amenities (e.g., employment, education, healthcare), the impacts caused by transport, and to find out how they can be addressed to ensure that all stakeholders (residents, local groups, businesses, and educational institutions) are able to access goods and services in an equitable and sustainable way.

All proposals prioritise active and sustainable travel options, and interventions are intended to make them the preferred choice of travel for those who can travel in these ways. For each individual scheme, we will engage and work with groups representing people with protected characteristics and disabilities to ensure we understand the issues faced by people in the existing environments and how the types of interventions proposed throughout the development process would impact these groups.

Engagement with stakeholders will follow a co-design process (in some cases this has already begun) and is used to enable communities to input suggestions. The process involves:

Stage 1: Co-Discover

- Identify the barriers and issues faced.
- Identify the opportunities for overcoming these barriers.
- Determine which opportunities best address the issues that have been identified.

Stage 2: Co-Develop

- Determine in more detail the issues and opportunities.
- The constraints that effect that location.
- Begin to develop ideas that could solve the issues identified.

Stage 3: Co-Design

- Design solutions to address the issues in specific locations identified by stakeholders.
- Trial some aspects of the designs to determine if they address the issues raised.

Stage 4: Co-Deliver

In stage four agreed solutions will be drawn up into detailed plans and technical drawings and the interventions will then be implemented.

To ensure the engagement process with stakeholders is inclusive, schemes will include the following:

- Engagement materials in multiple languages and in accessible formats on request, such as easy read versions, braille, large print, and audio including both on and offline versions.
- Engagement events at a variety of times, days, and locations and both online and offline (e.g., virtual meetings and in person).
- One point of contact – transport.engagement@bristol.gov.uk and 0117 9036449.
- Dedicated officers who will work with under-represented groups.

Step 3: Who might the proposal impact?

Analysis of impacts must be rigorous. Please demonstrate your analysis of any impacts of the proposal in this section, referring to evidence you have gathered above and the characteristics protected by the Equality Act 2010. Also include details of existing issues for particular groups that you are aware of and are seeking to address or mitigate through this proposal. See detailed guidance documents for advice on identifying potential impacts etc. [Equality Impact Assessments \(EqIA\) \(sharepoint.com\)](#)

3.1 Does the proposal have any potentially adverse impacts on people based on their protected or other relevant characteristics?

Consider sub-categories (different kinds of disability, ethnic background etc.) and how people with combined characteristics (e.g., young women) might have particular needs or experience particular kinds of disadvantage.

Where mitigations indicate a follow-on action, include this in the 'Action Plan' Section 4.2 below.

GENERAL COMMENTS (highlight any potential issues that might impact all or many groups)

Bristol and its citizens face many challenges of the next decade such as, inequalities, a shortage of affordable housing, the Climate Emergency and Ecological devastation. The One-City Strategy sets several goals on how these challenges can be met with the urgency that is required. Sustainable and active travel play a key role in creating a healthier city that unlocks the potential of its communities whilst ensuring that people are not left behind with economic growth and regeneration.

Sustainable and Active Travel requires significant investment in infrastructure to re-allocate road space and provide conditions that encourage people to make short journeys by sustainable modes where appropriate. This level of change will impact citizens in across the city in different ways. It is essential that less heard voices and communities with protected characteristics are involved in helping to re-design the city and transport network so that Bristol can meet its climate and ecological targets whilst working as well as it can do for those who may have particular transport needs.

The programme of work varies in its approach to delivering sustainable and active travel improvements. These can broadly be split into the following approaches which could be installed as part of the wider Active Travel Fund 3 or Mini-Holland scheme

- Protected cycle tracks on streets with a high vehicle flow
- Point closures (modal filters) in neighbourhoods to reduce through traffic and create an environment that makes short trips by walking and cycling safer and attractive
- Protected traffic signal junctions to increase priority and safety for people walking and cycling, often considered to be the most vulnerable road users.
- Changes to vehicle priority, such as pedestrianisation, timed closures to vehicles (school streets) or one-ways with contra flow cycling.

The prevalent theme that connects these potential interventions is that it will change and influence how people move around the city and access services. As such the changes are likely to impact all people across the city, including those with protected characteristics. However, the changes also present significant opportunities to address inequalities and improve inclusion.

Due to the complexities, separate EQIA assessments will be undertaken for each specific element of this programme of works as they develop from consultation to implementation.

- Active Travel Fund 3 (Park Row/Upper Maudlin Street and Cotham Hill)
- Mini-Holland Expression of Interest
- GP prescribing Expression of Interest

PROTECTED CHARACTERISTICS

Age: Children	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	<ul style="list-style-type: none"> • Almost one third of children are in poverty, a greater proportion than for any other age group. This increases to nearly 50% for lone-parent families. [1] • The availability and affordability of transport can contribute to children’s access to important resources. [3] • Active travel presents an opportunity to promote health and wellbeing among children. This is particularly important for children who are more likely to develop childhood obesity due to other characteristics, including deprivation and BAME background. [3] • The effects of air pollution are particularly significant for the health of children. [3] • Children from a lower socio-economic background are also more likely to be exposed to high levels of pollution due to living in densely populated urban areas. [3]
Mitigations:	
Age: Young People	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	<ul style="list-style-type: none"> • Identified as a group at risk of transport poverty [1] • From the age of 16 onwards, the bus becomes an important tool in enabling young people to access employment and training. [1] • Vehicle ownership tends to be low among younger age groups partly due to the costs of learning to drive, as well as maintaining a vehicle and the associated insurance costs, making this group increasingly reliant on public transport. [3] • Transport affordability and availability are key challenges for younger people relying on public transport to access work, education, and other activities. [3] • Safety and personal security are also important aspects of the mobility experience for younger people. Younger people are more likely to be involved in crime on public transport; as both perpetrators and victims of low-level disorder and anti-social behaviour. [3] • Fear of antisocial behaviour on the part of younger people (rightly or wrongly), and lack of perceived safety when using public transport can deter young people from using public transport
Mitigations:	
Age: Older People	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	<ul style="list-style-type: none"> • Identified as a group at higher risk of transport poverty [1] • Identified as a group at risk of poverty [1]

	<ul style="list-style-type: none"> • Access to appropriate forms of transport can help older people avail themselves of goods, services, employment and other activities, with public transport playing a crucial role in remaining connected and maintain independency when older people are unable to drive [3] • Older people are more likely to have a disability or long-term health problem that can affect their ability to use transport, including: mobility impairments, hearing impairments and cognitive impairments. [3] • Older people with a disability or long-term health condition might also be more reliant on staff on public transport to help enable them to undertake a journey. [3] • Older people can also struggle with elements such as finding accurate and up to date pre-travel information, including timetables, the availability of accessible infrastructure (such as disabled parking), and information about ticketing and staff availability when using public transport. [3] • Evidence also suggests that older people are not as likely as younger people to be users of new technology and many choose to use familiar technology, such as TV or radio, to access information. [3] • There is evidence that older people are more likely to struggle to use many of the digital tools needed to undertake travel such as touch-screen ticket machines, while also being less likely to use smartphones for transport planning purposes (69% versus 82% in younger people). [3] • Research also suggested that uptake of shared mobility services is lower amongst older people and disabled people. This is related to barriers such as the lack of on-demand accessible options, unfamiliarity with the technology needed to book services and inability to use digital payment on a smartphone, and not being comfortable with unfamiliar ride hailing drivers. [3] • Volunteer transportation systems can more easily serve older and disabled people due to higher client engagement, lower costs and higher user familiarity with the service providers. [3] • Older people in the 80 to 90 age groups tend disproportionately to be women living alone. • Ageing is linked with a reduction in car usage and driving, often caused by the worsening of physical conditions, increased stress associated with driving, car maintenance costs and less need to drive for full time work, as well as forced cessation of driving due to old age. [3] • Older people become more reliant on taxis and lifts from family and friends as a transport mode, providing a supplement to the publicly accessible fixed-route bus and rail system. [3] • Research from Age UK has found that an improved provision of active transport (including walking and cycling) could disproportionately benefit older people. Increased provision of active transport is likely to improve the amount of physical activity, which is linked to better cognitive performance, better mental health outcomes and reduce overall morbidity and mortality. [3] • Currently only 8% of men and 3% of women over the age of 65 in the UK cycle, a much lower proportion compared to both the general population in the UK and those over the age of 65 in European countries. [3]
Mitigations:	
Disability	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	<ul style="list-style-type: none"> • Undertaking an analysis of current transport trends among disabled people it is important to note that disabled people are not a homogenous group, their needs and abilities can vary greatly depending on the nature and severity of their disability. [3] • Families that include someone with a disability have always been at greater risk of poverty (JRF 2017: 25) [1] • Disabled people face a range of challenges in relation to mobility and various modes of transportation. [3] • Primarily, key obstacles relate to a lack of accessible infrastructure, at stops, stations and other locations, as well as in use of vehicles themselves. [3]

- Where people are unable to rely on public transport either due to structural barriers or because of geographical location, they are likely to **increasingly rely on more expensive services such as taxis and private hire vehicles (PHVs)** – affecting the affordability of travel. [3]
- **Accessible and inclusive information** relating to routes and tickets is also a **key challenge**. Adequate information, alongside staff presence and assistance can help to make disabled passengers feel safer when travelling, as well as making journeys easier and more stress-free. [3]
- **Active travel modes** for disabled people are reliant on well marked shared spaces and clear pedestrian routes, where these are present, modes such as walking and cycling can have both **mental and physical health benefits** for disabled people. [3]
- Appropriate transport provision enables disabled people to participate in their community, maintain social networks, and access employment, education, healthcare and other services. [3]
- The unemployment rate in the UK for disabled people was 6.7% in 2019, despite this rate having reduced, it is still nearly **double the national unemployment rate**. Evidence shows that difficulty in **accessing transport** is the **second most common barrier** to work among disabled people. [3]
- While disabled people tend to travel less than non-disabled people, many are nonetheless **reliant on public transport**. There can be large variances in a person's travel patterns depending on their disability and its severity. For example, according to DfT's 'disabled people's travel behaviour and attitudes to travel' report, having a **learning or physical disability** correlates strongly to **travel by bus**. Around 60% of disabled people have no access to a car and use the bus around 20% more than their non-disabled counterparts. [3]
- Disabled people are more likely to report **negative and problematic journey experiences**, alongside **limited awareness** of viable alternatives. For some disabled people, the **attitude** of staff and other passengers, as well as the **unpredictability of public transport** (both timings and capacity), prevents them from using public transport. For **neurodiverse** people, a **lack of routine or unexpected events** can become overwhelming, leading to high levels of **stress and anxiety**. [3]
- **Overcrowding** at peak times can make travelling particularly difficult for those with **reduced mobility** and people who are more **vulnerable to stress and anxiety** in crowded places, as fast-moving, dense crowds of people can reduce accessibility and make vulnerable passengers feel unsafe. For those people unable to stand on a moving train, there may be difficulties, even outside peak hours, in **finding a seat** on services which have reduced the number of seats in order to increase overall carrying capacity. This can result in increased levels of stress and anxiety associated with the use of public transport for those with reduced mobility. [3]
- Disabled passengers often travel to, from and between legs of their journey via various transport modes, sometimes with challenges to the successful completion of the **first and last mile** of a journey. Challenges can include finding and using suitable parking areas when using a private vehicle for a portion of the journey, public transport connections, and differing levels of staff support (where support is available) for different legs of the journey [3]
- Research has found that in urban areas, **active travel routes** are associated with an increased **perception of risk**, often due to poor lighting or a lack of people using the route. This perception of crime can impact disabled people who are at a higher risk of being a victim or witnessing a crime. [3]
- There is a relatively **low participation rate in active travel** for disabled people, research has shown that disabled people with a range of learning and physical impairments, state that a reason for their lack of activity is due to the **inaccessibility of the pedestrian environment**, particularly road crossings where evidence shows they feel particularly vulnerable. The timing of crossings, a lack of working crossings and the absence of dropped kerbs are all cited as barriers, and uneven surfaces increase the chance of falling for people with reduced mobility. For wheelchair users' obstructions such as advertising boards or bins can make the pedestrian environment particularly challenging

	<ul style="list-style-type: none"> • Air quality depletion linked to traffic exhaust emissions can have detrimental effects on certain groups of disabled people. The British Lung Foundation states those at highest risk to air pollution effects are those already living with pre-existing health conditions, predominantly those with such lung conditions as asthma or Chronic Obstructive Pulmonary Disease (COPD). [3]
Mitigations:	
Sex	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	<p>Women</p> <ul style="list-style-type: none"> • Identified as a group at risk of transport poverty [1] • A lack of adequate public transport creates barriers to women accessing employment and educational opportunities. This is related to their patterns of participation in the labour market. [1] • Since women are more likely to be in part-time work and exercise caring responsibilities that may require them to make multiple short journeys during a day, their transportation needs are not adequately met by the majority of transport services that are designed following a “hub and spoke model”. [1] • Having less access to private means of transport such as bicycles, motorcycles and cars, women are inclined to take work closer to home, often in the informal sector, which may limit their opportunities for finding better paid or higher skilled positions. This may be exacerbated by a limited availability of part-time work or work that fits around school hours. [1] • Kamruzzaman and Hine (2012) highlighted that an understanding of access to activity spaces can shed light on the gendered dynamics of social exclusion. For example, women had more transport constraints than men, as childcare constraints meant they were less likely to take longer journeys. They were also less likely to travel at night or on weekends due to perceptions of safety, stemming from a lack of transport during these periods. [1] • Less women across the UK hold a driving license compared to men (67% versus 77%). Women also tend to not have access to a car, particularly during the day as they either cannot afford one, or the family car is being used by a partner. [3] • In terms of affordability and availability, it might not be financially convenient for women to pay for monthly or weekly transport passes when working flexibly. [3] • Caring responsibilities also tend to disproportionately fall to women and often require making multiple short journeys during a day – for example, to drop off children at school, visit family members and shop for food – which creates an additional challenge if private transport is not available. In such cases public transport services may not sufficiently interconnected, requiring journeys with several changes and a long commuting time. [3] • When involved in a road accident, women are also more likely to fall casualties than men. [3] • While fewer women tend to have access to private transport, women make greater use of taxis and PHVs in comparison to men, increasing with older age. This is despite challenges around costs and affordability as well as personal safety when using a PHV or taxi as passengers can feel vulnerable and concerned due to travelling with strangers [3] • Feelings of personal safety and security are thus a recognised barrier to women using public transport. [3] • Ensuring that public transport provision is affordable and improving public transport connections, making them more reliable, would enable women to undertake better connected journeys. [3] • Research evidences that gender inequality in cycling is common, with low levels of cycling among women compared to men. This could be due to cultural

	<p>factors that remain in place despite an increase in the promotion of active travel. Promoting gender equality and normalising cycling culturally could benefit women in increasing the numbers of those cycling regularly [3]</p> <p>Men</p> <ul style="list-style-type: none"> • Even though men tend to undertake fewer trips per year when travelling, they tend to travel further distances. Private vehicle use and ownership is also higher amongst men, with evidence showing differences in driving habits, as well as a higher propensity to be employed in sectors that require driving, such as freight and logistics and public transport. [3] • Men are in fact more likely to be involved in road traffic accidents across all transport modes this is also due to their higher propensity to use certain transport modes. [3] • Younger men are also more likely to be road casualties [3] • With pedestrians, female pedestrians account for just over half of journeys made by foot (52%), but men make up the majority of pedestrian casualties (57%). [3] • Younger men aged 16-19 are also more likely to be victims of crime on the public transport network compared to men of all other age groups [3]
Mitigations:	
Sexual orientation	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	<ul style="list-style-type: none"> • As with religious and faith and other protected characteristic groups, safety and security – and perceptions of safety and security – when using public spaces, and public transport is a key issue for lesbian, gay and bisexual (LGB) people [3] • Improvements in all aspects of transport safety, including transport infrastructure that ensures journeys can be undertaken in a safe, reliable and efficient manner, would improve feelings of personal safety and present a beneficial opportunity to all vulnerable groups when travelling, including LGB people [3]
Mitigations:	
Pregnancy / Maternity	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	<ul style="list-style-type: none"> • Public transport plays a fundamental role in supporting social inclusion for many parents with young children, and parents with young children have been identified as a group that is particularly vulnerable to social isolation. [3] • Evidence also suggests that, when private transport is available, parents with young children might choose it as a preferred transport method due to its convenience and perceived safety [3] • Similar to disabled people, and older people, the accessibility and design of physical spaces can also affect parents' ability to travel freely with small children, especially if using pushchairs. [3] • Provision of better physical accessibility of public transport, as well as availability of public transport services for all, would contribute to meeting parents' travel needs – which may differ from travel patterns planned around working life – would enable this group to undertake more comfortable journeys while also responding to their needs and avoiding the risks of social isolation and severance. [3] • Exposure to poor air quality and pollutants can also affect foetal development and cause low birth weights, premature births as well as stillbirths and miscarriages; sometimes having long-lasting effects on the health of the baby. [3]
Mitigations:	
Gender reassignment	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	<ul style="list-style-type: none"> • Measures that would improve feelings of safety and thus confidence in travel would present an opportunity for this group; including infrastructure measures such as CCTV at public transport infrastructure and on transport services, and the improved visibility of staff in areas where people feel particularly vulnerable, again, including public transport. The training of transport staff to ensure that they are able to offer appropriate support to transgender passengers would further support greater confidence in travel by this group. [3]

Mitigations:	
Race	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	<ul style="list-style-type: none"> Black, Asian, and minority ethnic (BAME) households consistently have the highest rates of poverty, and White British households have the lowest [1] Adults from Asian, Black or other ethnic groups took substantially fewer trips per person in 2017 than those from white or mixed groups. [1] In 2020 unemployment rates for people from BAME backgrounds are nearly twice those of people from White backgrounds [3] Data from Joseph Rowntree also shows that people from a BAME background are overrepresented in shift work [3] Access to transport for some people is tied closely to geography, and infrequent public transport services, particularly in the evening and at weekends, can impact the type of employment people are able to access and can, for example, affect the ability to undertake shift work. Research has found that this was particularly the case for ethnic minority groups concentrated in more deprived areas. [3] There is some disparity when looking at figures for people from a BAME background in relation to walking and cycling. DfT walking and cycling statistics suggest that people from a mixed ethnicity background were most likely to walk for travel once a week [3] In terms of cycling, DfT data suggests that Black and Asian adults are least likely to cycle [3] It has been highlighted in research that people from a BAME background fear racial attacks when using public transport, thus potentially causing a barrier to their use of transport networks. [3] Higher level of air pollution exposure is linked to the high proportion of BAME communities living in densely populated urban areas where air pollution is highest. [3]
Mitigations:	
Religion or Belief	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	<ul style="list-style-type: none"> Safety, and perceptions of safety, are particularly important for a number of groups when using the pedestrian environment and public transport. This includes people from particular religious or faith communities, for whom concern about hate crime is a particular issue. [3] In some cases, older generations may not have English as a first language, while younger generations may have a large number of children. Barriers faced for people with multiple children include cost, journey planning and ease. [3] The geographical distribution of faith schools means that younger people at these schools may have to travel further distances to access a particular school. [3]
Mitigations:	
Marriage & civil partnership	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	There is no current evidence to suggest that this protected characteristic group might experience transport differently today. [3]
Mitigations:	
OTHER RELEVANT CHARACTERISTICS	
Socio-Economic (deprivation)	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	<ul style="list-style-type: none"> People who depend more on the bus network for work tend to be lower paid, live in more deprived areas, and are more likely to turn down jobs due to transport issues, than those on higher incomes, who tend to use cars and trains more often. [1] Income was found to be one of the defining aspects of socio-economic inequality. Transport costs and affordability are central to the impact of transport on inequality. If transport is too expensive, then people are not able to make the journeys they need to get into work or move into education and training that could improve their prospects [1] Key vehicles for addressing poverty include welfare and public support, education, cost of living interventions, employment, and social support (e.g. health and social care services, family relationships (Joseph Rowntree Foundation 2016). [1]

- Membership of **specific demographic groups** can predict risk of poverty [1]
- There is a relationship between income and type of transport used. Those on **lower incomes use buses** more than those on higher incomes, and those on higher **incomes use cars and trains more** than those on lower incomes (Department for Transport 2017). This is a result of accessibility rather than choice: buses are cheaper to use than trains, and cars are expensive to own and run. [1]
- **Access to work** is greatly improved by more **accessible and affordable public transport** opportunities. Transport is important in obtaining a job, keeping a job, or getting a better job. Improving provision for **cycling** can also have a positive impact on **employment opportunities**. [1]
- Those who **depend more on the bus network** to participate in the labour market tend to be **lower paid**, reside in areas of **deprivation**, and are more likely to turn down employment due to transport limitations. [1]
- **Cycling** is regarded as a **good way to widen travel horizons** for disadvantaged individuals. [1]
- **Support in paying for transport** is a way in which cities can support people living in poverty to access and maintain work. [1]
- **Affordability of public transport** is one of the **key barriers** for **people living on low incomes**, such as people who are unemployed, in insecure or low paid work, and people who live in deprived areas. [2]
- People living in deprived areas are significantly more likely to use **buses** than other groups of people, and bus travel therefore accounts for a **larger percentage of their income**. [2]
- Evidence from the Joseph Rowntree Foundation also highlights that residents in low-income neighbourhood often find commuting options constrained by unaffordable or unreliable public transport, especially when combined with the prospect of **low-paid or unsecure employment**. Low income jobs such as cleaning or security roles may require **early starts or late finishes** when **public transport is not available**. Furthermore, **peripheral sites of employment**, such as retail, commercial and industrial parks are hard to access using the public transport system, making people living in low-income neighbourhoods **more reliant on private transport**. [3]
- Lower income households have higher **levels of non-car ownership** – **female heads of house, children, younger and older** people, people from a **BAME background** and **disabled** people are often concentrated in this statistic. [3]
- There are geographical inequalities in the provision of transport and as a result differences in access to employment, healthcare, education, and other amenities occur. Often these are located in areas that already have good transport links or are due to have new transport hubs opening nearby. However, residential areas may have a wider scale of provision compared to areas of employment. The lower level of car ownership, combined with limited public transport services in many peripheral social housing estates, exacerbates issues around access to services, education and employment. [3]
- Evidence suggests that people living in deprived areas face **unequal access to certain modes** of transport. Research has found that only a **small number of deprived areas** are served by the **rail network**, instead mostly being accessible by local buses. Where there are train stations, they are often perceived as **rundown** and **secluded**, leading to feelings of fear about using them. [3]
- People living in deprived neighbourhoods are significantly **more likely to feel unsafe** and believe that crime is a significant problem in the areas that they are living. [3]
- A 2018 study into **pedestrian safety** revealed that **children who live in deprived areas** are at a greater risk of being involved in a **road related accident** (as both a **passenger** and a **pedestrian**) when compared to other children. Children living in the **most deprived** quintile are **six times as likely** to be **involved in an accident** than those living in the least deprived quintile. Rates of **Killed or Seriously Injured casualties** in relation to miles walked for people in the most deprived quintile is over **double** that of those living in the least deprived (0.58 and 0.28 casualties per million miles walked). [3]
- There is major disparity between people living in deprived areas and communities in more affluent areas regarding the exposure of individuals to **polluted air** [3]

	<ul style="list-style-type: none"> Increasing promotion and provision of active transport directly benefits people who reside in deprived areas by improving the local air quality and improving their health and wellbeing. For example, obesity rates for children are highest amongst those in deprived areas. [3] Public transport has the potential to increase access to employment and education, in return creating economic prosperity. However, this is based on ensuring that transport networks connect more deprived areas to centres of employment and education [3] Ensuring feelings of safety are increased will encourage more people to participate in active travel modes and use public transport that is available. Safety can be improved by the provision of quality lighting, clear sightlines and where appropriate surveillance. Furthermore, concerns around road safety can be reduced through appropriate education, signs and road markings amongst other things. [3]
Mitigations:	
Carers	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	
Mitigations:	
Other groups [Please add additional rows below to detail the impact for other relevant groups as appropriate e.g. Asylums and Refugees; Looked after Children / Care Leavers; Homelessness]	
Potential impacts:	
Mitigations:	

3.2 Does the proposal create any benefits for people based on their protected or other relevant characteristics?

Outline any potential benefits of the proposal and how they can be maximised. Identify how the proposal will support our Public Sector Equality Duty to:

- ✓ Eliminate unlawful discrimination for a protected group
- ✓ Advance equality of opportunity between people who share a protected characteristic and those who don't
- ✓ Foster good relations between people who share a protected characteristic and those who don't

The proposals objectives are all focused on creating more equitable environments and providing safer, more accessible, and healthier transport options for all, with the infrastructure delivered helping to support improved health outcomes for those prescribed via the GP Prescribing bid.

Infrastructure proposals will all be required to be in line with latest government guidance (e.g., LTN 1/20) which sets minimum requirements around accessibility to ensure people using mobility aids, such as walking frames, adapted bikes, or blue badge holders, are not discriminated against because of the environment's characteristics.

Through ongoing engagement (and the co-design process), issues and options to improve the accessibility and safety of scheme areas will be assessed and developed with input from a range of key stakeholders. As part of the liveable neighbourhood pilot scheme, proposals will be developed in partnership with the local community, including various local interest groups, some of which are likely to represent people with protected characteristics. As part of our early engagement work, Officers will engage with these groups locally to ensure participation in the process is possible from the start.

Step 4: Impact

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

What are the main conclusions of this assessment? Use this section to provide an overview of your findings. This summary can be included in decision pathway reports etc.

If you have identified any significant negative impacts which cannot be mitigated, provide a justification showing how the proposal is proportionate, necessary, and appropriate despite this.

Summary of significant negative impacts and how they can be mitigated or justified:

There is the potential for some schemes to require the removal or relocation of vehicle parking. In areas where disabled parking bays are located and may be subject to change, we will engage with the relevant groups to assess the impact and develop options which mitigate any negative impact with these groups.

Summary of positive impacts / opportunities to promote the Public Sector Equality Duty:

As noted previously, all the schemes are intended to provide more equitable spaces for people or implement support systems which can address imbalances around access to services.

The progression from temporary to permanent Streetspace schemes will increase the accessibility, safety, and health (air quality) of these environments, and mitigations being implemented to minimise any negative aspects which result from the removal of private vehicle access.

If successful, the Mini-Holland expression of interest bid would lead to a pilot scheme involving meaningful co-working with multiple agencies, including groups representatives disabled people and those with protected characteristics. The process provides the best opportunity for outcomes to meet the needs of the wider community, and not only a small minority who may be more mobilised than those from seldom heard groups.

Through the GP Prescribing bid, focusing on the Family Cycling Centre and communities in south Bristol, where health outcomes and levels of walking and cycling are low compared to the Bristol average, there is an opportunity to gather evidence on how targeted interventions in areas which suffer from poor health could be replicated across Bristol in the future.

4.2 Action Plan

Use this section to set out any actions you have identified to improve data, mitigate issues, or maximise opportunities etc. If an action is to meet the needs of a particular protected group please specify this.

Improvement / action required	Responsible Officer	Timescale

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

How will you know if you have been successful? Once the activity has been implemented this equality impact assessment should be periodically reviewed to make sure your changes have been effective your approach is still appropriate.

Monitoring and evaluation of schemes post-implementation is crucial for data-led evidence to test their success against the original objectives. This is known as 'legacy' and whilst evidence is gathered on changing travel behaviours, traffic collisions, air quality improvements etc, evidence is also collected to assess positive and negative impacts of the interventions on people with protected characteristics.

Evaluation approaches can involve:

- **Community surveys:** Community surveys carried out in cohorts for each LN area to capture public feedback and for monitoring travel behaviour and social impacts.
- **Secondary data collation:** Collation of information from existing datasets that are collected at regular intervals to report on progress against the LN objectives.

Evaluating schemes against their objectives can be done using both quantitative and qualitative methods. If, for example, one objective of a scheme is to 'Improve residents' physical and mental health and wellbeing', monitoring could be done through community surveys, before and after audits (e.g., Healthy Streets indicators) or the 'Quality of Life' survey. This approach describes a minimum level of monitoring and evaluation to be carried out for each scheme that is necessary to evidence their success against their intended objectives.

There is a need for flexibility in the evaluation approach given the varying context for each of the outlined schemes. Each varies according to existing place-making and travel behaviour, relevant stakeholder groups, community engagement feedback received from project inception and differing interventions. Where relevant to

a specific scheme area, the monitoring and evaluation approach should consider additional or varying monitoring and evaluation. This could include:

- Adaptations to community surveys to capture evaluative feedback on themes identified from the community engagement within a scheme area (to ensure there is an appropriate feedback loop on issues important to the local community and which captures a representative evidence base from people with protected characteristics).
- Widening community surveys within a scheme area to include a broader range of public feedback and/or include specific stakeholder groups (if there is under-representation from people with protected characteristics).
- Additional qualitative monitoring, including focus groups with specific stakeholder, disability, or community groups, or to capture more in-depth evidence from participants of surveys.
- Expanding data collection to include a wider study area if there remains an under-representation of people with protected characteristics).
- Additional monitoring tools e.g., parking surveys (pedestrians, cyclists, and cars) to understand the varying groups of people travelling to and through the scheme areas.

Where temporary materials are used to trial interventions (generally when an Experimental Traffic Regulation Order is in place, which can span 6-18 months), changes can be made based on stakeholder feedback to help mitigate any unintended consequences of the trial. To allow for meaningful evidence to be gathered and changes to be made during trials data gathering should be done:

- Before any scheme delivery has occurred. Baseline community survey should be undertaken and count data to form an understanding of the current situation.
- Post implementation- once measures are installed on a temporary basis. First iteration of comparative data should be undertaken and the carrying out of community surveys, traffic counts etc.
- Once adaptations have been made during the trial period and a permanent scheme is delivered, a second iteration of comparative data should be undertaken and the carrying out of community surveys, traffic counts etc completed.

Step 5: Review

The Equality and Inclusion Team need at least five working days to comment and feedback on your EqIA. EqIAs should only be marked as reviewed when they provide sufficient information for decision-makers on the equalities impact of the proposal. Please seek feedback and review from the [Equality and Inclusion Team](#) before requesting sign off from your Director¹.

<p>Equality and Inclusion Team Review: Equality and Inclusion Team</p>	<p>Director Sign-Off:</p> 
<p>Date: 25 August 2021</p>	<p>Date: 26/08/2021</p>

¹ Review by the Equality and Inclusion Team confirms there is sufficient analysis for decision makers to consider the likely equality impacts at this stage. This is not an endorsement or approval of the proposal.

Decision Pathway – Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 14 September 2021

TITLE	Bristol City Council Enforcement Policy in relation to Relevant Letting Agency Legislation	
Ward(s)	City-wide. The Enforcement Policy is applicable City-wide.	
Author: Jonathan Martin & Jonathan Mallinson	Job title: Trading Standards Manager & Private Housing Manager	
Cabinet lead: Cllr Nicola Beech – Climate Ecology, Energy and Waste Cllr Tom Renhard - Housing Delivery and Homes	Executive Director lead: Stephen Peacock, Executive Director Growth and Regeneration	
Proposal origin: BCC Staff		
Decision maker: Cabinet Member Decision forum: Cabinet		
Purpose of Report:		
<ol style="list-style-type: none"> 1. To recommend adoption of the refreshed & updated Bristol City Council (BCC) & Lead Enforcement Authority Penalty Notice Policy in respect of Lettings Legislation. 2. Seek delegation for future amendments to be made by Executive Director Growth and Regeneration in consultation with relevant cabinet member. 3. Information item – Update cabinet to make them aware of The Private Housing - Electrical Safety Standards - Civil Penalty Policy Addendum – June 2021. 4. To highlight to Cabinet the Council’s continuing commitment to put in place polices which protect and enforce the rights of Private Rented Sector Tenants in Bristol. 		
Evidence Base:		
<ol style="list-style-type: none"> 1. On 18th April 2019 BCC was appointed to act as the Lead Enforcement Authority (LEA) for the purposes of the Tenants Fees Act 2019 (TFA) which came into force on the 1st June 2019. 2. The work of the LEA is being jointly delivered with Powys County Council who already hosted the established Estate Agency Team. All the necessary legal agreements and authorisations are now in place and the team is functioning well. The team operates under the acronym NTSELAT (National Trading Standards Estate and Lettings Agency Team). 3. To take enforcement action under the Tenants Fees Act 2019 and associated relevant lettings legislation, local authorities must adopt an enforcement policy detailing how it will deal with decisions under the policy, including financial penalties and/or decisions to prosecute. 4. The Policy applies equally to BCC in its capacity as an enforcement authority which is enforced by the Private Housing Team and in its role as the Lead Enforcement Authority across England which is managed via the Trading Standards Service. 5. The Private Rented Sector in Bristol is significant. It is estimated there are over 60, 000 rented properties which make up approximately 30% of the 202,000 properties in the city. The national average is 19%. 		

6. The original Penalty Notice Policy was adopted by cabinet in September 2019. Since then minor changes have been dealt with under the 'slip' rule. We are now at Version 4.
7. Two years on, a more thorough refresh and review has been undertaken with content streamlined and clarified in places, and correction of minor typographical errors.
8. Some key points of change:
 - a. Previous version Section 1 "legal reference" removed and Section 3 "consequential amendments" simplified and now follows on from new Section 1 "sanctions".
 - b. Previous version Section 5, now Section 3, has been amended to reflect the statutory guidance when considering a financial penalty. Although similar and still relevant, the previous version was referring to considerations from the statutory guidance to decide whether to issue a higher penalty of prosecute for second / subsequent breaches.
 - c. Inclusion of Client Money Protection (CMP) statutory guidance.
 - d. Clarifying ability to undertake financial assessment of subject, previous version referred to officers using Sch 5, Consumer Rights Act powers, this has been removed and replaced with "use powers to, as far as possible, make an assessment on means" as Sch 5 is not available under all pieces of lettings legislation for Local Authorities, only the LEA.
 - e. Appendix 9 and 10, which separated penalty amounts for Reg 4 CMP breaches have been condensed into a single Appendix (9).
9. The policy is also widely used as the foundation for enforcement policies adopted by other local authorities. It is important therefore the policy is regularly reviewed and this is part of the diligence and oversight to ensure the policy remains fit for purpose.
10. Local Context as Enforcement Authority. The Tenant Fees Act came into force on 1st June 2019 for new tenancies falling within its implementation period up until the 1st of June 2020. After this date, all relevant tenancies are covered by the Act irrespective of when they were signed. From June 2020, Bristol City Council received a high number of Tenant Fees Act enquiries but also sought out breaches by approaching the tenants of landlords we had reason to suspect were non-compliant.
11. In accordance with our enforcement policy, most landlords and agents were given the opportunity to repay banned fees and were then audited to ensure compliance with other Trading Standards legislation. Out of a total of 24 breaches, only 3 were dealt with by way of enforcement action against the same persistent landlord. In total £24,153 was recovered for tenants in Bristol during the last financial year.

For information only.

12. New regulations in relation to electrical safety in rented properties will protect most renters by requiring landlords to have regular safety checks on the wiring in their homes by competent electricians. Any unsafe works must be attended to by landlords, otherwise they face potentially significant financial penalties. Tenants can now by law also expect to be provided with a current electrical safety certificate before they start a new tenancy. Landlords are also under a duty to advise the Council when unsafe installations have been made safe. See [link](#) to .gov for further information.
13. On the 10th July 2021, Private Housing Electrical Safety Standards Civil Penalty Policy Addendum

(Appendix M) was approved by the Executive Director - Growth & Regeneration in consultation with the Cabinet Member for Housing. Approval of the addendum was made in accordance with the Council's Decision Pathway using the powers delegated to the Executive Director under the Council's constitution. The decision was published on the Council's website see [link](#). The Addendum was necessary to allow the Council to impose financial penalties under the new Electrical Safety Standards Regulations in the Private Rented Sector (England) 2020 (ESSR 2020).

14. These regulations apply in England to new tenancies from 1 July 2020 and existing tenancies from 1 April 2021. The regulations require landlords in the private rented sector to ensure that minimum electrical safety standards are met in their properties and ensure the electrical installations are inspected and tested by a competent person at regular intervals of no more than five years. If the Council finds that landlords are in breach of their duties under the ESSR 2020 allow for a financial penalty to be imposed, up to £30,000, and may apply the proceeds to meet the costs and expenses in, or associated with, carrying out any of its enforcement functions in relation to the private rented sector
15. The addendum policy was approved under executive officer powers to the current Civil Penalty as an alternative to Prosecution under the Housing Act 2004. This policy was approved by Cabinet 3rd October 2017. (Appendix N).

Cabinet Member / Officer Recommendations:

1. Approve the updated Bristol City Council (BCC) & Lead Enforcement Authority Penalty Notice Policy in respect of Lettings Legislation.
2. Authorise the Executive Director Growth & Regeneration in consultation with the relevant Cabinet members Climate, Ecology, Waste and Energy and/or Housing Delivery and Homes to make future minor changes to the Bristol City Council (BCC) & Lead Enforcement Authority Penalty Notice Policy in respect of Lettings Legislation subject to periodic review by cabinet.
3. Note the Private Housing Electrical Safety Standards Civil Penalty Policy Addendum.

Corporate Strategy alignment:

1. Fair and Inclusive: Housing is a key priority, including resolving affordability, insecurity, and poor conditions in the private rented sector.

City Benefits: Homes & Communities is a priority area. It follows the ability of the authority to take robust and timely action against rogue landlords and letting agents is imperative to help protect consumers and tenants.

Consultation Details:

1. **Private Housing Colleagues-** throughout the review colleagues in Private Housing have been consulted and have actively contributed to the proposed changes.
2. **Legal Services-** The LEA funds a 0.5 FTE Regulatory Lawyer who has contributed to the refresh and drafting of the revised policy.

Background Documents:

[Tenancy Fees Act - Statutory guidance for enforcement authorities.pdf \(publishing.service.gov.uk\)](#)

[Mandatory client money protection: enforcement guidance for local authorities - GOV.UK](#)

www.gov.uk

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

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

1. Finance Advice: The report seeks approval to adopt a refreshed Penalty notice policy. The policy outlines how penalties are determined and outlines the range of fines that could be issued to Letting agents in breach of policy. There are no direct financial implications expected as a direct consequence of approving the refreshed Policy, other than any costs of publishing and communicating the details of the new policy, which will be met from existing Service budgets. Any increase in operational costs from enforcing this policy is expected to be met from the penalty notice revenue.

Finance Business Partner: Kayode Olagundoye, Interim Finance Business Partner, Growth and Regeneration, 30/07/2021. Reviewed and reconfirmed 26/8/21.

2. Legal Advice: This policy was adopted by Bristol City Council in September 2019. This is an update of the policy, bringing it into line with statutory guidance; 'Tenant Fees Act 2019 Statutory Guidance' and 'Mandatory Client Money Protection for Property Agents Enforcement guidance for Local Authorities', correcting minor typographical errors and streamlining the document.

The substantive content of the policy remains the same with no substantive changes to the financial penalty process or factors to be considered.

The Legislative and Regulatory Reform Act 2006 provides that anyone exercising an authority's regulatory functions must have regard to the following principles:-

-regulatory activities should be carried out in a way which is transparent, accountable, proportionate and consistent;

-regulatory activities should be targeted only at cases in which action is needed.

The Act also provides that the decision maker must have regard to the Regulators Code of Practice when determining an enforcement policy. The above statutory principles, the Regulators Code and the Code for Crown Prosecutors are incorporated within the enforcement policy that is the subject of this report.

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

1. eliminate discrimination, harassment, and victimisation;
2. advance equality of opportunity; and
3. foster good relations between persons who share a relevant protected characteristic and those who do not share it.

The Equalities Impact /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 to approve the policy

Appendix M - Private Housing - Electrical Safety Standards - Civil Penalty Policy Addendum – June 2021 was previously approved under the executive powers of the Council’s constitution and for the purposes of this report is for information only

Legal Team Leader: Anne Nugent in consultation with Kate Burnham-Davies (TFA lead lawyer) 30th July 2021.

3. Implications on IT: No anticipated impact on IT/Digital Services

IT Team Leader: Simon Oliver - Director - Digital Transformation 24th August 2021

4. HR Advice: There are no HR implications evident.

HR Partner: Celia Williams 2nd August 2021

EDM Sign-off	Stephen Peacock, Executive Director	13 th July 2021
Cabinet Member sign-off	Cllr Nicola Beech, Cabinet Member for Climate Ecology, Energy and Waste	19 th July 2021
For Key Decisions - Mayor’s Office sign-off	Mayor’s Office	16 th August 2021

Appendix A – Further essential background / detail on the proposal Current V4 Enforcement Policy.	YES
Appendix B – N/A	NO
Appendix C – Summary of any engagement with scrutiny	NO
Appendix D – Risk assessment	NO
Appendix E – Equalities screening / impact assessment of proposal	YES
Appendix F – Eco-impact screening/ impact assessment of proposal	NO
Appendix G – Financial Advice	NO
Appendix H – Legal Advice	NO
Appendix I – Exempt Information	No
Appendix J – HR advice	NO
Appendix K – ICT	NO
Appendix L – Procurement	NO
Appendix M - Private Housing - Electrical Safety Standards - Civil Penalty Policy Addendum – June 2021	NO
Appendix N - Civil penalty as an alternative to prosecution under the Housing Act 2004	NO



BRISTOL CITY COUNCIL ENFORCEMENT POLICY IN RELATION TO RELEVANT LETTING AGENCY LEGISLATION

Tenant Fees Act 2019

Consumer Rights Act 2015

The Redress Schemes for Lettings Agency Work and Property Management Work (Requirement to Belong to a Scheme etc) (England) Order 2014, made under the Enterprise and Regulatory Reform Act 2013

The Client Money Protection Schemes for Property Agents (Requirement to Belong to a Scheme etc.) Regulations 2019, made under the Housing and Planning Act 2016

Enforcement Authorities may reuse this information free of charge in any format or medium.

Bristol City Council ("BCC") has adopted this policy on deciding financial penalties and the appropriateness of prosecution as an alternative to imposing financial penalties under the relevant letting agency legislation.

It applies in relation to any decision made by the Council in its capacity as Enforcement Authority and Lead Enforcement Authority under Sections 6, 7 & 26 of the Tenant Fees Act 2019 respectively.

This penalty policy is also available from our website at: www.ntselat.uk.

The contents of this guidance does not constitute legal advice only a court of law can provide certainty.

June 2021, v5

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Enforcement Generally

Introduction

Bristol City Council ("BCC") has adopted this policy on deciding financial penalties and the appropriateness of prosecution as an alternative to imposing financial penalties under the relevant letting agency legislation.

It applies in relation to any decision made by the Council in its capacity as Enforcement Authority and Lead Enforcement Authority under Sections 6, 7 & 26 of the Tenant Fees Act 2019 respectively.

For clarity, "relevant letting agency legislation" means:-

1. The Tenant Fees Act 2019, "the TFA 2019"
2. Chapter 3 of Part 3 of the Consumer Rights Act 2015 as it applies in relation to dwelling houses in England
3. An order under Section 83(1) or 84(1) of the Enterprise and Regulatory Reform Act 2013¹; and
4. Regulations under Sections 133 – 135 of the Housing and Planning Act 2016².

1. Sanctions

The Tenant Fees Act 2019 provides that enforcement authorities may impose financial penalties of up to £30,000 depending on the breach as follows:

- a. In respect of a first breach of s1 & s2, or a breach of Schedule 2 of the TFA 2019, a financial penalty not exceeding £5,000.
- b. Under s12 of the TFA 2019 a second or subsequent breach of S.1 or S.2 within 5 years of the previous breach provides for a financial penalty not exceeding £30,000.00 and there is alternative power to prosecute in the Magistrates Court where an unlimited fine may be imposed.

In respect of a failure of Letting Agents to publicise their fees as required by s83(3) of the Consumer Rights Act 2015 a financial penalty not exceeding £5,000.

In respect of a failure by any person engaged in Letting Agency or Property Management work who fails to hold membership of a Redress Scheme as required by Article 3 Redress Schemes for Lettings Agency Work and Property Management Work (requirement to belong to a Scheme etc.) England) Order 2014 (in respect of Lettings Agency work) or Article 5 (in respect of property management work) to a financial penalty not exceeding £5,000. (Note that it is not sufficient to simply register for redress – the correct category of membership must be obtained depending on the work carried out.)

¹ Pertaining to The Redress Schemes for Lettings Agency Work and Property Management Work (Requirement to Belong to a Scheme etc) (England) Order 2014

² Pertaining to The Client Money Protection Schemes for Property Agents (Requirement to Belong to a Scheme etc.) Regulations 2019

In respect of Client Money Protection Schemes for Property Agents (Requirement to Belong to a Scheme etc.) Regulations 2019:-

- a) a failure by a property agent who holds client money to belong to an approved or designated Client Money Protection (“CMP”) Scheme as required by Regulation 3, a financial penalty not exceeding £30,000 or
- b) a failure to display a certificate of membership; or publish a copy of that certificate on the relevant website (where one exists); or produce a copy of the certificate free of charge to any person reasonably requiring it as required; or notify any client in writing within 14 days of a change in the details of a underwriter to the CMP scheme or that the membership of the CMP scheme has been revoked, as required by Regulation 4, a financial penalty not exceeding £5,000.

The Council will determine what is the most appropriate and effective sanction and whether it is appropriate to impose a financial penalty or prosecute having due regard to the BCC Enforcement Policy and as the Enforcement Authority, the [Private Housing Service Enforcement Policy](#).

Other Types of Enforcement Action that may be taken

In appropriate circumstances consideration will be given to less formal action such as warning letters or advice, in an effort to secure compliance, and will be done so in accordance with the relevant BCC Enforcement Policy.

2. Statutory Guidance

The Ministry of Housing, Communities & Local Government (“MHCLG”) has published guidance for enforcement authorities in respect of the Tenant Fees Act 2019 - [“Tenant Fees Act 2019: Statutory Guidance for enforcement authorities”](#) and in respect of Client Money Protection Requirements – [“Mandatory Client money protection for property agents – enforcement guidance for local authorities”](#)

This is statutory guidance to which enforcement authorities must have regard to when considering to impose a financial penalty. This statutory guidance recommends certain factors that an enforcement authority should take into account when deciding on the level of financial penalty to impose and further recommends that enforcement authorities develop and document their own Policy on determining the appropriate level of financial penalty in a particular case.

3. Determining the level of the financial penalty

In accordance with the provisions of the TFA & CMP statutory guidance, the following factors should be considered by an enforcement authority when determining the level of penalty to impose for a breach of relevant letting agency legislation:-

- a. Severity of the breach
- b. Punishment of the landlord or agent
- c. Aggravating and mitigating factors
- d. Fairness and proportionality

Each of these factors are explained in more detail in the statutory guidance which you should refer to for each penalty you consider. For ease, the same considerations will be applied in cases of redress membership and breaches of S.83 Consumer Rights Act 2015.

Although the Council has therefore a wide discretion in determining the appropriate level of financial penalty in any particular case, regard has been given to the statutory guidance when making this policy.

The Council has also decided to base this policy on the principles set out in Bristol City Council's policy entitled 'Civil penalty as an alternative to prosecution under the Housing Act 2004' with the recognition that with the exception of the limited power to prosecute referred to in this policy prosecution is not otherwise an option under the TFA 2019.

The civil penalty as an alternative to prosecution under the Housing Act 2004 policy was reviewed in 2018 and was informed by the principles contained in the Sentencing Council's 'Health and Safety Offences, Corporate Manslaughter and Food Safety and Hygiene Offences Definitive Guideline'. The Council believes this to be a fair, relevant and reasonable model to follow; this policy was widely consulted on with various stakeholders.

Appendix 1 of this policy contains the processes that the Council will use in order to determine the level of financial penalty under the TFA 2019 and other relevant letting agency legislation. All stages subsequent to the issue of a Notice of Intent are subject to statutory time limits and the suspension of the process should an appeal be made to the First Tier Tribunal.

Appendix 1 – The Council’s process for determining the level of penalty to set

STEP ONE – Determining the category

The Council will determine the breach category using only the culpability and category of harm factors below. Where a breach does not fall squarely into a category, individual factors may require a degree of weighting to make an overall assessment. Other discretionary factors may also be applied in order to reflect consistency and may consider decisions in other UK jurisdictions where they contain some relevant and persuasive content.

Culpability

Very high: Where the Landlord or Agent intentionally breached, or flagrantly disregarded, the law or has/had a high public profile³ and knew their actions were unlawful

High: Actual foresight of, or wilful blindness to, risk of a breach but risk nevertheless taken

Medium: Breach committed through act or omission which a person exercising reasonable care would not commit

Low: Breach committed with little fault, for example, because:

- significant efforts were made to address the risk although they were inadequate on the relevant occasion
- there was no warning/circumstance indicating a risk
- failings were minor and occurred as an isolated incident

Harm

The following factors relate to both actual harm and risk of harm. Dealing with a risk of harm involves consideration of both the likelihood of harm occurring and the extent of it if it does.

Category 1 – High Likelihood of Harm

- Serious adverse effect(s) on individual(s) and/or having a widespread impact due to the nature and/or scale of the Landlord’s or Agent’s business
- High risk of an adverse effect on individual(s) – including where persons are vulnerable⁴

Category 2 – Medium Likelihood of Harm

- Adverse effect on individual(s) (not amounting to Category 1)
- Medium risk of an adverse effect on individual(s) or low risk of serious adverse effect.
- Tenants and/or legitimate landlords or agents substantially undermined by the conduct.
- The Council’s work as a regulator is inhibited
- Tenant or prospective tenant misled

Category 3- Low Likelihood of Harm

- Low risk of an adverse effect on actual or prospective tenants.
- Public misled but little or no risk of actual adverse effect on individual(s)

³ Which may include any significant role in a trade or business representative organisation

⁴ A wide definition of vulnerability will be used. See Appendix 2 for a non-exhaustive list.

We will define harm widely and victims may suffer financial loss, damage to health or psychological distress (especially vulnerable cases). There are gradations of harm within all of these categories.

The nature of harm will depend on personal characteristics and circumstances of the victim and the assessment of harm will be an effective and important way of taking into consideration the impact of a particular breach on the victim.

In some cases no actual harm may have resulted and the enforcement authority will be concerned with assessing the severity of the misconduct; it will consider the likelihood of harm occurring and the gravity of the harm that could have resulted.

To the community

Some breaches cause harm to the community at large (instead of or as well as to an individual victim) and may include economic loss, harm to public health, or interference with the administration of justice.

STEP TWO - Starting point and category range

Having determined the category that the breach falls into, the Council will refer to the following starting points to reach an appropriate level of civil penalty within the category range. The Council will then consider further adjustment within the category range for aggravating and mitigating features.

Obtaining financial information

The statutory guidance advises that local authorities can use their powers to, as far as possible, make an assessment of a Landlord or Agent's assets and any income (not just rental or fee income) they receive when determining an appropriate penalty. The Council will use such lawful means as are at its disposal to identify where assets might be found.

In setting a financial penalty, the Council may conclude that the Landlord or Agent is able to pay any financial penalty imposed unless the Council has obtained, or the Landlord or Agent has supplied, any financial information to the contrary. The subject of a Final Notice, or a Notice of Intent where the subject does not challenge it, will be expected to disclose to the Council such data relevant to his/her financial position to facilitate an assessment of what that person can reasonably afford to pay. Where the Council is not satisfied that it has been given sufficient reliable information, the Council will be entitled to draw reasonable inferences as to the person's means from evidence it has received, or obtained through its own enquiries, and from all the circumstances of the case which may include the inference that the person can pay any financial penalty.

Starting points and ranges

The tables in Appendices 4-9 below give the starting points, minimum and maximum financial penalties for each harm category and level of culpability for each type of breach:-

- Appendix 4 First breach in respect of a Prohibited Payment
- Appendix 5 Second & subsequent breach in respect of a Prohibited Payment
- Appendix 6 Breach of Publication of Fees requirements
- Appendix 7 Breach in respect of membership of a Redress Scheme
- Appendix 8 Breach in respect of membership of a Client Money Protection Scheme
- Appendix 9 Breach of transparency requirements of membership of a Client Money Protection Scheme (Regulation 4).

Context

Below is a list of some, but not all factual elements that provide the context of the breach and factors relating to the Landlord or Agent. The Council will identify whether any combination of these, or other relevant factors, should result in an upward or downward adjustment from the starting point. In particular, relevant recent convictions⁵ are likely to result in a substantial upward adjustment. In some cases, having considered these factors, it may be appropriate to move outside the identified category range which will not exceed the statutory maximum permitted in any case.

Factors increasing seriousness

Aggravating factors:

- Previous breaches of the TFA 2019 or relevant letting agency legislation
- Previous convictions, having regard to:
 - the nature of the offence to which the conviction relates and its relevance to the current breach; and,
 - the time that has elapsed since the conviction.

Other aggravating factors may include:

- Motivated by financial gain
- Deliberate concealment of illegal nature of activity
- Established evidence of wider / community impact
- Obstruction of the investigation
- Record of poor compliance
- Refusal of advice or training or to become a member of an Accreditation scheme

⁵ See Appendix 3 for a list of relevant convictions

Factors reducing seriousness or reflecting personal mitigation

- No previous or no relevant/recent breaches
- No previous convictions or no relevant/recent convictions
- Steps voluntarily taken to remedy problem
- High level of co-operation with the investigation, beyond that which will always be expected
- Good record of relationship with tenants
- Self-reporting, co-operation and acceptance of responsibility
- Good character and/or exemplary conduct
- Mental disorder or learning disability, where linked to the commission of the breach
- Serious medical conditions requiring urgent, intensive or long-term treatment and supported by medical evidence

STEP THREE - General principles to consider in setting a penalty

The Council will finalise the appropriate level of penalty so that it reflects the seriousness of the offence and the Council must take into account the financial circumstances of the Landlord or Agent if representations are made by the Landlord or Agent following the issue of a Notice of Intent.

The level of financial penalty should reflect the extent to which the conduct fell below the required standard. The financial penalty should meet, in a fair and proportionate way, the objectives of punishment, deterrence and the removal of gain derived through the commission of the breach; it should not be cheaper to breach than to take the appropriate precautions and a fundamental principle involved is that there should be no financial gain to the perpetrator from the commission of the breaches.

If issuing a financial penalty for more than one breach, or where the offender has already been issued with a financial penalty, The Council will consider whether the total penalties are just and proportionate to the offending behaviour and will have regard to the factors in STEP EIGHT below.

STEP FOUR- Issue Notice of Intent

In respect of prohibited payments, publication of fees etc and client money protection membership and transparency requirements The Council will issue a Notice of Intent before the end of the period of 6 months beginning with the first day on which the authority has sufficient evidence of the breach. In respect of redress membership, the notice of intent must be served within 6 months of the date on which the enforcement authority is first satisfied of the failure to comply with Article 3 or Article 5.. If the breach is ongoing the 6-month deadline continues until the breach ceases. A Notice of Intent can be served spontaneously.

While there are slight variations in the Statutory requirements according to which breach is being addressed a Notice of Intent will contain the amount of the proposed penalty, the reason for imposing the penalty and information about the right to make representations concerning the penalty. In respect of the TFA 2019, the date of service is also required on the Notice of Intent.

Examples of Notices of Intent may be found in the Council Guidance at <https://www.bristol.gov.uk/web/ntselat/lettings-enforcement>.

STEP FIVE – Consideration of representations and review of financial penalty where appropriate

The Council should review the penalty and, if necessary adjust the initial amount reached at STEP FOUR, and represented in the Notice of Intent, to ensure that it fulfils the general principles set out below.

Any quantifiable economic benefit(s) derived from the breach, including through avoided costs or operating savings, should normally be added to the total financial penalty arrived at in step two, providing it doesn't increase the penalty over the prescribed maximum. Where this is not readily available, the Council may draw on information available from enforcing authorities and others about the general costs of operating within the law. Whether the penalty will have the effect of putting the offender out of business will be relevant but in some serious cases this might be an acceptable outcome.

STEP SIX – Reductions

The Council will consider any factors which indicate that a reduction in the penalty is appropriate and in so doing will have regard to the following factors relating to the wider impacts of the financial penalty on innocent third parties; such as (but not limited to):

- The impact of the financial penalty on the Landlord or Agent's ability to comply with the law or make restitution where appropriate
- The impact of the financial penalty on employment of staff, service users, customers and the local economy.

The following factors will be considered in setting the level of reduction. When deciding on any reduction in a financial penalty, consideration will be given to:

- The stage in the investigation or thereafter when the offender accepted liability
- The circumstances in which they admitted liability
- The degree of co-operation with the investigation

The maximum level of reduction in a penalty for an admission of liability will be one-third. In some circumstances there will be a reduced or no level of discount. This may occur for example where the evidence of the breach is overwhelming or there is a pattern of breaching conduct.

Any reduction should not result in a penalty which is less than the amount of gain from the commission of the breach itself.

STEP SEVEN - Additional actions

In all cases the Council must consider whether to take additional action. These may include further enforcement action itself or reference to other organisations where appropriate.

STEP EIGHT – Totality of breaching conduct

Where more than one financial penalty has been considered, the Council should consider the following guidance from the Sentencing Council's definitive guideline on 'Offences Taken into Consideration and Totality' which appears to the Council to be an appropriate reference and guide.

As the total financial penalty is inevitably cumulative the Council should determine the financial penalty for each individual breach based on the seriousness of the breach and taking into account the circumstances of the case including the financial circumstances of the Landlord or Agent so far as they are known, or appear, to the Council.

The Council should add up the financial penalties for each offence and consider if they are just and proportionate. If the aggregate total is not just and proportionate the Council should consider how to reach a just and proportionate total financial penalty. There are a number of ways in which this can be achieved.

For example:

Where a Landlord or Agent is to be penalised for two or more breaches or where there are multiple breaches of a repetitive kind, especially when committed against the same person, it will often be appropriate to impose for the most serious breach a financial penalty which reflects the totality of the conduct where this can be achieved within the maximum penalty for that breach. No separate penalty should be imposed for the other breaches. Where a Landlord or Agent is to be penalised for two or more breaches that arose out of different incidents, it will often be appropriate to impose separate financial penalties for each breach. The Council should add up the financial penalties for each breach and consider if they are just and proportionate. If the aggregate amount is not just and proportionate the Council should consider whether all of the financial penalties can be proportionately reduced. Separate financial penalties should then be imposed.

Where separate financial penalties are imposed, the Council must take care to ensure that there is no double-counting.

STEP NINE – Recording the decision

The officer making a decision about a financial penalty will record their decision giving reasons for coming to the amount of financial penalty that will be imposed.

Appendix 2 – Non exhaustive list of vulnerable people:

- Young adults and children
- Persons vulnerable by virtue of age
- Persons vulnerable by virtue of disability or sensory impairment
- People on a low income
- Persons with a drug or alcohol addiction
- Victims of domestic abuse
- Children in care or otherwise vulnerable by virtue of age
- People with complex health conditions
- People exploited where English is not their first language
- Victims of Trafficking or sexual exploitation
- Refugees
- Asylum seekers People at risk of harassment or eviction
- People at risk of homelessness.

Appendix 3 – Non exhaustive list of relevant offences / breaches

Housing law or landlord and tenant related

Offences under:

- The Public Health Acts of 1936 and 1961
- The Building Act 1984
- The Environmental Protection Act 1990
- The Town and Country Planning Act 1990
- The Prevention of Damage by Pests Act 1949
- The Protection from Eviction Act 1977
- The Local Government (Miscellaneous Provisions) Acts of 1982 and 1976
- The Housing Grants, Construction and Regeneration Act 1996
- The Local Government and Housing Act 1989
- The Housing Act 2004
- The Consumer Protection from Unfair Trading Regulations 2008

Offences involving fraud

Offences in which the victim has been deprived of money, property or other benefit by misrepresentation/deception on the part of the offender including: -

- Theft
- Burglary
- Fraud
- Benefit fraud (particularly where tenants are in receipt of Housing Benefit)
- Conspiracy to defraud
- Obtaining money or property by deception
- People trafficking
- Being struck off as a company director

Offences involving violence

A conviction for the offence of:

- Murder
- Manslaughter
- Arson
- Malicious wounding or grievous bodily harm
- Grievous bodily harm with intent
- Actual bodily harm
- Grievous bodily harm
- Robbery
- Criminal damage where the intent was to intimidate or was racially aggravated
- Common assault

- Common assault which is racially aggravated
- Assault occasioning actual bodily harm
- Possession of an offensive weapon
- Possession of a firearm

Offences involving drugs

- Consideration should be given to the nature of the offence and what bearing it could have on the Landlord or Agents business activities. The nature, quantity, purity and class of drugs should be taken into account. In addition where an offence of possession with intent to supply is involved regard should be had to the role and importance of, the subject in the supply chain

Offences involving sexual offences

- An offence contained in schedule 3 of the Sexual Offences Act 2003.

Unlawful discrimination

- Unlawful discrimination can include findings of an Industrial Tribunal on unlawful employment practice such as discrimination under the Disability Discrimination Act. Consideration should be given to the nature of the unlawful discrimination and what bearing it could have on the management of a licensable property.

Other offences

- Modern Slavery / Human Trafficking Offences involving the recruitment, transportation, transfer, harbouring or receipt of persons, by means of the threat or use of force or other forms of coercion, of abduction, of fraud, of deception, of abuse of power or of a position of vulnerability or of the giving or receiving of payments or benefits to achieve the consent of a person having control of another person, for the purpose of exploitation.

Appendix 4 – Financial Penalty in the case of a first breach in respect of Prohibited Payments.

The table below gives the starting points, minimum and maximum financial penalties for each harm category and level of culpability. Where exceptional circumstances apply the Council may reduce the minimum penalties further but may not increase them above the maximum permitted of £5000.

		Range	
	Starting point (£)	Min (£)	Max (£)
Low culpability			
Harm category 3	1250	250	2250
Harm Category 2	1500	500	2500
Harm Category 1	1750	750	2750
Medium culpability			
Harm category 3	2000	1000	3000
Harm Category 2	2250	1250	3250
Harm Category 1	2500	1500	3500
High culpability			
Harm category 3	2750	1750	3750
Harm Category 2	3000	2000	4000
Harm Category 1	3250	2250	4250
Very high culpability			
Harm category 3	3500	2500	4500
Harm Category 2	3750	2750	4750
Harm Category 1	4000	3000	5000

Appendix 5 – Financial Penalty in the case of a second or subsequent breach in respect of Prohibited Payments within 5 years of a previous breach.

The table below gives the starting points, minimum and maximum financial penalties for each harm category and level of culpability. Where exceptional circumstances apply the Council may reduce the minimum penalties further but may not increase them above the maximum permitted of £30000.

		Range	
	Starting point (£)	Min (£)	Max (£)
Low culpability			
Harm category 3	3500	2000	8000
Harm Category 2	6500	4000	10000
Harm Category 1	8500	4500	15000
Medium culpability			
Harm category 3	6500	4750	17000
Harm Category 2	10500	5000	20000
Harm Category 1	12500	5500	22000
High culpability			
Harm category 3	10500	5500	20000
Harm Category 2	15000	6250	24000
Harm Category 1	18000	7000	26000
Very high culpability			
Harm category 3	15000	7000	24000
Harm Category 2	17500	7250	28000
Harm Category 1	20000	7500	30000

Appendix 6 – Financial Penalty in the case of a breach in respect of Publication of Fees.

The table below gives the starting points, minimum and maximum financial penalties for each harm category and level of culpability. Where exceptional circumstances apply the Council may reduce the minimum penalties further but may not increase them above the maximum permitted of £5000.

		Range	
	Starting point (£)	Min (£)	Max (£)
Low culpability			
Harm category 3	1250	250	2250
Harm Category 2	1500	500	2500
Harm Category 1	1750	750	2750
Medium culpability			
Harm category 3	2000	1000	3000
Harm Category 2	2250	1250	3250
Harm Category 1	2500	1500	3500
High culpability			
Harm category 3	2750	1750	3750
Harm Category 2	3000	2000	4000
Harm Category 1	3250	2250	4250
Very high culpability			
Harm category 3	3500	2500	4500
Harm Category 2	3750	2750	4750
Harm Category 1	4000	3000	5000

Appendix 7 – Financial Penalty in the case of a breach in respect of Membership of a Redress Scheme.

The table below gives the starting points, minimum and maximum financial penalties for each harm category and level of culpability. Where exceptional circumstances apply the Council may reduce the minimum penalties further but may not increase them above the maximum permitted of £5000.

		Range	
	Starting point (£)	Min (£)	Max (£)
Low culpability			
Harm category 3	1250	250	2250
Harm Category 2	1500	500	2500
Harm Category 1	1750	750	2750
Medium culpability			
Harm category 3	2000	1000	3000
Harm Category 2	2250	1250	3250
Harm Category 1	2500	1500	3500
High culpability			
Harm category 3	2750	1750	3750
Harm Category 2	3000	2000	4000
Harm Category 1	3250	2250	4250
Very high culpability			
Harm category 3	3500	2500	4500
Harm Category 2	3750	2750	4750
Harm Category 1	4000	3000	5000

Appendix 8 – Financial Penalty in the case of a breach in respect of a failure to obtain membership of a Client Money Protection Scheme

The table below gives the starting points, minimum and maximum financial penalties for each harm category and level of culpability. Where exceptional circumstances apply the Council may reduce the minimum penalties further but may not increase them above the maximum permitted of £30000.

		Range	
	Starting point (£)	Min (£)	Max (£)
Low culpability			
Harm category 3	3500	2000	8000
Harm Category 2	6500	4000	10000
Harm Category 1	8500	4500	15000
Medium culpability			
Harm category 3	6500	4750	17000
Harm Category 2	10500	5000	20000
Harm Category 1	12500	5500	22000
High culpability			
Harm category 3	10500	5500	20000
Harm Category 2	15000	6250	24000
Harm Category 1	18000	7000	26000
Very high culpability			
Harm category 3	15000	7000	24000
Harm Category 2	17500	7250	28000
Harm Category 1	20000	7500	30000

Appendix 9 – Financial Penalty in respect of a breach of transparency requirements of membership of a Client Money Protection Scheme (Regulation 4)

The table below gives the starting points, minimum and maximum financial penalties for each harm category and level of culpability. Where exceptional circumstances apply the Council may reduce the minimum penalties further but may not increase them above the maximum permitted of £5000.

		Range	
	Starting point (£)	Min (£)	Max (£)
Low culpability			
Harm category 3	1250	250	2250
Harm Category 2	1500	500	2500
Harm Category 1	1750	750	2750
Medium culpability			
Harm category 3	2000	1000	3000
Harm Category 2	2250	1250	3250
Harm Category 1	2500	1500	3500
High culpability			
Harm category 3	2750	1750	3750
Harm Category 2	3000	2000	4000
Harm Category 1	3250	2250	4250
Very high culpability			
Harm category 3	3500	2500	4500
Harm Category 2	3750	2750	4750
Harm Category 1	4000	3000	5000

Bristol City Council Enforcement Policy in relation to the “relevant letting agency legislation”

THIS IS NOT STATUTORY GUIDANCE

Bristol City Council ("BCC") has adopted this policy on deciding financial penalties and the appropriateness of prosecution as an alternative to imposing financial penalties under the relevant letting agency legislation.

It applies in relation to any decision made by the Council in its capacity as Enforcement Authority and Lead Enforcement Authority under Section's 7 & 24 of the Tenants Fees Act 2019 respectively.

For clarity, “relevant letting agency legislation” means:-

1. The Tenant Fees Act 2019, “the TFA 2019”
2. Part 3, Chapter 3 of the Consumer Rights Act 2015
3. Section 83(1) and 84(1) of the Enterprise and Regulatory Reform Act 2013¹; and
4. Sections 133 – 135 of the Housing and Planning Act 2016².

1. Legal Reference

The TFA 2019 prohibits the charging of fees in respect of an Assured Shorthold Tenancy (“a tenancy”), other than those which are specifically permitted by Schedule 1 of the TFA 2019, and amends other legislation as follows:

- a. in respect of the duty of letting agents to publicise fees etc. under Section 87 of the Consumer Rights Act 2015
- b. in relation to the duty placed on enforcement authorities to have regard to any guidance issued by the Secretary of State (“the SoS”) relating to the enforcement of an order under s83(1) of 84(1) as per Section 85 of the Enterprise & Regulatory Reform Act 2013
- c. in respect of the duty to enforce being subject to Section 26 of the TFA 2019 under Article 7 of the Redress Schemes for Lettings Agency Work and Property Management Work (requirement to belong to a Scheme etc.) England) Order 2014

¹ Pertaining to The Redress Schemes for Lettings Agency Work and Property Management Work (Requirement to Belong to a Scheme etc) (England) Order 2014

² Pertaining to The Client Money Protection Schemes for Property Agents (Requirement to Belong to a Scheme etc.) Regulations 2019

- d. in relation to the meaning of ‘Lead Enforcement Authority’, “the LEA”, under Section 135 (enforcement of client money protection scheme regulations) of the Housing and Planning Act 2016
- e. in respect of the LEA as an alternative to the SoS where the SoS is not the LEA under Article 7 of the Redress Schemes for Lettings Agency Work and Property Management Work (requirement to belong to a Scheme etc.) England) Order 2014

2. TFA 2019 Sanctions

2.1 The TFA 2019 provides that enforcement authorities may impose financial penalties of up to £30,000 depending on the breach as follows:

- a. In respect of Prohibited Payments under s1 & s2 of the TFA 2019 a financial penalty not exceeding £5,000 for a first breach.
- b. Under s12 of the TFA 2019 a second or subsequent breach within 5 years of the previous breach provides for a financial penalty not exceeding £30,000.00 and there is alternative power to prosecute in the Magistrates Court where an unlimited fine may be imposed.

The Council will determine what is the most appropriate and effective sanction and whether it is appropriate to impose a financial penalty or prosecute having due regard to the BCC Enforcement Policy and as the Enforcement Authority, the [Private Housing Service Enforcement Policy](#).

2.2. Other Types of Enforcement Action that may be taken

In appropriate circumstances consideration will be given to less formal action such as warning letters or advice, in an effort to secure compliance, and will be done so in accordance with the relevant BCC Enforcement Policy.

3. Consequential Amendments brought about by the TFA 2019

The TFA 2019 amends the legislation referred to in paragraph 1 above which separately provides that penalties may be imposed as follows:

- i In respect of a failure of Letting Agents to publicise their fees as required by s83(3) of the CRA 2015 a financial penalty not exceeding £5,000.
- ii. In respect of a failure by any person engaged in Letting Agency or Property Management work who fails to hold membership of a Redress Scheme as required by Article 3 Redress Schemes for Lettings Agency Work and Property Management Work (requirement to belong to a Scheme etc.) England) Order 2014 (in respect of Lettings Agency work) or Article 5 (in respect of property management work) to a financial penalty not exceeding £5,000. Note

that it is not sufficient to simply register for redress – the correct category of membership must be obtained depending on the work carried out.

iii. In respect of a failure by a property agent who holds client money to belong to an approved or designated Client Money Protection (“CMP”) Scheme as required by Regulation 3 of the Client Money Protection Schemes for Property Agents (Requirement to Belong to a Scheme etc.) Regulations 2019, a financial penalty not exceeding £30,000.

iv. In respect of a failure to obtain a certificate confirming membership or display that certificate as required or publish a copy of that certificate on the relevant website (where one exists) or produce a copy of the certificate free of charge to any person reasonably requiring it as required by Regulation 4(1) of the Client Money Protection Schemes for Property Agents (Requirement to Belong to a Scheme etc.) Regulations 2019 a financial penalty not exceeding £5,000.

v. In respect of a failure by a property agent to notify any client within 14 days of a change in the details of an underwriter to the CMP scheme or that the membership of the CMP scheme has been revoked as required by Regulation 4(2) of the Client Money Protection Schemes for Property Agents (Requirement to Belong to a Scheme etc.) Regulations 2019 a financial penalty not exceeding £5,000.

4. Statutory Guidance.

The Ministry of Housing, Communities & Local Government (“MHCLG”) has published the following document; Tenant Fees Act 2019: Statutory Guidance for enforcement authorities.

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/819633/TFA_Statutory_Enforcement_Guidance_190722.pdf

This is statutory guidance to which enforcement authorities must have regard to in relation to enforcing the TFA 2019. This statutory guidance recommends certain factors that an enforcement authority should take into account when deciding on the level of financial penalties under the TFA 2019 and further recommends that enforcement authorities develop and document their own Policy on determining the appropriate level of financial penalty in a particular case.

5. Determining the level of the financial penalty

In accordance with the provisions of the TFA 2019 the level of financial penalties is to be determined by the Council. Although the statutory guidance recommends factors which may be taken into account it does not go into any significant level of detail in this regard. Each of the following factors will be considered as a part of the Council’s decision making process and they are:

- a. The history of compliance/non-compliance
- b. The severity of the breach

- c. Deliberate concealment of the activity and/or evidence
- d. Knowingly or recklessly supplying false or misleading evidence
- e. The intent of the landlord/agent, individual and/or corporate body
- f. The attitude of the landlord/agent
- g. The deterrent effect of a prosecution on the landlord/agent and others
- h. The extent of financial gain as a result of the breach

Although the Council has therefore a wide discretion in determining the appropriate level of financial penalty in any particular case, regard has been given to the statutory guidance when making this policy.

The Council has also decided to base this policy on the principles set out in Bristol City Council's policy entitled 'Civil penalty as an alternative to prosecution under the Housing Act 2004' with the recognition that with the exception of the limited power to prosecute referred to in Section 2.b of this policy prosecution is not otherwise an option under the TFA 2019.

The civil penalty as an alternative to prosecution under the Housing Act 2004 policy was reviewed in 2018 and was informed by the principles contained in; Sentencing Council Health and Safety Offences, Corporate Manslaughter and Food Safety and Hygiene Offences Definitive Guideline. The Council believes this to be a fair, relevant and reasonable model to follow; this policy was widely consulted on with various stakeholders.

Appendix 1 of this policy contains the processes that the Council will use in order to determine the level of financial penalty under the TFA 2019. All stages subsequent to the issue of a Notice of Intent are subject to statutory time limits and the suspension of the process should an appeal be made to the First Tier Tribunal.

Appendix 1 – The Council’s process for determining the level of penalty to set:

STEP ONE – Determining the offence category

The Council will determine the breach category using only the culpability and category of harm factors below. Where an offence does not fall squarely into a category, individual factors may require a degree of weighting to make an overall assessment. Other discretionary factors may also be applied in order to reflect consistency and may consider decisions in other UK jurisdictions where they contain some relevant and persuasive content.

Culpability

Very high: Where the Landlord or Agent intentionally breached, or flagrantly disregarded, the law or has/had a high public profile³ and knew their actions were unlawful

High: Actual foresight of, or wilful blindness to, risk of a breach but risk nevertheless taken

Medium: Breach committed through act or omission which a person exercising reasonable care would not commit

Low: Breach committed with little fault, for example, because:

- significant efforts were made to address the risk although they were inadequate on the relevant occasion
- there was no warning/circumstance indicating a risk
- failings were minor and occurred as an isolated incident

Harm

The following factors relate to both actual harm and risk of harm. Dealing with a risk of harm involves consideration of both the likelihood of harm occurring and the extent of it if it does.

Category 1 – High Likelihood of Harm

- Serious adverse effect(s) on individual(s) and/or having a widespread impact due to the nature and/or scale of the Landlord’s or Agent’s business
- High risk of an adverse effect on individual(s) – including where persons are vulnerable⁴

Category 2 – Medium Likelihood of Harm

- Adverse effect on individual(s) (not amounting to Category 1)
- Medium risk of an adverse effect on individual(s) or low risk of serious adverse effect.
- Tenants and/or legitimate landlords or agents substantially undermined by the conduct.

³ Which may include any significant role in a trade or business representative organisation

⁴ A wide definition of vulnerability will be used. See Appendix 2 for a non-exhaustive list.

- The Council's work as a regulator is inhibited
- Tenant or prospective tenant misled

Category 3- Low Likelihood of Harm

- Low risk of an adverse effect on actual or prospective tenants.
- Public misled but little or no risk of actual adverse effect on individual(s)

We will define harm widely and victims may suffer financial loss, damage to health or psychological distress (especially vulnerable cases). There are gradations of harm within all of these categories.

The nature of harm will depend on personal characteristics and circumstances of the victim and the assessment of harm will be an effective and important way of taking into consideration the impact of a particular crime on the victim.

In some cases no actual harm may have resulted and enforcement authority will be concerned with assessing the relative dangerousness of the offender's conduct; it will consider the likelihood of harm occurring and the gravity of the harm that could have resulted.

To the community

Some offences cause harm to the community at large (instead of or as well as to an individual victim) and may include economic loss, harm to public health, or interference with the administration of justice.

STEP TWO - Starting point and category range

Having determined the category that the breach falls into, the Council will refer to the following starting points to reach an appropriate level of civil penalty within the category range. The Council will then consider further adjustment within the category range for aggravating and mitigating features.

Obtaining financial information

The statutory guidance advises that local authorities can use their powers under Schedule 5 of the CRA 2015 to, as far as possible, make an assessment of a Landlord or Agent's assets and any income (not just rental or fee income) they receive when determining an appropriate penalty. The Council will use such lawful means as are at its disposal to identify where assets might be found.

In setting a financial penalty, the Council may conclude that the Landlord or Agent is able to pay any financial penalty imposed unless the Council has obtained, or the Landlord or Agent has supplied, any financial information to the contrary. The subject of a Final Notice, or a

Notice of Intent where the subject does not challenge it, will be expected to disclose to the Council such data relevant to his/her financial position to facilitate an assessment of what that person can reasonably afford to pay. Where the Council is not satisfied that it has been given sufficient reliable information, the Council will be entitled to draw reasonable inferences as to the person's means from evidence it has received, or obtained through its own enquiries, and from all the circumstances of the case which may include the inference that the person can pay any financial penalty.

Starting points and ranges

The tables in Appendices 4-10 below give the starting points, minimum and maximum financial penalties for each harm category and level of culpability for each type of breach .

- Appendix 4 First breach in respect of a Prohibited Payment
- Appendix 5 Second & subsequent breach in respect of a Prohibited Payment
- Appendix 6 Breach of Publication of Fees requirements
- Appendix 7 Breach in respect of membership of a Redress Scheme
- Appendix 8 Breach in respect of membership of a Client Money Protection Scheme
- Appendix 9 Breach in respect of certificates in respect of a Client Money Protection Scheme
- Appendix 10 Breach of transparency requirements in respect of a Client Money Protection Scheme

Context

Below is a list of some, but not all factual elements that provide the context of the breach and factors relating to the Landlord or Agent. The Council will identify whether any combination of these, or other relevant factors, should result in an upward or downward adjustment from the starting point. In particular, relevant recent convictions⁵ are likely to result in a substantial upward adjustment. In some cases, having considered these factors, it may be appropriate to move outside the identified category range which will not exceed the statutory maximum permitted in any case.

Factors increasing seriousness

Aggravating factors:

- Previous breaches of the TFA 2019
- Previous convictions, having regard to:
 - the nature of the offence to which the conviction relates and its relevance to the current breach; and,
 - the time that has elapsed since the conviction:

⁵ See Appendix 3 for a list of relevant convictions

Other aggravating factors may include:

- Motivated by financial gain
- Deliberate concealment of illegal nature of activity
- Established evidence of wider/community impact
- Obstruction of the investigation
- Record of poor compliance
- Refusal of advice or training or to become a member of an Accreditation scheme

Factors reducing seriousness or reflecting personal mitigation

- No previous or no relevant/recent breaches
- No previous convictions or no relevant/recent convictions
- Steps voluntarily taken to remedy problem
- High level of co-operation with the investigation, beyond that which will always be expected
- Good record of relationship with tenants
- Self-reporting, co-operation and acceptance of responsibility
- Good character and/or exemplary conduct
- Mental disorder or learning disability, where linked to the commission of the breach
- Serious medical conditions requiring urgent, intensive or long-term treatment and supported by medical evidence

STEP THREE - General principles to consider in setting a penalty

The Council will finalise the appropriate level of penalty so that it reflects the seriousness of the offence and the Council must take into account the financial circumstances of the Landlord or Agent if representations are made by the Landlord or Agent following the issue of a Notice of Intent.

The level of financial penalty should reflect the extent to which the conduct fell below the required standard. The financial penalty should meet, in a fair and proportionate way, the objectives of punishment, deterrence and the removal of gain derived through the commission of the breach; it should not be cheaper to breach than to take the appropriate precautions and a fundamental principle involved is that there should be no financial gain to the perpetrator from the commission of the breaches.

If issuing a financial penalty for more than one breach, or where the offender has already been issued with a financial penalty, The Council will consider whether the total penalties are just and proportionate to the offending behaviour and will have regard to the factors in STEP EIGHT below.

STEP FOUR- Issue Notice of Intent

The Council will issue a Notice of Intent within 6 months of the enforcement authority having sufficient evidence that the Landlord or Agent has breached the TFA 2019. If the breach is ongoing the 6-month deadline continues until the breach ceases. A Notice of Intent can be served spontaneously.

While there are slight variations in the Statutory requirements according to which breach is being addressed a Notice of Intent will typically contain the date of the Notice, the amount of the proposed penalty, the reason for imposing the penalty and how the recipient can make representations concerning the penalty.

Examples of Notices of Intent may be found in the Council Guidance at <https://www.bristol.gov.uk/web/ntselat/lettings-enforcement>.

STEP FIVE – Consideration of representations and review of financial penalty where appropriate

The Council should review the penalty and, if necessary adjust the initial amount reached at STEP FOUR, and represented in the Notice of Intent, to ensure that it fulfils the general principles set out below.

Any quantifiable economic benefit(s) derived from the breach, including through avoided costs or operating savings, should normally be added to the total financial penalty arrived at in step two. Where this is not readily available, the Council may draw on information available from enforcing authorities and others about the general costs of operating within the law. Whether the penalty will have the effect of putting the offender out of business will be relevant but in some serious cases this might be an acceptable outcome.

STEP SIX – Reductions

The Council will consider any factors which indicate that a reduction in the penalty is appropriate and in so doing will have regard to the following factors relating to the wider impacts of the financial penalty on innocent third parties; such as (but not limited to):

- The impact of the financial penalty on the Landlord or Agent's ability to comply with the law or make restitution where appropriate
- The impact of the financial penalty on employment of staff, service users, customers and the local economy.

The following factors will be considered in setting the level of reduction. When deciding on any reduction in a financial penalty, consideration will be given to:

- The stage in the investigation or thereafter when the offender accepted liability
- The circumstances in which they admitted liability
- The degree of co-operation with the investigation

The maximum level of reduction in a penalty for an admission of liability will be one-third. In some circumstances there will be a reduced or no level of discount. This may occur for example where the evidence of the breach is overwhelming or there is a pattern of breaching conduct.

Any reduction should not result in a penalty which is less than the amount of gain from the commission of the breach itself.

STEP SEVEN - Additional actions

In all cases the Council must consider whether to take additional action. These may include further enforcement action itself or reference to other organisations where appropriate.

STEP EIGHT – Totality of breaching conduct

Where the offender is issued with more than one financial penalty, the Council should consider the following guidance from the definitive guideline on Offences Taken into Consideration and Totality which appears to the Council to be an appropriate reference and guide.

As the total financial penalty is inevitably cumulative the Council should determine the financial penalty for each individual breach based on the seriousness of the breach and taking into account the circumstances of the case including the financial circumstances of the Landlord or Agent so far as they are known, or appear, to the Council.

The Council should add up the financial penalties for each offence and consider if they are just and proportionate. If the aggregate total is not just and proportionate the Council should consider how to reach a just and proportionate total financial penalty. There are a number of ways in which this can be achieved.

For example:

Where a Landlord or Agent is to be penalised for two or more breaches or where there are multiple breaches of a repetitive kind, especially when committed against the same person, it will often be appropriate to impose for the most serious breach a financial penalty which reflects the totality of the conduct where this can be achieved within the maximum penalty for that breach. No separate penalty should be imposed for the other breaches. Where a Landlord or Agent is to be penalised for two or more breaches that arose out of different incidents, it will often be appropriate to impose separate financial penalties for each breach. The Council should add up the financial penalties for each breach and consider if they are just and proportionate. If the aggregate amount is not just and proportionate the Council should consider whether all of the financial penalties can be proportionately reduced. Separate financial penalties should then be imposed.

Where separate financial penalties are passed, the Council must take care to ensure that there is no double-counting.'

STEP NINE – Recording the decision

The officer making a decision about a financial penalty will record their decision giving reasons for coming to the amount of financial penalty that will be imposed.

Appendix 2 – Non exhaustive list of vulnerable people:

Young adults and children

Persons vulnerable by virtue of age

Persons vulnerable by virtue of disability or sensory impairment

People on a low income

Persons with a Drug or alcohol addiction

Victims of domestic abuse

Children in care or otherwise vulnerable by virtue of age

People with complex health conditions

People exploited where English is not their first language.

Victims of Trafficking or sexual exploitation

Refugees

Asylum seekers

People at risk of harassment or eviction

People at risk of homelessness.

Appendix 3 – Non exhaustive list of relevant offences /breaches:

Housing law or landlord and tenant related

Offences under:

The Public Health Acts of 1936 and 1961

The Building Act 1984

The Environmental Protection Act 1990

The Town and Country Planning Act 1990

The Prevention of Damage by Pests Act 1949

The Protection from Eviction Act 1977

The Local Government (Miscellaneous Provisions) Acts of 1982 and 1976

The Housing Grants, Construction and Regeneration Act 1996

The Local Government and Housing Act 1989

The Housing Act 2004

The Consumer Protection from Unfair Trading Regulations 2008

Offences involving fraud

Offences in which the victim has been deprived of money, property or other benefit by misrepresentation/deception on the part of the offender including:

- Theft
- Burglary
- Fraud
- Benefit fraud (particularly where tenants are in receipt of Housing Benefit)
- Conspiracy to defraud
- Obtaining money or property by deception
- People trafficking
- Being struck off as a company director

Offences involving violence

A conviction for the offence of:

- Murder
- Manslaughter
- Arson
- Malicious wounding or grievous bodily harm
- Grievous bodily harm with intent
- Actual bodily harm
- Grievous bodily harm
- Robbery
- Criminal damage where the intent was to intimidate or was racially aggravated
- Common assault

- Common assault which is racially aggravated
- Assault occasioning actual bodily harm
- Possession of an offensive weapon
- Possession of a firearm

Offences involving drugs

- Consideration should be given to the nature of the offence and what bearing it could have on the Landlord or Agents business activities. The nature, quantity, purity and class of drugs should be taken into account. In addition where an offence of possession with intent to supply is involved regard should be had to the role and importance of, the subject in the supply chain

Offences involving sexual offences

- An offence contained in schedule 3 of the Sexual Offences Act 2003.

Unlawful discrimination

- Unlawful discrimination can include findings of an Industrial Tribunal on unlawful employment practice such as discrimination under the Disability Discrimination Act. Consideration should be given to the nature of the unlawful discrimination and what bearing it could have on the management of a licensable property.

Other offences

- Modern Slavery/ Human Trafficking

Offences involving the recruitment, transportation, transfer, harbouring or receipt of persons, by means of the threat or use of force or other forms of coercion, of abduction, of fraud, of deception, of abuse of power or of a position of vulnerability or of the giving or receiving of payments or benefits to achieve the consent of a person having control of another person, for the purpose of exploitation is likely to attach a lower level of culpability.

Appendix 4 – Financial Penalty in the case of a first breach in respect of Prohibited Payments.

The table below gives the starting points, minimum and maximum financial penalties for each harm category and level of culpability. Where exceptional circumstances apply the Council may reduce the minimum penalties further but may not increase them above the maximum permitted of £5000.

	Starting point (£)	Range	
		Min (£)	Max (£)
Low culpability			
Harm category 3	1250	250	2250
Harm Category 2	1500	500	2500
Harm Category 1	1750	750	2750
Medium culpability			
Harm category 3	2000	1000	3000
Harm Category 2	2250	1250	3250
Harm Category 1	2500	1500	3500
High culpability			
Harm category 3	2750	1750	3750
Harm Category 2	3000	2000	4000
Harm Category 1	3250	2250	4250
Very high culpability			
Harm category 3	3500	2500	4500
Harm Category 2	3750	2750	4750
Harm Category 1	4000	3000	5000

Appendix 5 – Financial Penalty in the case of a second or subsequent breach in respect of Prohibited Payments within 5 years of a previous breach.

The table below gives the starting points, minimum and maximum financial penalties for each harm category and level of culpability. Where exceptional circumstances apply the Council may reduce the minimum penalties further but may not increase them above the maximum permitted of £30000.

		Range	
	Starting point (£)	Min (£)	Max (£)
Low culpability			
Harm category 3	3500	2000	8000
Harm Category 2	6500	4000	10000
Harm Category 1	8500	4500	15000
Medium culpability			
Harm category 3	6500	4750	17000
Harm Category 2	10500	5000	20000
Harm Category 1	12500	5500	22000
High culpability			
Harm category 3	10500	5500	20000
Harm Category 2	15000	6250	24000
Harm Category 1	18000	7000	26000
Very high culpability			
Harm category 3	15000	7000	24000
Harm Category 2	17500	7250	28000
Harm Category 1	20000	7500	30000

Appendix 6 – Financial Penalty in the case of a breach in respect of Publication of Fees.

The table below gives the starting points, minimum and maximum financial penalties for each harm category and level of culpability. Where exceptional circumstances apply the Council may reduce the minimum penalties further but may not increase them above the maximum permitted of £5000.

		Range	
	Starting point (£)	Min (£)	Max (£)
Low culpability			
Harm category 3	1250	250	2250
Harm Category 2	1500	500	2500
Harm Category 1	1750	750	2750
Medium culpability			
Harm category 3	2000	1000	3000
Harm Category 2	2250	1250	3250
Harm Category 1	2500	1500	3500
High culpability			
Harm category 3	2750	1750	3750
Harm Category 2	3000	2000	4000
Harm Category 1	3250	2250	4250
Very high culpability			
Harm category 3	3500	2500	4500
Harm Category 2	3750	2750	4750
Harm Category 1	4000	3000	5000

Appendix 7 – Financial Penalty in the case of a breach in respect of Membership of a Redress Scheme.

The table below gives the starting points, minimum and maximum financial penalties for each harm category and level of culpability. Where exceptional circumstances apply the Council may reduce the minimum penalties further but may not increase them above the maximum permitted of £5000.

		Range	
	Starting point (£)	Min (£)	Max (£)
Low culpability			
Harm category 3	1250	250	2250
Harm Category 2	1500	500	2500
Harm Category 1	1750	750	2750
Medium culpability			
Harm category 3	2000	1000	3000
Harm Category 2	2250	1250	3250
Harm Category 1	2500	1500	3500
High culpability			
Harm category 3	2750	1750	3750
Harm Category 2	3000	2000	4000
Harm Category 1	3250	2250	4250
Very high culpability			
Harm category 3	3500	2500	4500
Harm Category 2	3750	2750	4750
Harm Category 1	4000	3000	5000

Appendix 8 – Financial Penalty in the case of a breach in respect of a failure to obtain membership of a Client Money Protection Scheme

The table below gives the starting points, minimum and maximum financial penalties for each harm category and level of culpability. Where exceptional circumstances apply the Council may reduce the minimum penalties further but may not increase them above the maximum permitted of £30000.

		Range	
	Starting point (£)	Min (£)	Max (£)
Low culpability			
Harm category 3	3500	2000	8000
Harm Category 2	6500	4000	10000
Harm Category 1	8500	4500	15000
Medium culpability			
Harm category 3	6500	4750	17000
Harm Category 2	10500	5000	20000
Harm Category 1	12500	5500	22000
High culpability			
Harm category 3	10500	5500	20000
Harm Category 2	15000	6250	24000
Harm Category 1	18000	7000	26000
Very high culpability			
Harm category 3	15000	7000	24000
Harm Category 2	17500	7250	28000
Harm Category 1	20000	7500	30000

Appendix 9 – Financial Penalty in the case of a breach in respect of issues relating to certificates of evidence of Membership of a Client Money Protection Scheme.

The table below gives the starting points, minimum and maximum financial penalties for each harm category and level of culpability. Where exceptional circumstances apply the Council may reduce the minimum penalties further but may not increase them above the maximum permitted of £5000.

	Starting point (£)	Range	
		Min (£)	Max (£)
Low culpability			
Harm category 3	1250	250	2250
Harm Category 2	1500	500	2500
Harm Category 1	1750	750	2750
Medium culpability			
Harm category 3	2000	1000	3000
Harm Category 2	2250	1250	3250
Harm Category 1	2500	1500	3500
High culpability			
Harm category 3	2750	1750	3750
Harm Category 2	3000	2000	4000
Harm Category 1	3250	2250	4250
Very high culpability			
Harm category 3	3500	2500	4500
Harm Category 2	3750	2750	4750
Harm Category 1	4000	3000	5000

Appendix 10 – Financial Penalty in the case of a breach in respect of transparency issues relating to Membership of a Client Money Protection Scheme.

The table below gives the starting points, minimum and maximum financial penalties for each harm category and level of culpability. Where exceptional circumstances apply the Council may reduce the minimum penalties further but may not increase them above the maximum permitted of £5000.

		Range	
	Starting point (£)	Min (£)	Max (£)
Low culpability			
Harm category 3	1250	250	2250
Harm Category 2	1500	500	2500
Harm Category 1	1750	750	2750
Medium culpability			
Harm category 3	2000	1000	3000
Harm Category 2	2250	1250	3250
Harm Category 1	2500	1500	3500
High culpability			
Harm category 3	2750	1750	3750
Harm Category 2	3000	2000	4000
Harm Category 1	3250	2250	4250
Very high culpability			
Harm category 3	3500	2500	4500
Harm Category 2	3750	2750	4750
Harm Category 1	4000	3000	5000

Equality Impact Assessment [version 2.9]



Title: Bristol City Council Enforcement Policy	
<input checked="" type="checkbox"/> Policy <input type="checkbox"/> Strategy <input type="checkbox"/> Function <input type="checkbox"/> Service <input type="checkbox"/> Other [please state]	<input type="checkbox"/> New <input checked="" type="checkbox"/> Already exists / review <input type="checkbox"/> Changing
Directorate: Growth and Regeneration	Lead Officer name: Jonathan Martin
Service Area: Regulatory Services	Lead Officer role: Licensing and Trading Standards Manager

Step 1: What do we want to do?

The purpose of an Equality Impact Assessment is to assist decision makers in understanding the impact of proposals as part of their duties under the Equality Act 2010. Detailed guidance to support completion can be found here [Equality Impact Assessments \(EqIA\) \(sharepoint.com\)](https://sharepoint.com).

This assessment should be started at the beginning of the process by someone with a good knowledge of the proposal and service area, and sufficient influence over the proposal. It is good practice to take a team approach to completing the equality impact assessment. Please contact the [Equality and Inclusion Team](#) early for advice and feedback.

1.1 What are the aims and objectives/purpose of this proposal?

Briefly explain the purpose of the proposal and why it is needed. Describe who it is aimed at and the intended aims / outcomes. Where known also summarise the key actions you plan to undertake. Please use plain English, avoiding jargon and acronyms. Equality Impact Assessments are viewed by a wide range of people including decision-makers and the wider public.

The EQIA covers the Councils general Enforcement Policy and ancillary policies which reflect the role of Bristol City Council as host authority to specialist teams linked to the Trading Standards Service. These are:

- Regional Investigation Team South West
- Tenants Fees Act 2019- Penalty Notice policy in its capacity as Lead Enforcement Authority & Enforcement Authority.

Specifically this proposal is to update the Tenants Fees Act Policy in line with statutory guidance and to update and clarify wording where necessary

These activities affect businesses, consumers and the general public in a number of ways, either in supporting them in compliance with a regulatory scheme or ensuring that appropriate action is taken where people or businesses are found not to be compliant.

The Tenants Fees Act Policy is required by statutory guidance and has been reviewed to update the wording of some sections and provide further clarity within them. The effect of the policy has not changed.

Legal Considerations

The Tenant Fees Act 2019 is subject to statutory guidance issued by the Government’ Ministry of Housing, Communities and Local Government (MHCLG). The guidance has been taken into account when drafting the Tenant Fees Act Policy.

1.2 Who will the proposal have the potential to affect?

<input checked="" type="checkbox"/> Bristol City Council workforce	<input checked="" type="checkbox"/> Service users	<input checked="" type="checkbox"/> The wider community
<input type="checkbox"/> Commissioned services	<input checked="" type="checkbox"/> City partners / Stakeholder organisations	
Additional comments:		

1.3 Will the proposal have an equality impact?

Could the proposal affect access levels of representation or participation in a service, or does it have the potential to change e.g. quality of life: health, education, or standard of living etc.?

If 'No' explain why you are sure there will be no equality impact, then skip steps 2-4 and request review by Equality and Inclusion Team.

If 'Yes' complete the rest of this assessment, or if you plan to complete the assessment at a later stage please state this clearly here and request review by the Equality and Inclusion Team.

<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	[please select]
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The Tenants Fees Act (TFA) Policy was originally assessed in the [EQIA relating to the Council's Enforcement Policies](#).

The TFA policy is undergoing a review to update wording and reflect updates to statutory guidance referred to within the policy. The changes are minor and do not change the meaning or effect of the policy.

We do not anticipate that the changes will have any new impact for staff, citizens or businesses. There are no new or emerging equality considerations since the last full EQIA was undertaken which is available at the link above.

Step 5: Review

The Equality and Inclusion Team need at least five working days to comment and feedback on your EqIA. EqIAs should only be marked as reviewed when they provide sufficient information for decision-makers on the equalities impact of the proposal. Please seek feedback and review from the [Equality and Inclusion Team](#) before requesting sign off from your Director¹.

Equality and Inclusion Team Review: <i>Reviewed by Equality and Inclusion Team</i>	Director Sign-Off: 
Date: 30/6/2021	Date: 01/07/2021

¹ Review by the Equality and Inclusion Team confirms there is sufficient analysis for decision makers to consider the likely equality impacts at this stage. This is not an endorsement or approval of the proposal.

Decision Pathway – Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 14 September 2021

TITLE	Procurement of new Case Management System for Legal Services		
Ward(s)	All wards.		
Author:	Nancy Rollason	Job title:	Head of Legal Services
Cabinet lead:	Councillor Cheney, Deputy Mayor and Cabinet Member for Finance, Governance and Performance	Executive Director lead:	Mike Jackson
Proposal origin: BCC Staff			
Decision maker: Mayor Decision forum: Cabinet			
Purpose of Report:			
<ol style="list-style-type: none"> 1. To seek Cabinet approval to procure a new Case Management System for the Legal Service, at an estimated implementation and delivery cost of £1.039m over a 7-year period to be delivered after January 2022. 			
Evidence Base:			
<ol style="list-style-type: none"> 1. The Council’s Legal Service provide legal advice and support services to a range of critical services across the Council. The current Case Management System has been in use for ten years. There have been ongoing issues with functionality, and it is no longer being maintained by the provider. It does not easily fit with the Council’s changing IT platform. 2. The current Case Management System was originally procured by the Council in 2011. Whilst the procurement met the Council’s procurement rules at the time, it was not required to meet the OJEU thresholds. The Council is now required to follow the Public Contract Regulations of 2015 (PCR 2015). 3. In addition to the above, given the elapsed time between the procurement of the system, as with IT solutions generally, there have been many advancements which Legal Services need to take advantage of. These include compatibility with the new Windows 10 and Office 365 environments, as well being able to integrate with external systems, in particular the Court Service digitalisation project for both Child Protection and General litigation cases. 4. The current system is not readily Windows 10 compatible with a lot of work is being undertaken to try and rectify this – currently without success. It is maintained on BCC premises, and the intention is to seek to replace it with a Cloud-based solution in line with current IT strategy. 5. The Contract (including extensions) is due to end in May 2022. A new system needs to be procured in compliance with procurement rules, and that fits with the Council’s current and future IT platform. 6. The recommended route to market is an open tender to achieve the length of contract and flexibility required, and to ensure an option that aligns with Bristol’s IT Strategy. 7. Legal Case Management systems are designed to allow legal staff to streamline their case operations, improve efficiency and ensure compliance with professional standards. They bring together all documents, emails and other files relating to a 			

case, and enable automatic form and document generation

8. Functionality includes the following as standard:

- time management.
- billing and invoicing.
- business and finance reports.
- key dates, email and diary integration.
- court bundle generation and storage.
- data security and back up.

9. The service strategy has identified a priority need to invest in a “fit for purpose” legal Case Management System to:

- a. enable delivery of a system that supports service delivery across the organisation.
- b. enable reporting on the use of legal resource by the organisation in order to identify and manage demand and to monitor the performance of the service.
- c. enable the Council to take advantage of/comply with electronic (computer based) integrations with Court Services, as and when these are implemented.
- d. Deliver a user-friendly system for the organisation and one that enables the service to work more efficiently.

10. An open procurement will provide the best opportunity to procure a system that can align with the wider IT strategy and platform as well as the business needs of the service. This approach is supported by the Director for Digital Transformation.

11. This report seeks approval to spend a total of £515K to procure a new Case Management System. The anticipated spend over seven years is £1.039M. A detailed breakdown of the anticipated cost benefits profile is included in Appendix I: Exempt Information. The information is exempt from publication on the basis that it contains information that relates to the financial or business affairs of the Council and others.

Identified sources of funding:

12. One off funding:

- Legal and Democratic Services
- IT LoB Reserve, earmarked and protected
- CLB Transformation Fund earmarked, but not protected.

Cabinet Member / Officer Recommendations:

That Cabinet

1. Approve the spend of £515K to deliver the project as set out in the report and appendix
2. Authorises the Director for Legal and Democratic Services, in consultation with the Cabinet Member for Resources, to take all steps necessary to procure a new Case Management System at an estimated cost of £1.039m over a 7-year maximum period.
3. Notes that ongoing licence costs will be met by the service.

Corporate Strategy alignment:

1. The procurement of this new Legal Case Management System will be delivered in line with the corporate IT strategy and will take a Cloud-based approach.

City Benefits:

1. This proposal will ensure the provision of a fit for purpose Case Management System for Legal Services, enabling Legal Services to continue to support critical services across the Council.

Consultation Details:

1. There has been no external consultation, given that this is about the procurement of a back-office system.

Background Documents:

Revenue Cost	£515,000 one off	Source of Revenue Funding	Legal Service Base Budget; IT Line of Business Reserve; CLB Change Reserve
Capital Cost		Source of Capital Funding	
One off cost <input checked="" type="checkbox"/> Ongoing cost <input type="checkbox"/> Saving Proposal <input type="checkbox"/> Income generation proposal <input type="checkbox"/>			

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

1. Finance Advice:

- This report is seeking approval to procure a new case management system for Legal Services. There are no savings attached to this request, the report sets out the one-off revenue funding requirements and the on-going revenue costs.
- The procurement, through open tender process, is for a 7-year contract with anticipated commencement in January 2022 and an estimated implementation and delivery cost of £1.039m.
- The breakdown of the estimated cost is set out within the main body of the report with a total cost of implementation of £0.578M (this includes £63,000 of opportunity costs which reduces the additional cost to £0.515M) in year two with an estimated additional annual revenue cost, detailed in Appendix I, per year for licencing costs for the life of the contract.
- The details of the additional revenue and recurring funding is included within Appendix I

Finance Business Partner: Bev Winter Senior Finance Business Partner – Strategic and Financial Management 4th August 2021

2. Legal Advice: 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: Husinara Jones, Team Leader, Commercial and Governance Team, 23rd August 2021

3. Implications on IT: IT/Digital Services are fully supportive of this report, and the planned migration to a new Legal Case Management System. The proposed approach has been developed with our support, and we aim to be pragmatic in ensuring best value, aligned to the IT Strategy.

IT Director: Simon Oliver, Director of Digital Transformation, 29th July 2021

4. HR Advice: No HR implications evident.

HR Partner: James Brereton (HR Business Partner), 6th August 2021.

EDM Sign-off	Mike Jackson	30 th July 2021
Cabinet Member sign-off	Councillor Craig Cheney, Deputy Mayor and Cabinet Member for Finance, Governance and Performance	3 rd August 2021
For Key Decisions - Mayor's Office sign-off	Mayor's Office	16 th August 2021

Appendix A – Further essential background / detail on the proposal	NO
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Appendix B – Details of consultation carried out - internal and external	NO
Appendix C – Summary of any engagement with scrutiny	NO
Appendix D – Risk assessment	NO
Appendix E – Equalities screening / impact assessment of proposal Legal Services Procurement of Case Management System 2021 EqIA	YES
Appendix F – Eco-impact screening/ impact assessment of proposal Legal Services Line of Business System (Case Management System) Procurement (18EN292) Eco Screening Check List	YES
Appendix G – Financial Advice	NO
Appendix H – Legal Advice	NO
Appendix I – Exempt Information	Yes
Appendix J – HR advice	NO
Appendix K – ICT	NO
Appendix L – Procurement	NO

Equality Impact Assessment [version 2.9]



Title: Legal Services Procurement of Case Management System 2021	
<input type="checkbox"/> Policy <input type="checkbox"/> Strategy <input type="checkbox"/> Function <input checked="" type="checkbox"/> Service <input type="checkbox"/> Other [please state]	<input type="checkbox"/> New <input checked="" type="checkbox"/> Already exists / review <input type="checkbox"/> Changing
Directorate: Resources	Lead Officer name: Nancy Rollason
Service Area: Legal Services	Lead Officer role: Head of Service

Step 1: What do we want to do?

The purpose of an Equality Impact Assessment is to assist decision makers in understanding the impact of proposals as part of their duties under the Equality Act 2010. Detailed guidance to support completion can be found here [Equality Impact Assessments \(EqIA\) \(sharepoint.com\)](#).

This assessment should be started at the beginning of the process by someone with a good knowledge of the proposal and service area, and sufficient influence over the proposal. It is good practice to take a team approach to completing the equality impact assessment. Please contact the [Equality and Inclusion Team](#) early for advice and feedback.

1.1 What are the aims and objectives/purpose of this proposal?

Briefly explain the purpose of the proposal and why it is needed. Describe who it is aimed at and the intended aims / outcomes. Where known also summarise the key actions you plan to undertake. Please use plain English, avoiding jargon and acronyms. Equality Impact Assessments are viewed by a wide range of people including decision-makers and the wider public.

****Procurement of a new case management system / Line of Business system****

The project's goal is to establish a stable Line of Business system for a Legal practice that aligns with Solicitors Regulation Authority (SRA) compliance regulations.

To align with the UK Gov public sector regulations and BCC internal policy, competitive tender is required to procure a case management system for Legal Services (and enquiry into cross-over with use by Internal Audit and other in-house teams as appropriate). This procurement and subsequent implementation may replace the incumbent Case Management System called Norwell (Civica Prescient+). All live data needs migrating to the new system, and all non-live / archived data will need to be transferred or stored to a data archive solution.

1.2 Who will the proposal have the potential to affect?

<input checked="" type="checkbox"/> Bristol City Council workforce	<input checked="" type="checkbox"/> Service users	<input type="checkbox"/> The wider community
<input type="checkbox"/> Commissioned services	<input type="checkbox"/> City partners / Stakeholder organisations	
Additional comments: The service users are people within the BCC workforce. E.g. A Project Manager may seek advice from Legal Services for a project specific matter. The way in which that project manager seeks advice will change (forms will be online rather than a word doc).		

1.3 Will the proposal have an equality impact?

Could the proposal affect access levels of representation or participation in a service, or does it have the potential to change e.g. quality of life: health, education, or standard of living etc.?

If 'No' explain why you are sure there will be no equality impact, then skip steps 2-4 and request review by Equality and Inclusion Team.

If 'Yes' complete the rest of this assessment, or if you plan to complete the assessment at a later stage please state this clearly here and request review by the Equality and Inclusion Team.

<input checked="" type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	[please select]
--	---	-----------------

N/A

Step 2: What information do we have?

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

Please use this section to demonstrate an understanding of who could be affected by the proposal. Include general population data where appropriate, and information about people who will be affected with particular reference to protected and other relevant characteristics: <https://www.bristol.gov.uk/people-communities/measuring-equalities-success>.

Use one row for each evidence source and say which characteristic(s) it relates to. You can include a mix of qualitative and quantitative data e.g. from national or local research, available data or previous consultations and engagement activities.

Outline whether there is any over or under representation of equality groups within relevant services - don't forget to benchmark to the local population where appropriate. Links to available data and reports are here [Data, statistics and intelligence \(sharepoint.com\)](#). See also: [Bristol Open Data \(Quality of Life, Census etc.\)](#); [Joint Strategic Needs Assessment \(JSNA\)](#); [Ward Statistical Profiles](#).

For workforce / management of change proposals you will need to look at the diversity of the affected teams using available evidence such as [HR Analytics: Power BI Reports \(sharepoint.com\)](#) which shows the diversity profile of council teams and service areas. Identify any over or under-representation compared with Bristol economically active citizens for different characteristics. Additional sources of useful workforce evidence include the [Employee Staff Survey Report](#) and [Stress Risk Assessment Form](#)

Data / Evidence Source [Include a reference where known]	Summary of what this tells us
Diversity Dashboard	<ul style="list-style-type: none"> 10% of the workforce identify as having a disability (breakdown not known). This will include visual impairments. 9 people within Legal and Democratic Service, 4 of which are in Legal Services, identify as having a disability. people in Internal Audit identify as having a disability. Direct users of the core system that have a disability could be 12 or more people. Direct users of the customer portal (online forms) that have a disability are likely to be much higher (up to 10% of the organisation).

Additional comments:

It is unlikely that all those included in the above numbers will have a disability that relates to the use of an online system. Software / browser-based forms will have most impact on those with visual impairments that require the use of screen readers.

2.2 Do you currently monitor relevant activity by the following protected characteristics?

- | | | |
|--|---|---|
| <input checked="" type="checkbox"/> Age | <input checked="" type="checkbox"/> Disability | <input checked="" type="checkbox"/> Gender Reassignment |
| <input checked="" type="checkbox"/> Marriage and Civil Partnership | <input checked="" type="checkbox"/> Pregnancy/Maternity | <input checked="" type="checkbox"/> Race |
| <input checked="" type="checkbox"/> Religion or Belief | <input checked="" type="checkbox"/> Sex | <input checked="" type="checkbox"/> Sexual Orientation |

2.3 Are there any gaps in the evidence base?

Where there are gaps in the evidence, or you don't have enough information about some equality groups, include an equality action to find out in section 4.2 below. This doesn't mean that you can't complete the assessment without the information, but you need to follow up the action and if necessary, review the assessment later. If you are unable to fill in the gaps, then state this clearly with a justification.

For workforce related proposals all relevant characteristics may not be included in HR diversity reporting (e.g. pregnancy/maternity). For smaller teams diversity data may be redacted. A high proportion of not known/not disclosed may require an action to address under-reporting.

Using diversity dashboard which covers all areas. Key area is disability of which is also discussed with the internal users.

2.4 How have you involved communities and groups that could be affected?

You will nearly always need to involve and consult with internal and external stakeholders during your assessment. The extent of the engagement will depend on the nature of the proposal or change. This should usually include individuals and groups representing different relevant protected characteristics. Please include details of any completed engagement and consultation and how representative this had been of Bristol's diverse communities. See <https://www.bristol.gov.uk/people-communities/equalities-groups>.

Include the main findings of any engagement and consultation in Section 2.1 above.

If you are managing a workforce change process or restructure please refer to [Managing change or restructure \(sharepoint.com\)](#) for advice on consulting with employees etc. Relevant stakeholders for engagement about workforce changes may include e.g. staff-led groups and trades unions as well as affected staff.

We are engaging with all those in the service that will be using the core platforms

2.5 How will engagement with stakeholders continue?

Explain how you will continue to engage with stakeholders throughout the course of planning and delivery. Please describe where more engagement and consultation is required and set out how you intend to undertake it. Include any targeted work to seek the views of under-represented groups. If you do not intend to undertake it, please set out your justification. You can ask the Equality and Inclusion Team for help in targeting particular groups.

Engaging with all those in the service that will be using the core platforms. Continued through having a senior user on the project board (a representative of the user community).

Reviews of the system when being implemented will be conducted by the ICT web and UX team.

Step 3: Who might the proposal impact?

Analysis of impacts must be rigorous. Please demonstrate your analysis of any impacts of the proposal in this section, referring to evidence you have gathered above and the characteristics protected by the Equality Act 2010. Also include details of existing issues for particular groups that you are aware of and are seeking to address or mitigate through this proposal. See detailed guidance documents for advice on identifying potential impacts etc.

3.1 Does the proposal have any potentially adverse impacts on people based on their protected or other relevant characteristics?

Consider sub-categories (different kinds of disability, ethnic background etc.) and how people with combined characteristics (e.g. young women) might have particular needs or experience particular kinds of disadvantage.

Where mitigations indicate a follow-on action, include this in the 'Action Plan' Section 4.2 below.

GENERAL COMMENTS (highlight any potential issues that might impact all or many groups)	
PROTECTED CHARACTERISTICS	
Age: Young People	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	
Mitigations:	
Age: Older People	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	
Mitigations:	
Disability	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	Forms which may not be as accessible or compliant to accessibility standards will be improved, making the forms easier to use.
Mitigations:	
Sex	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	
Mitigations:	
Sexual orientation	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	
Mitigations:	
Pregnancy / Maternity	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	
Mitigations:	
Gender reassignment	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	
Mitigations:	
Race	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	
Mitigations:	
Religion or Belief	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	
Mitigations:	
Marriage & civil partnership	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	
Mitigations:	
OTHER RELEVANT CHARACTERISTICS	
Socio-Economic (deprivation)	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	
Mitigations:	
Carers	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	
Mitigations:	
Other groups [Please add additional rows below to detail the impact for other relevant groups as appropriate e.g. Asylums and Refugees; Looked after Children / Care leavers; Homelessness]	

Potential impacts:	
Mitigations:	

3.2 Does the proposal create any benefits for people based on their protected or other relevant characteristics?

Outline any potential benefits of the proposal and how they can be maximised. Identify how the proposal will support our Public Sector Equality Duty to:

- ✓ Eliminate unlawful discrimination for a protected group
- ✓ Advance equality of opportunity between people who share a protected characteristic and those who don't
- ✓ Foster good relations between people who share a protected characteristic and those who don't

The LOB System used by Legal Services and the Customer Portal used by BCC staff requesting services from Legal: The solution is likely to be cloud based and as such it may be accessed via a web browser. Therefore the system and portal must comply with Web Content Accessibility Guidelines (WCAG) 2.1 AA as per the legal requirement (since September 2020). [Link](#) to UK Gov info. The positive impact is that both the internal system and any outward facing (outward of BCC Legal Services) will need to adhere to a positive change towards improvements for accessibility (not only using assistive technology).

There is no proposal to change the current flexible working arrangements for staff. The solution will be tested to ensure its compatibility with BCC required assistive technology applications and there will be end user training for all Legal Services staff. Any reasonable adjustments will be implemented, and additional training needs identified and fulfilled as the project progresses and as the needs arise after implementation.

Step 4: Impact

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

What are the main conclusions of this assessment? Use this section to provide an overview of your findings. This summary can be included in decision pathway reports etc.

If you have identified any significant negative impacts which cannot be mitigated, provide a justification showing how the proposal is proportionate, necessary, and appropriate despite this.

Summary of significant negative impacts and how they can be mitigated or justified:
--

We have not identified any significant negative impact from the proposal
--

Summary of positive impacts / opportunities to promote the Public Sector Equality Duty:
--

We will ensure that the solution is compatible with assistive technology and this is likely lead to improved accessibility use of the Legal Service support request forms.
--

4.2 Action Plan

Use this section to set out any actions you have identified to improve data, mitigate issues, or maximise opportunities etc. If an action is to meet the needs of a particular protected group please specify this.

Improvement / action required	Responsible Officer	Timescale
UX/Accessibility testing and review with BCC web team during delivery phase. Possible officer is Fran Campbell.	Project Manager	Delivery phase
Review non-functional requirements when going out to tender to ensure system including portal is WCAG2.1AA compliant.	Project Manager	Full Business Case – summer 2021 if OBC is approved.

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

How will you know if you have been successful? Once the activity has been implemented this equality impact assessment should be periodically reviewed to make sure your changes have been effective your approach is still appropriate.

Test report from the Web team during delivery phase.

Step 5: Review

The Equality and Inclusion Team need at least five working days to comment and feedback on your EqIA. EqIAs should only be marked as reviewed when they provide sufficient information for decision-makers on the equalities impact of the proposal. Please seek feedback and review from the [Equality and Inclusion Team](#) before requesting sign off from your Director¹.

Equality and Inclusion Team Review: <i>Reviewed by Equality and Inclusion Team</i>	Director Sign-Off: 
Date: 27/4/2021	Date: 29/4/21

¹ Review by the Equality and Inclusion Team confirms there is sufficient analysis for decision makers to consider the likely equality impacts at this stage. This is not an endorsement or approval of the proposal.

Eco Impact Checklist

Title of report: Legal Services Line of Business System (Case Management System) Procurement (18EN292)				
Report author: Douglas Clarke				
Anticipated date of key decision: 13 April 2021 (CLB)				
Summary of proposals: Procurement of line of business system for Legal Services (includes a case management system) of which may replace Norwell (Civica Prescient+).				
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	+ve	<p>If the new software allows reports to be run remotely (rather than only from the office), greater homeworking flexibility may reduce the need for commuting, although overall impact of homeworking varies with the amount of additional home heating required.</p> <p>The new software is not likely to change energy use from leaving computers on out of hours to run reports (not currently needed).</p>	<p>The option to run reports remotely will be considered if available.</p> <p>No mitigation needed.</p>
Bristol's resilience to the effects of climate change?	No	N/A		
Consumption of non-renewable resources?	No	N/A		
Production, recycling or disposal of waste	No	N/A	The new software is not likely to change printing requirements.	No mitigation needed.
The appearance of the city?	No	N/A		
Pollution to land, water, or air?	No	N/A		
Wildlife and habitats?	No	N/A		

Consulted with:

Guidance notes only.

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

There are no significant environmental impacts from this proposal. The potential to run reports while out of the office may reduce the need for commuting, although that will depend on other work needs.

The overall environmental impacts of the proposal will be negligible and there may be no impact at all.

Checklist completed by:

Name:	Douglas Clarke
Dept.:	Change Services
Extension:	N/A
Date:	26 January 2021
Verified by Environmental Performance Team	Giles Liddell, Project Manager - Environmental

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

Document is Restricted

Decision Pathway – Report

PURPOSE: For noting

MEETING: Cabinet

DATE: 14 September 2021

TITLE	Integrated Community Equipment Services (ICES) Contract Extension	
Ward(s)	City Wide	
Author: Tim Rabone	Job title: Commissioning Manager	
Cabinet lead: Helen Holland, Cabinet Member for Adult Social Care	Executive Director lead: Hugh Evans, Executive Director- People	
Proposal origin: BCC Staff		
Decision maker: For noting		
Decision forum: For noting		
Purpose of Report:		
<ol style="list-style-type: none"> 1. To notify Cabinet of an Emergency Key Decision taken on 20 August 2021 to extend the existing Integrated Community Equipment Services (ICES) contract for 6 months until 1st April 2022, to accommodate a re-evaluation process in respect of the current tendering exercise. The Executive Director – People to award the extension through an Emergency Key Decision. 2. Additional information is contained in Appendix I – Exempt Information. The information is exempt from publication on the basis that it contains information that relates to the financial or business affairs of the Council and others and which is subject to legal professional privilege. 		
Evidence Base:		
<ol style="list-style-type: none"> 1. This contract relates to the re- procurement of the Integrated Community Equipment Services (ICES) contract, in partnership with NHS Bristol North Somerset & South Gloucestershire Clinical Commissioning Group (BNSSG CCG), South Gloucestershire Council (SGC) and North Somerset Council (NSC). 2. Community equipment provision is a statutory duty. It is a vital element in enabling more people to live independently as possible, maximising their mobility and ability to live at home, and reducing the impact of frailty or disability in short and long term. It covers the provision of a wide range of mobility and homecare equipment to enable people with health and social care needs to live, manage, and be safely cared for in their homes. Equipment ranges from bathing and toileting aids, to beds, mattresses, and hoists. 3. The current contract with Medequip expires on 30 September 2021. Cabinet previously approved a 12-month extension on 2nd June 2020 until 30 September 2021 due to exceptional circumstances of the Covid-19 pandemic. 4. The procurement exercise concluded on 27 January 2021 and resulted in an award but the outcome of the procurement exercise has been challenged. 5. The commissioners have decided to re-evaluate the bids with a fresh team and the various bidders have accepted this. The process of re-evaluation will take several months and will inevitably extend beyond the date the current contract expires. 6. The parties have agreed that, to give time to do this and still allow sufficient implementation time for the provider who is selected, the existing contract will need to be extended. It was proposed that this be for a further period of 6 months, from 1 October 2021 to 1st April 2022. The estimated cost of the extension was up to £600,000 which necessitated an 		

emergency key decision.

7. Whilst that extension of six months was agreed with a view to it being sufficient to complete the re-evaluation, it has become apparent that a further extension may be required. Any decision in this regard will be taken in accordance with the decision pathway process.
8. The decision to extend the contract was taken by the Executive Director – People in conjunction with the Chief Executive on 20 August 2021 following consultation with the Monitoring Officer, the Chief Finance Officer, the Mayor, the relevant Cabinet Member and the relevant scrutiny chair. This decision was taken as an emergency key decision on the basis that there was a clear and pressing need and it was not reasonably practicable to wait for the decision to be taken at the next Cabinet meeting.

Cabinet Member / Officer Recommendations:

That Cabinet:

1. Notes the current position with the re-tendering exercise.
2. Notes the decision of the Executive Director – People to extend the existing ICES contract for 6 months to 1st April 2022 at a cost of up to £600,000.

Corporate Strategy alignment:

1. BCC Corporate Strategy 2018 – 23: The aim to create healthier and more resilient communities will be enhanced by the provision of Community Equipment Services, which supports people to remain independent in their own homes and communities.

City Benefits:

1. The Bristol Community Equipment Service is a key enabler to support system flow through prevention of hospital admission, support for hospital discharge, prevention of admission to care homes, supporting people to live independently and/or with care packages in their own homes. The contract offers local employment, and opportunities for apprenticeships.

Consultation Details:

1. Plans to extend the consultation to accommodate a re-evaluation process in respect of the current tendering exercise have taken place with NHS Bristol North Somerset & South Gloucestershire Clinical Commissioning Group (BNSSG CCG), South Gloucestershire Council (SGC) and North Somerset Council (NSC).

Background Documents:

1. **Care Act (2014): The Care Act (2014)** places a duty on local authorities to facilitate and shape our market for care and support; to ensure sustainability, diversity and continuously improving and innovative services. It includes the promotion of strength Based Approaches and a focus on Prevention and Wellbeing.
<https://www.legislation.gov.uk/ukpga/2014/23/contents/enacted>

Revenue Cost	£600,000	Source of Revenue Funding	General Fund
Capital Cost	£	Source of Capital Funding	e.g. grant/ prudential borrowing etc.
One off cost <input type="checkbox"/>	Ongoing cost <input checked="" type="checkbox"/>	Saving Proposal <input type="checkbox"/>	Income generation proposal <input type="checkbox"/>

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

1. Finance Advice: This report seeks to approve the extension of the current ICES contract for a period of up to 6 months, at an estimated cost of £600,000 for both Adult Social Care (ASC) and Children’s Services. It should be noted that the combined budget for 2021/22 is £0.957m with a period 3 forecast spend of £1.24m. This in year cost pressure of £0.283m will need to be met from within existing People Directorate resources during 2021/22.

Since all services are expected to manage within its annually approved budget and to ensure sustainability, the ICES budget will need to be considered as part of the medium-term financial planning and budget setting process for 2022/23, to ensure alternative budget capacity for the additional spend and to meet future demand.

Finance Business Partner: Denise Hunt, Finance Business Partner, 23 August 2021

2. Legal Advice:

Exempt legal advice is contained in Appendix I.

Legal Team Leader: Eric Andrews, Team Leader, 15 July 2021

3. Implications on IT: No anticipated impact on IT/Digital Services

IT Team Leader: Simon Oliver, Director – Digital Transformation, 20.07.21

4. HR Advice: The report presents no significant HR implications for Bristol City Council employees.

HR Partner: Lorna Laing, HR Business Partner – People, 16 July 2021

EDM Sign-off	Hugh Evans	28/07/2021
Cabinet Member sign-off	Cllr Helen Holland	02/08/2021
For Key Decisions - Mayor’s Office sign-off	Mayor’s office	16/08/2021

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	YES
Appendix J – HR advice	NO
Appendix K – ICT	NO
Appendix L – Procurement	NO

Equality Impact Assessment [version 2.9]



Title: Integrated Community Equipment Services (ICES) Contract Extension: Key Emergency Decision.	
<input type="checkbox"/> Policy <input type="checkbox"/> Strategy <input type="checkbox"/> Function <input checked="" type="checkbox"/> Service <input type="checkbox"/> Other [please state]	<input type="checkbox"/> New <input checked="" type="checkbox"/> Already exists / review <input type="checkbox"/> Changing
Directorate: People	Lead Officer name: Tim Rabone
Service Area: Adult Social Care	Lead Officer role: Commissioning Manager

Step 1: What do we want to do?

The purpose of an Equality Impact Assessment is to assist decision makers in understanding the impact of proposals as part of their duties under the Equality Act 2010. Detailed guidance to support completion can be found here [Equality Impact Assessments \(EqIA\) \(sharepoint.com\)](#).

This assessment should be started at the beginning of the process by someone with a good knowledge of the proposal and service area, and sufficient influence over the proposal. It is good practice to take a team approach to completing the equality impact assessment. Please contact the [Equality and Inclusion Team](#) early for advice and feedback.

1.1 What are the aims and objectives/purpose of this proposal?

Briefly explain the purpose of the proposal and why it is needed. Describe who it is aimed at and the intended aims / outcomes. Where known also summarise the key actions you plan to undertake. Please use plain English, avoiding jargon and acronyms. Equality Impact Assessments are viewed by a wide range of people including decision-makers and the wider public.

It is proposed that the Integrated Community Equipment Service (ICES) contract is extended for a further 6 months.

A procurement exercise [for community equipment] concluded on 27 January 2021. There has been a challenge to the outcome of the procurement exercise. The process of re-evaluation will take several months and will extend beyond the date the current contract expires. The parties have agreed that to give time to do this, it is proposed that this be for a further period of 6 months, from 1 October 2021 to 1st April 2022.

1.2 Who will the proposal have the potential to affect?

<input type="checkbox"/> Bristol City Council workforce	<input checked="" type="checkbox"/> Service users	<input checked="" type="checkbox"/> The wider community
<input type="checkbox"/> Commissioned services	<input type="checkbox"/> City partners / Stakeholder organisations	
Additional comments:		

1.3 Will the proposal have an equality impact?

Could the proposal affect access levels of representation or participation in a service, or does it have the potential to change e.g. quality of life: health, education, or standard of living etc.?

If 'No' explain why you are sure there will be no equality impact, then skip steps 2-4 and request review by Equality and Inclusion Team.

If 'Yes' complete the rest of this assessment, or if you plan to complete the assessment at a later stage please state this clearly here and request review by the Equality and Inclusion Team.

<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	[please select]
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We have not identified any significant equality impact from the proposal. The service will continue to be delivered as currently specified, to enable people to get the community equipment they need to remain living independently usually as part of a rehabilitation programme after a stay in hospital or a medical intervention. Within the existing service specification for the ICES there are expectations that the service is delivered in line with the Council's equalities duties.

Step 5: Review

The Equality and Inclusion Team need at least five working days to comment and feedback on your EqIA. EqIAs should only be marked as reviewed when they provide sufficient information for decision-makers on the equalities impact of the proposal. Please seek feedback and review from the [Equality and Inclusion Team](#) before requesting sign off from your Director¹.

Equality and Inclusion Team Review: <i>Reviewed by Equality and Inclusion Team</i>	Director Sign-Off:  Stephen Beet Director of Adult Social Care
Date: 27/7/2021	Date: 28/7/2021

¹ Review by the Equality and Inclusion Team confirms there is sufficient analysis for decision makers to consider the likely equality impacts at this stage. This is not an endorsement or approval of the proposal.

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

Document is Restricted

Decision Pathway – Report

PURPOSE: For reference

MEETING: Cabinet

DATE: 14 September 2021

TITLE	Domestic Abuse Contract Extension		
Ward(s)	All		
Author: Carol Slater	Job title: Health Equity Lead-Public Health		
Cabinet lead: Cllr Asher Craig	Executive Director lead: Hugh Evans, Executive Director, People		
Proposal origin: BCC Staff			
Decision maker: Cabinet Member			
Decision forum: Cabinet			
Purpose of Report:			
<ol style="list-style-type: none"> 1. To inform Cabinet of the Officer Executive Decision taken as an emergency key decision, the extension of the Domestic Abuse and Sexual Violence service contracts by six months until 30 September 2022. 			
Evidence Base:			
<p>The paper is to inform cabinet of an emergency key decision taken in accordance with the Council’s constitutional requirements) to extend the Domestic Abuse and Sexual Violence services contracts by six months. The overall value of the contracts is £1,475,720 and a six-month extension will cost £737,861. The contract value is made up of 13 separate contracts. These are listed in Appendix A.</p> <p>These contracts were due to come to an end on the 31 July 2021, however due to COVID-19 an extension of eight months was granted in June 2020 until 31 March 2022. The emergency key decision taken on (date) extended these contracts further until 30 September 2022.</p> <p>Two major changes in national policy and local guidance have emerged that have necessitated this request. The Domestic Abuse Bill received Royal Assent and became Law on the 29 April 2021. The Mayoral Commission on Domestic Abuse was convened in the summer of 2020 and published its report in March 2021.</p> <p>The DA Act required substantial programmes of work to successfully deliver as required by law over the last year, including new governance processes and spending plans. In addition, a raft of new waves of Ministry of Justice and MHLG funding grants have also been published over Spring and Summer 2021 which have given Bristol the opportunity to increase investment in domestic abuse and grow services collaboratively with local providers.</p> <p>The team worked hard to ensure that policy change implications and programme outcomes were appropriately reflected in the consultation process and commissioning intentions to ensure the new model takes account of this and provides sustainable benefit to citizens and service users. However, the timescale required going out to consultation by the end of July which was not possible and therefore the 6-month extension to the contract was requested.</p> <p>The Domestic Abuse Bill received Royal Assent and became Law on the 29 April 2021. Its purpose is to: Raise awareness and understanding about impact of domestic abuse; Improve the effectiveness of the justice system and to strengthen the support for victims of abuse by statutory agencies. This leads to duties for local authorities which need implementation: specifically, to appoint a multi-agency Domestic Abuse Local Partnership Board which it will consult as it performs certain specified functions. These are to:</p>			

- Assess the need for accommodation-based domestic abuse support for all victims in their area, including those who require cross-border support.
- Develop and publish a strategy for the provision of such support to cover their locality, having regard to the Needs Assessment (by October 2021)
- Give effect to the strategy (through commissioning / de-commissioning decisions).
- Monitor and evaluate the effectiveness of the strategy
- Report back to central government (annually)
- Require local authorities to have regard to statutory guidance in exercising their functions (Note: this is currently available in draft form)

The Mayoral Commission on Domestic Abuse was convened in the summer of 2020 and published its report in March 2021. Several of the recommendations in this report can be met through the implementation of the DA Act requirements.

It has been established that COVID-19 and the associated lockdowns have led to an escalation in relation to domestic abuse and this has resulted an increase of over 30% in referrals to our commissioned services. There also has been some learning in relation to remote service provision. A delay in the procurement will enable the following.

- Engage the newly formed Survivor’s Forum in the pre-engagement process
- Ensure that we have fully engaged with wider domestic abuse community and not just the most well-established providers as part of the pre-commissioning process market readiness
- Take account of the cross LA Joint Needs Assessment (due Sept 2021)
- Utilise the newly established Domestic Abuse Partnership Board, Delivery Group and Commissioning Group governance arrangements
- Take advantage of the very recently established increased capacity and new leadership in the public health DA team
- Critically, ensure a strategic approach to the inclusion of the DA Act duties and mayoral commission recommendations, and shaping of the model and approach by members, providers, and communities.

Cabinet Member / Officer Recommendations:

That Cabinet

1. Notes the emergency key decision taken to extend the Domestic Abuse and Sexual Violence services contracts as set out in Appendix A by 6 months until 30 September 2022 at a total cost of £737,861.

Corporate Strategy alignment:

1. **Empowering and Caring** – Prioritise community development and enable people to support their community. The commission emphasises that domestic abuse and sexual violence are everybody’s business and includes commitments to empower communities and local businesses to take steps to prevent and respond to abuse – this includes commissioning programmes.
2. **The One City Plan** contains the goal that by 2049, “Bristol will be a city free from domestic abuse and gender inequality.”

City Benefits:

This will ensure:

1. A strategic approach to the inclusion of the DA Act duties and mayoral commission recommendations, and shaping of the model and approach by members, providers, and communities
2. That we have fully engaged with wider domestic abuse community and not just the most well-established providers as part of the pre-commissioning process market readiness

Consultation Details:

One of the reasons for the proposed extension is to engage the newly formed survivor's forum in the pre-engagement process. The proposal will be considered by partners and providers via the recently established governance structure in advance of the formal consultation process.

Background Documents:

[Domestic Abuse Act 2019-21](#)

[ModernGov - bristol.gov.uk](#) – previous cabinet decision

[www.bristol.gov.uk/DomesticAbuseReport](#) Mayoral commission recommendations

Revenue Cost	£737,861	Source of Revenue Funding	
Capital Cost	£	Source of Capital Funding	
One off cost <input type="checkbox"/>	Ongoing cost <input checked="" type="checkbox"/>	Saving Proposal <input type="checkbox"/>	Income generation proposal <input type="checkbox"/>

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

1. Finance Advice:

This report advises Cabinet of the OED taken to approve the extension of the timetable for the recommissioning of Domestic Abuse and Sexual Violence services contracts by six months until 30 September 2022. The cost of extending the service for six months is £737,861. This continuation is fully funded and can be met from within existing resources.

Finance Business Partner: Denise Hunt 30 July 2021

2. Legal Advice: It is recognised that the further extension of the contracts 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 undertake consultation and 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/Solicitor 23 August 2021

3. Implications on IT: No anticipated impact on IT/Digital Services.

IT Team Leader: Simon Oliver 28/07/21

4. HR Advice: There are no significant HR issues arising from this report

HR Partner: Lorna Laing 30/07/21

EDM Sign-off	Hugh Evans	28/07/21
Cabinet Member sign-off	Cllr Asher Craig	29/07/21
For Key Decisions - Mayor's Office sign-off	Mayor's Office	16/08/21

Appendix A – Further essential background / detail on the proposal A summary of the contract and financial details is attached.	YES
Appendix B – Details of consultation carried out - internal and external	NO

Appendix C – Summary of any engagement with scrutiny	NO
Appendix D – Risk assessment	NO
Appendix E – Equalities screening / impact assessment of proposal	YES
Appendix F – Eco-impact screening/ impact assessment of proposal	NO
Appendix G – Financial Advice	NO
Appendix H – Legal Advice	NO
Appendix I – Exempt Information	NO
Appendix J – HR advice	NO
Appendix K – ICT	NO
Appendix L – Procurement	NO

Appendix A1: Contract List

Provider	Service	Annual amount	6 month Extension amount
Next Link	IDVA to BAME women and girls	36,000	18,000
Next Link	BAME female survivors through the criminal justice system	10,700	5,350
Next Link	Embedded within the Families in Focus locality teams - aligned to the think family /early help services	49,950	24,975
Next Link	IRIS – training and coordination of GP practices	39,000	19,500
Next Link	Therapeutic interventions to survivors and families to ensure recovery from domestic related trauma	50,000	25,000
Next Link	Complex Need accommodation	134,000	67,000
Next Link	Universal Service	777,494	388,747
Next Link	IDVAS service in University Hospitals Bristol (BRI)	68,727	34,363.50
Next Link	Early intervention domestic abuse crisis worker	75,000	37,500
One 25	Intensive support to street sex workers	38,200	19,100
Somerset and Avon Rape and Sexual Abuse Support (SARSAS)	Telephone line advice service to victims and survivors of historic and current sexual abuse and to provide onward pathways for clients in to appropriate community based therapeutic interventions	115,000	57,500
Victim Support	IDVA - within Lighthouse Safeguarding Unit	40,000	20,000
Victim Support	IDVAS for male survivors	41,649	20,824.50
		1,475,720.00	737,861

Appendix A2: Revised Project Timeline Domestic Abuse and Sexual Violence revised Project Timeline

Service start date: 1st October 2022

3 month service lead in time

Task Name	Duration	Start	Finish
Service Specification Further Development and Amendment		Underway	Mon 14/02/22
Market Engagement		Underway	Fri 24/12/22
Finalise Consultation Plan for	1 wk	Mon 11/10/21	Fri 15/10/21

commissioning and strategy			
Consultation Questions Development	3 wks	Fri 15/10/21	Thu 04/11/21
Upload Consultation Paperwork	1 day	Fri 05/11/21	Fri 05/11/21
Public Consultation	7 wks	Mon 08/11/21	Fri 24/12/21
Review findings from Consultation and revise documents	6 wks	Mon 03/01/22	Fri 11/02/22
Finalise Tender Paperwork	1 day	Wed 16/02/22	Wed 16/02/22
Tendering and Procurement	45 days	Mon 21/02/22	Fri 22/04/22
Evaluation of bids	4 wks	Mon 25/04/22	Fri 20/05/22
Notification of Decision	3 days	Tue 24/05/22	Thu 26/05/22
Alactel/Standstill	10 days	Fri 27/05/22	Fri 10/06/22
Finalise Contract paperwork	10 days	Mon 13/06/22	Fri 24/06/22
Exec Director Authorisation	1 day	Wed 15/06/22	Wed 15/06/22
Cabinet Member Review	1 day	Thu 16/06/22	Thu 16/06/22
Contract Award	1 day	Mon 27/06/22	Mon 27/06/22
Set up Period and Mobilisation	70 days	Mon 27/06/22	Mon 03/10/22
Service Start Date	1 day	Mon 03/10/22	Mon 03/10/22



Title: Extending current domestic abuse support contracts for 6 months	
<input type="checkbox"/> Policy <input type="checkbox"/> Strategy <input type="checkbox"/> Function <input checked="" type="checkbox"/> Service <input type="checkbox"/> Other [please state]	<input type="checkbox"/> New <input checked="" type="checkbox"/> Already exists / review <input type="checkbox"/> Changing
Directorate: People	Lead Officer name: Carol Slater
Service Area: Public Health	Lead Officer role: Health Equity Lead Public Health

Step 1: What do we want to do?

The purpose of an Equality Impact Assessment is to assist decision makers in understanding the impact of proposals as part of their duties under the Equality Act 2010. Detailed guidance to support completion can be found here [Equality Impact Assessments \(EqIA\) \(sharepoint.com\)](#).

This assessment should be started at the beginning of the process by someone with a good knowledge of the proposal and service area, and sufficient influence over the proposal. It is good practice to take a team approach to completing the equality impact assessment. Please contact the [Equality and Inclusion Team](#) early for advice and feedback.

1.1 What are the aims and objectives/purpose of this proposal?

Briefly explain the purpose of the proposal and why it is needed. Describe who it is aimed at and the intended aims / outcomes. Where known also summarise the key actions you plan to undertake. Please use plain English, avoiding jargon and acronyms. Equality Impact Assessments are viewed by a wide range of people including decision-makers and the wider public.

The current contracts BCC has with providers of services to support victims of domestic abuse and sexual violence are due to end on 31st March 2022. We need to extend the current contracts by a further 6 months until 1st October 2022 to ensure we have a robust and fully consulted commissioning plan. The need to extend the current contract has arisen due to two major changes in national policy and additional local guidance which need to be fully considered in our commissioning plan. The Domestic Abuse Bill received Royal Assent and became Law on the 29th April 2021. The Mayoral Commission on Domestic Abuse was convened in the summer of 2020 and published its report in March 2021.

The DA Act has required substantial programmes of work to successfully deliver as required by law over the last few months, including new governance processes and spending plans. In addition, a raft of new waves of Ministry of Justice and MHLG funding grants have also been published over Spring and summer 2021 which have given Bristol the opportunity to increase investment in Domestic abuse and grow services collaboratively with local providers. This includes increasing the number of Independent Domestic Violence Advocates, and MHCLG funding to create a number of safe spaces (short term accommodation 5/6 weeks) with specialist domestic abuse support, for the most vulnerable women experiencing domestic abuse in Bristol.

We need to ensure that policy change implications and programmes outcomes are appropriately reflected in our consultation process and commissioning intentions to ensure the new model takes account of this and provides sustainable benefit to our citizens and service users. However, the current timescale would require going out to consultation within the next 2 weeks and after internal review, we have concluded that for the reasons above we are not in an optimal position to do this well. We are asking for a 6 month deferral to the commissioning process and publication of the consultation in November 2021 to:

- Engage the newly formed survivor’s forum in the pre-engagement process
- Ensure that we have fully engaged with wider domestic abuse community and not just the most well-established providers as part of the pre-commissioning process market readiness
- Take account of the cross LA Joint Needs Assessment (due Sept 2021)

- Utilise the newly established domestic abuse partnership board, delivery group and commissioning group governance arrangements
- Take advantage of the very recently established increased capacity and new leadership in the public health DA team
- Critically, ensure a strategic approach to the inclusion of the DA Act duties and mayoral commission recommendations, and shaping of the model and approach by members, providers and communities.

1.2 Who will the proposal have the potential to affect?

<input checked="" type="checkbox"/> Bristol City Council workforce	<input type="checkbox"/> Service users	<input type="checkbox"/> The wider community
<input checked="" type="checkbox"/> Commissioned services	<input type="checkbox"/> City partners / Stakeholder organisations	
Additional comments:		

1.3 Will the proposal have an equality impact?

Could the proposal affect access levels of representation or participation in a service, or does it have the potential to change e.g. quality of life: health, education, or standard of living etc.?

If 'No' explain why you are sure there will be no equality impact, then skip steps 2-4 and request review by Equality and Inclusion Team.

If 'Yes' complete the rest of this assessment, or if you plan to complete the assessment at a later stage please state this clearly here and request review by the Equality and Inclusion Team.

<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	[please select]
------------------------------	--	-----------------

We have not identified any significant impact for staff or citizens from the proposal to extend the contracts for existing services for 6 months. If the extensions are agreed there will be no change in current service provision and the existing EQIA's for domestic abuse services will remain unchanged. The commissioning process for the new services will be subject to a full equality impact assessment process to ensure we are commissioning with full consideration of impact on equalities groups.

Step 5: Review

The Equality and Inclusion Team need at least five working days to comment and feedback on your EqIA. EqIAs should only be marked as reviewed when they provide sufficient information for decision-makers on the equalities impact of the proposal. Please seek feedback and review from the Equality and Inclusion Team before requesting sign off from your Director¹.

Equality and Inclusion Team Review: <i>Reviewed by Equality and Inclusion Team</i>	Director Sign-Off: 
Date: 14/7/2021	Date: 14/07/21

¹ Review by the Equality and Inclusion Team confirms there is sufficient analysis for decision makers to consider the likely equality impacts at this stage. This is not an endorsement or approval of the proposal.

Decision Pathway – Report

PURPOSE: For reference

MEETING: Cabinet

DATE: 14 September 2021

TITLE	Corporate Risk Management Report – Q1 2021/22		
Ward(s)	City wide		
Author: Michael Pilcher	Job title: Chief Accountant		
Cabinet lead: Craig Cheney	Executive Director lead: Mike Jackson		
Proposal origin: Other			
Decision maker: For noting			
Decision forum: For noting			
Purpose of Report:			
<ol style="list-style-type: none"> 1. The report provides an update current significant strategic risks to achieving the Council’s objectives as set in the Corporate Strategy 2018-2023 and summarises progress in managing the risks and actions being taken as at Quarter 1 2021-22. 			
Evidence Base:			
Context			
<ol style="list-style-type: none"> 1. 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, budget setting, transformation and service delivery. 2. 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. 3. 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 (DRR) 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. 4. 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. 5. The CRR summary of risks is attached to this report at Appendix A is the latest position following a review by managers and Directors. 			
Summary of Corporate Risks:			
<ol style="list-style-type: none"> 6. CLB are asked to note the CRR as a working summary report of the critical and significant risks from the Service Risk Registers as at end of June 2021. 7. The CRR sets out the critical, significant and high rated risks both threats and opportunities. All other 			

business risks reside on the Service Risk Registers and reported through the DRRs.

8. The Q1 21-22 Corporate Risk Report (CRR) as at 30 June 2021 contained:

Threat Risks	Opportunity Risks	External / Contingency Risks
<ul style="list-style-type: none"> • 3 critical • 18 high • 3 medium • 0 new • 1 improving • 3 deteriorating • 0 closed 	<ul style="list-style-type: none"> • 0 significant • 3 high • 0 medium • 0 new • 0 improving • 1 deteriorating • 0 closed 	<ul style="list-style-type: none"> • 1 critical • 1 high • 0 medium • 0 new • 0 improving • 0 deteriorating • 0 closed

9. A summary of risks (Threat and Opportunities) for this reporting period are set out below.

10. There are three critical threat risks:

- CRR41: Long Term Major Capital projects. The risk rating being 4x7 (28) critical threat risk. This risk is managed on the Growth and Regeneration Service Risk Register.
- CRR32: Failure to deliver enough affordable Homes to meet the City's needs. The risk rating being 4x7 (28) critical threat risk. This risk is managed on the Growth and Regeneration Service Risk Register.
- CRR9: Safeguarding Vulnerable Children. The risk rating being 4x7 (28) critical threat risk. This risk is managed on the People Service Risk Register.

11. There is one improving threat risks:

- CRR42: Provision of leisure centres. The risk rating being 4x7 (28) critical threat risk. This risk is managed on the People Service Risk Register.

12. There are three deteriorating threat risks

- CRR40 Unplanned Investment in Subsidiary Companies. The risk rating being 3x5 (15) high threat risk. This risk is managed on the Resources Service Risk Register.
- CRR15 In-Year Financial Deficit. The risk rating being 3x5 (15) high threat risk. This risk is managed on the Resources Service Risk Register.
- CRR23 Adult and Social Care (ASC) Transformation Programme. The risk rating being 4x5 (20) high risk threat. This risk is managed on the People Service Risk Register.

13. It is proposed the external risk and opportunity relating to Brexit as closed as now reflected within individual risks across the Council's corporate risk register.

14. All risks on the CRR have management actions in place.

15. 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.

Risk Management Framework

16. 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 highlighted several opportunities to enhance Risk Management. Areas for improvement included:

- Increasing the level of engagement and ownership by Service Managers.
- Enhancing the engagement of Members in the risk management process.
- Engagement with the timeliness, completion, and accuracy of Service Risk Registers.
- Accuracy of Corporate and Directorate Risk Reports.
- Risk Management training and awareness.
- Risk Management within Decision Making, 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.

17. The risk management framework and process continues to be developed.

18. Upcoming plans for 2021/22 include:

- Risk data migration Q1 2021/21 and roll out of new system
- eLearning will roll out on the new Learning and Development platform which will be mandatory for key staff.
- Annual Risk Management Maturity Assessment.
- Approach to management of risk reporting to CLB.
- Reviewing and updating the Risk Management Assurance Policy.

Cabinet Member / Officer Recommendations:

That CLB

1. Notes the current strategic risks and mitigating actions being taken to reduce to within tolerance.

Corporate Strategy alignment:

Managing risks are an integral element to the achievement of the BCC Corporate Strategy deliverables.

City Benefits:

Risk Management aims to maximise achievement of the council's aims and objectives by reducing the risks to those achievements and maximising possible opportunities that arise.

Consultation Details: none

Background Documents:

<https://democracy.bristol.gov.uk/documents/s28767/10 Appendix A - BD11378 - Risk Management Assurance Policy Jan 2019.pdf>

Revenue Cost	£	Source of Revenue Funding	Insert specific service budget name
Capital Cost	£	Source of Capital Funding	e.g. grant/ prudential borrowing etc.
One off cost <input type="checkbox"/>	Ongoing cost <input type="checkbox"/>	Saving Proposal <input type="checkbox"/>	Income generation proposal <input type="checkbox"/>

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

1. Finance Advice: The CRR is a live document refreshed regularly following consultation across the organisation, and aims to provide assurance that the council's main risks have been identified and appropriate mitigations are in place to ensure they are managed within agreed tolerances. This includes, as set out in the annual budget report, measures to ensure appropriate financial provision is made through the budget planning process and reserves. The Council should ensure it has sufficient resource available to implement actions required to bring risks down to a tolerable level.

Finance Business Partner: Michael Pilcher, Chief Accountant

2. Legal Advice: The Corporate Risk Register enables the Council to monitor and manage identified risks and mitigations to ensure good governance and compliance with its statutory and other duties.

Advice will be given separately in relation to any specific legal issues that may arise from the risks identified.

Legal Team Leader: Nancy Rollason, Head of Legal Service and Deputy Monitoring Officer

3. Implications on IT: The Digital Transformation Team remain committed to undertaking the mitigation activities pertaining to the service risks. We are instigating additional dialogue around the Corporate approach to 'roll-up' risks such as Suitability of LOB systems, Cyber Security, and IT Resilience whereby ownership and mitigation activity should be led by the responsible service areas and reported individually. We are working with Risk colleagues to improve the alignment of different risk registers and approaches and gain a single view of risk within the new risk management software tool

IT Team Leader: Simon Oliver, Digital Transformation Director

4. HR Advice: It is essential that staffing resources are appropriately deployed to manage risks and bring them to a tolerable level and in particular the critical risks that are identified in the report. There are no other HR implications arising from the CRR report.

HR Partner: Mark Williams, Head of Human Resources		
EDM Sign-off	Mike Jackson	06/09/2021
Cabinet Member sign-off	Cllr Craig Cheney	06/09/2021
For Key Decisions - Mayor's Office sign-off	n/a	

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

Corporate risk performance summary for threat risks			Quarter 1 Apr – Jun 20/21		Quarter 2 Jul – Sept 20/21		Quarter 3 Oct – Dec 20/21		Quarter 4 Jan – Apr 20/21		Quarter 1 Apr – Jun 21/22	
Risk ID	Risk	Risk Owner	Rating	Travel	Travel	Travel	Rating	Travel	Rating	Travel	Rating	Travel
CRR41	Long Term Major Capital projects	Executive Director Growth and Regeneration and Executive Director Resources and S151 Officer					4x7=28	New	4x7=28	↔	4x7=28	↔
CRR32	Failure to deliver enough affordable Homes to meet the City's needs	Executive Director Growth and Regeneration Director Development of Place	4x7=28	↓	4x7=28	↔	4x7=28	↔	4x7=28	↔	4x7=28	↔
CRR9	Safeguarding Vulnerable Children	Executive Director People Director Children's and Families Services	2x7=14	↔	3x7=21	↓	4x7=28	↓	4x7=28	↔	4x7=28	↔
CRR13	Financial Framework and MTFP	Chief Executive and Director of Finance (S151 Officer)	4x7=28	↔	3x7=21	↑	3x7=21	↔	3x7=21	↔	3x7=21	↔
CRR35	Organisational Resilience	Director Policy, Strategy & Partnerships	3x7=21	New	3x7=21	↔	3x7=21	↔	3x7=21	↔	3x7=21	↔
CRR10	Safeguarding Adults at Risk with Care and support needs	Executive Director People Director Adult Social Care	2x7=14	↔	3x7=21	↓	3x7=21	↔	3x7=21	↔	3x7=21	↔
CRR29	Information Security Management System	Senior Information Risk Owner (SIRO)	4x5=20	↔	4x5=20	↔	4x5=20	↔	4x5=20	↔	4x5=20	↔
CRR7	Cyber-Security	Chief Executive, Senior Information Risk Owner (SIRO)	4x5=20	↑	4x5=20	↔	4x5=20	↔	4x5=20	↔	4x5=20	↔
CRR25	Suitability of Line of Business Systems (LOB)	Director, Digital Transformation, Senior Information Risk Owner (SIRO) for Cyber Security. Service Areas for BCP/DR	4x5=20	↔	4x5=20	↔	4x5=20	↔	4x5=20	↔	4x5=20	↔
CRR2	Corporate Health, Safety and Wellbeing	Chief Executive and Corporate Leadership Board (CLB) Director of Workforce Change	2x7=14	↔	4x5=20	↓	4x5=20	↔	4x5=20	↔	4x5=20	↔
CRR37	Homelessness	Executive Director Growth and Regeneration Director Housing	4x5=20	New	4x5=20	↔	4x5=20	↔	4x5=20	↔	4x5=20	↔
CRR23	Adult and Social Care (ASC) Transformation programme 2020/21 – 2021	Executive Director People Director Adult Social Care	2x5=10	New	2x5=10	↔	2x5=10	↔	2x5=10	↔	4x5=20	↓
CRR8	Fraud and Corruption	Chief Executive and Director of Finance (S151 Officer)	4x5=20	↔	4x5=20	↔	3x5=15	↔	3x5=15	↔	3x5=15	↔
CRR12	Failure to deliver suitable emergency planning measures, respond to and manage emergency events when they occur	Executive Director Growth and Regeneration Head of Paid Service, Director Management of Place and Civil Protection Manager	2x7=14	↔	3x7=21	↓	4x5=20	↑	3x5=15	↑	3x5=15	↔
CRR5	Business Continuity and Council Resilience	Executive Director Growth and Regeneration Chief Executive	2x7=14	↓	3x7=21	↓	4x5=20	↑	3x5=15	↑	3x5=15	↔
CRR18	Failure to deliver enough homes to meet the City's needs.	Executive Director Growth and Regeneration Director Development of Place	3x5=15	↔	3x5=15	↔	3x5=15	↔	3x5=15	↔	3x5=15	↔
CRR40	Unplanned Investment in Subsidiary Companies	Director of Finance (S151 Officer)					2x7=14	New	2x7=14	↔	3x5=15	↓
CRR15	In-Year Financial Deficit	Director of Finance (S151 Officer)	4x3=12	↔	4x3=12	↔	4x3=12	↔	4x3=12	↔	3x5=15	↓
CRR26	ICT Resilience	Chief Executive, Director Digital Transformation, Service Area Leads	2x7=14	↔	2x7=14	↔	2x7=14	↔	2x7=14	↔	2x7=14	↔
CRR42	Provision of Leisure Centres	Executive Director People Director Public Health							4x7=28	New	2x7=14	↑
CRR39	Adult and Social Care major provider/ supplier failure	Executive Director People Director Children's and Families Services			2x7=14	New	2x7=14	↔	2x7=14	↔	2x7=14	↔
CRR36	SEND	Executive Director People Director Education and Skills	2x5=10	New	2x5=10	↔	2x5=10	↔	2x5=10	↔	2x5=10	↔
CRR27	Capital Transport Programme Delivery	Executive Director Growth and Regeneration Director Economy of Place	4x5=20	↔	3x3=9	↑	3x3=9	↔	3x3=9	↔	3x3=9	↔
CRR34	Corporate Equalities	Director Policy, Strategy & Partnership	2x7=14	New	2x5=10	↑	1x5=5	↑	1x5=5	↔	1x5=5	↔

Corporate risk performance summary for opportunity risks			Quarter 1 Apr – Jun 20/21		Quarter 2 Jul - Sept 20/21		Quarter 3 Oct - Dec 20/21		Quarter 4 Jan - Apr 20/21		Quarter 1 Apr – Jun 21/22	
Risk ID	Risk	risk owner	Rating	Rating	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel
OPP2	Corporate Strategy	Director Policy, Strategy and Partnerships	4x7=28	↔	4x7=28	↔	3x7=21	↓	3x7=21	↔	2x7=14	↓
OPP1	One City	Director Policy, Strategy and Partnerships	3x7=21	↔	3x7=21	↔	3x7=21	↔	3x7=21	↔	3x7=21	↔
OPP3	Devolution	Director Policy, Strategy and Partnerships	3x5=15	↔	3x5=15	↔	3x7=21	↑	3x7=21	↔	3x7=21	↔

Corporate risk Performance Summary for external and civil contingency risks			Quarter 1 Apr – Jun 20/21		Quarter 2 Jul - Sept 20/21		Quarter 3 Oct - Dec 20/21		Quarter 4 Jan - Apr 20/21		Quarter 1 Apr – Jun 21/22	
Risk ID	Risk	Risk Owner	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel	Rating	Travel
BCCC3	Covid -19	Corporate Leadership Board, Chief Executive	4x7=28	↔	4x7=28	↔	4x7=28	↔	4x7=28	↔	4x7=28	↔
BCCC1	Flooding	Executive Director Growth and Regeneration Director Economy of Place	3x5=15	↔	3x5=15	↔	3x5=15	↔	3x5=15	↔	3x5=15	↔

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Corporate Risk Register as at June 2021 – Threat Risks to the achievement of Bristol City Councils Objectives.									
Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating
<p>CRR4 Corporate Health, Safety and Wellbeing.</p> <p>If the City Council does not meet its wide range of Health & Safety requirements then there could be a risk to the safety of employees, visitors, contractors, citizens, and BCC corporate body.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • If services do not have sufficient staff numbers to carry out work plans in a safe way. • If services are not able to order appropriate equipment required for staff safety. • Lack of appropriate equipment. • Lack of appropriate training. • Lack of oversight and control by local management. • Lack of information on the potential or known risks. • Inadequate contract management arrangements. • Lack of effective processes and systems consistently being applied • Policies are not kept up to date. 	<p>The Corporate Health, Safety and Wellbeing Team provide an integrated service to support all BCC services and monitor performance and compliance. Support Leadership and engagements with all managers, monitor and provide assurance on risk control, develop learning and development to assist with competence and monitor overall performance on HS&W.</p> <p>A new integrated Health, Safety and Wellbeing strategy has been approved by CLB along with new governance arrangements for HS&W.</p> <p>A new Fire Safety Management System has been developed and consulted on with key stakeholders. This includes a revised training programme and revised roles and responsibilities.</p> <p>A Corporate Health and Safety Monitoring System (CHaSMs) is used to provide a level of assurance on compliance across BCC. Each manager responsible for people and/or facilities are required to complete a twice-yearly submission which identifies key hazard and risk control and identify any areas of improvement and/or non-compliance. Data submissions are analysed by the Corporate H&S team and performance reports submitted to EDM's and the Corporate Health and Safety Committee. Each manager is required to develop an action plan to improve performance. The H&S team carry out monitoring and sampling of the completed returns and support managers to develop appropriate action plans.</p> <p>The Accident Incident Reporting Systems (paper based) has been moved across to SHAREPOINT. AIRs are monitored daily, and H&S Advisors follow up any actions, undertake investigations and report any RIDDORs to the HSE.</p> <p>BCC has a comprehensive programme of e-learning and personal face to face course delivery available to all directors, managers, staff, and members. The Corporate Safety Information System is in place to share with staff details of addresses which due to potential violence & aggression or police notification are considered to present risks. Benchmarking and annual reports are provided to BCC along with the annual performance report. All contracts set up with external providers include a check of their relevant Health and Safety competency. The council's audit programme monitors compliance with statutory duty and best practices. We have reviewed the Health and Safety Management arrangements and developed a (project) service development and improvement plan.</p> <p>There is a new Occupational Health, EAP and Physiotherapy provider in place (from 1st April) . The contract management is overseen by the Head of Health Safety and Wellbeing. The new provision provides an offer for Schools.</p> <p>Developed robust risk assessments and control for managing COVID-19 across all of BCC and School.</p> <p>Continue to have good engagement with Trade Unions.</p> <p>Continued to build on the relationships with our Regulators including HSE and Fire Authority. We are working with the HSE on trail blazing work related to managing risk for Electrical Safety in Highways.</p> <p>The plan for updating and revising all health and safety procedures has been drafted.</p> <p>Mental Health First Aiders has now been launched and includes Senior Manager involvement</p>	↔	4	5	20	<p>We have agreed in a new accident incident reporting system. A named officer has been allocated to work alongside the risk management team to pilot and implement the system which is part of the existing Risk Management Claims Reporting System.</p> <p>The new strategy is now being implemented. The strategy sets out the out a 5 Year end goal and the strategic priorities for Health Safety and Wellbeing. (Leadership and Commitment, Risk Control, Communication and Engagement, Training and Competence and Performance Management). A delivery plan supports the implementation.</p> <p>A new operating model and staff structure will be in place by June/July 2021.</p> <p>The H&S team have started to risk profile all the health and safety risks across BCC this will be used to plan and manage our work and make progress and maturity and provide better assurance at a senior level on what our H&S risk are and how well we are managing them. We continue to support the organisation to be COVID-19 secure. All buildings including schools have been given a COVID secure certificate and monitoring continues in this area.</p> <p>The health and wellbeing plan continues to support the workforce organisational strategy and key actions including reasonable adjustments training which is currently being revised with a plan to roll out to all managers during 2021/2022.</p> <p>A document plan has been developed to review all health and safety procedures to ensure they are user friendly and meet legal requirements.</p>	3	5	15
Risk Owner: Chief Executive and Corporate Leadership Board (CLB), Director of Workforce Change.	Action Owner: Director of Workforce Change, Head of Health Safety and Wellbeing.		Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.			

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<p>CRR5: Business Continuity (BC) 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.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Strikes (People, Fuel). • Loss of key staff (communicable diseases and influenza epidemics). • Loss of suppliers. • Loss of accommodation to deliver key services. • Loss of equipment. • Any event which may cause major disruption. • Unavailability of IT and/or Telecoms, including from cyber attack • Loss of staff/staff availability. • Knowledge loss. • Reduced chances of preventing/responding to incidents due to a lack of forward planning or investment. 	<p>A number of Policies, procedures and arrangements are in place including duty rotas for key service areas and the Duty Director rota.</p> <p>The Covid Continuity Group has now been stood down. However, it has been established as a successful model for managing business continuity challenges and is being written into plans to be reconvened when necessary in future.</p> <p>The review of Service Level Business Continuity Plans planned for January 2021 was delayed by the Covid second wave. Although some of this work will be addressed in the project outlined above, a wider review needs to be re-scheduled.</p> <p>Business Continuity Awareness Week took place between 17th and 21st May and we are working with Internal Communications to ensure messages to managers encourage review of continuity arrangements.</p> <p>CPU continue to lead exercises to support service response and continuity (e.g. election resilience).</p> <p>We continue to work closely with partners through the LRF to understand Covid, EU Exit Risks and other risks and the impact they may have on continuity.</p>	↔	3	5	15	Due to risk due to cyber security and the ability of critical services to manage continuity in the event of a loss of IT services, a project is being developed across CPU, IT and Information Assurance to: review and finalise the list of critical services and the IT they depend on; increase services understanding of the resilience they can expect from IT; ensure that BC plans align with disaster recovery schedules; improve the quality of the BC arrangements services have in place to manage IT outages; place the review and maintenance of service BC plans on a 'corporate governance programme'.	1	5	5
<p>Risk Owner: Executive Director Growth and Regeneration Chief Executive, Director Management of Place.</p>	<p>Action Owner: Director Management of Place and Civil Protection Manager.</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>	<p>Strategy Theme: Our Organisation, Wellbeing.</p>						

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<p>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:</p> <ul style="list-style-type: none"> • Heightened levels of fraud, including cyber fraud, as criminals attempt to exploit the COVID-19 pandemic and emergency payment environment. • 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 with staff in key areas redeployed to support the emergency response. • Under investment in fraud prevention, detection and technology. 	<ul style="list-style-type: none"> • The Council's exposure to fraud remains so we continued to use analytic tools and additional resources to perform both prepayment and post payment assurance checks. • We continued to work across the region in undertaking prepayment checks on government grants to minimise fraud losses in the region. • An audit on Cyber Security was completed and the actions arising from this review enhance our fraud and cyber controls. • We continued to participate in anti-fraud exercises including the National Fraud Initiative and have now obtained approval to join the Cabinet Office Fraud Hub to enable more frequent and regular matching of the data • A project team which is exploring viable options for a longer-term solution for a fraud hub was set up and the Project Board chaired by the Section 151 Officer started meeting in June • An independent review of our Whistleblowing arrangements gave substantial assurance on the adequacy and effectiveness of arrangements 		3	5	15	We will continue to undertake post-payment checking against Covid grants to identify and investigate potential fraudulent claims. Output from the National Fraud Initiative data matching exercise will be reviewed including new reports relating to Covid grants. Work continues to improve the Whistleblowing process and awareness of it, including implementation of recommendations from the independent review. The Cabinet Office Fraud Hub will be implemented as a short-term solution to enable more frequent and regular matching of the data. Focus will be on the Bristol Fraud Hub Project with the target of completing soft market testing and finalisation of an Outline Business Case by end of Quarter 2.	3	5	15
Risk Owner: Chief Executive and Director of Finance (S151 Officer).	Action Owner: Director of Finance, Chief Internal Auditor.	Portfolio Flag: Finance, Governance and Performance.	Strategy Theme: Our Organisation.						

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Risk title and description	What we have done	Performance	Current Risk Level			Tolerance Risk Level		
			Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p>CRR7: Cyber-Security. The Council's risk level regarding Cyber-security is higher than should be expected.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> Lack of investment in appropriate technologies. Reliance on in-house expertise, and self-assessments (PSN). Lack of formal approach to risk management (ISO27001). 	<p>An Information Governance Board has been established to provide oversight of information security and an escalation point to the Council's SIRO.</p> <p>The Council is using a SIRO checklist to capture and escalate cyber security risks. IG team now have an operational level risk register that is being used to track local operational risks further aligning ourselves with best practice.</p> <p>COVID-19 has brought new challenges to Information Governance including new systems and ways of working being rolled out. The team are working closely with relevant services such as ICT to ensure that Information Governance is considered in these changes. IG team now have an operational level risk register that is being used to track local operational risks further aligning ourselves with best practice.</p> <p>The IT Transformation 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.</p> <p>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. The IG Team are continuing to work with ICT and Microsoft on the ITTP programme to ensure that this is done in line with industry best practice and recognised standards.</p> <p>Resources have been appointed to facilitate the improvements required as per the agreed budget. These will also be needed to support capital projects. New ITTP Tooling is being configured and refined to provide a clear picture of the threat to BCC infrastructure.</p>	↔	4	5	20	1	5	5
<p>Risk Owner: Chief Executive, Senior Information Risk Owner (SIRO).</p>	<p>Action Owner: Head of Information Assurance, Information Governance.</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>	<p>Strategy Theme: Our Organisation.</p>					

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Risk title and description	What we have done	Performance	Current Risk Level			Tolerance Risk Level		
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<p>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.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> Failure to meet the requirements of the Children Act and associated legislation. Inadequate controls result in harm. Demand for services exceeds its capacity and capability. Increase in complex safeguarding risks, criminal exploitation, serious youth violence and gang affiliation. During Covid-19, in line with Govt guidelines tiers, lockdown and infection control, there has been a reduction in the frequency of face-to-face visits to families. Since the last easing of restrictions on 12 April face to face visiting is now expected unless exceptional circumstances that are signed off by a Tier 3 manager. Risk assessments are required to assess whether a face-to-face visit is possible within the guidelines. Placement failure due to COVID infection across children’s home or fostering household. An increase in demand of up to 5% is anticipated because of Covid and economic downturn, with some children more vulnerable to exploitation and abuse as a result of lost safe, stable, and nurturing relationships. Increased destitution in families, impacting on mental ill health, managing increased infection within children and young people population and their parents. 	<p>We regularly analyse performance against key causes and report to Cabinet Members and Directors regarding safeguarding performance and progress. A children's safeguarding assurance report updates senior leaders on a quarterly basis.</p> <p>The Keeping Bristol Safe Board provides independent scrutiny of children’s safeguarding arrangements in the city and holds BCC and partner agencies to account. This includes delivery of Safer Communities and the Prevent Duty.</p> <p>BCC works with partners to effectively identify victims and perpetrators of extra-familial abuse including Child Sexual exploitation, Criminal Exploitation and Serious Violence, taking action to disrupt and protect.</p> <p>Multi Agency Public Protection Arrangements are in place (MAPPA) with BCC contributors at every level to support family safeguarding.</p> <p>Additional capacity has been committed to the Local Authority Designated Officer for allegations against people who work with children.</p> <p>Bristol’s published policies and procedures, comprehensive training and development and monthly professional supervision help ensure safe practice and adequate control of risks. This is monitored and tested through a performance and quality assurance framework.</p> <p>September 2018 Ofsted ILACS single inspection identified that, ‘services have improved substantially for care leavers, children in care and children in need of help and protection’ and that ‘children identified as being at immediate risk of harm receive timely support and interventions.</p> <p>Bristol has invested in Early Help and targeted services through an integrated localities and team around the school and family approach. The aim is to meet the needs of children and families at the earliest point, build family resilience, reduce demand for specialist services and maintain capacity within the system.</p> <p>Children and Families’ Services invests in its workforce and has a career progression policy and workforce strategy focussed on attracting, recruiting, retaining, and developing excellent social workers. Senior leaders monitor social work vacancies and caseload levels to ensure the system operates as safely as possible for children and families. Competent agency social workers and managers are used on a temporary basis to fill vacancies.</p> <p>Information sharing protocols are in place with partners. Services take action to comply with GDPR (General Data Protection Regulation) where sensitive data is stored/processed.</p> <p>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 services are commissioned.</p> <p>Developed a dynamic multi agency sharing information hub (MASH) to enable information to be shared between agencies and risk for children identified at the earliest opportunity.</p> <p>Developed a Domestic Abuse daily triage with colleagues in Police, Nextlink and our IDVA’s to ensure support is provided at the earliest opportunity and timely referrals are made to First Response if appropriate. (FT)</p>	↔	4	7	28	1	7	7
Risk Owner: Executive Director People, Director Children’s, and Families Services.	Action Owner: Director Children’s and Families Services.	Portfolio Flag: Children and Young People.	Strategy Theme: Our Organisation, Empowering and Caring, Wellbeing.					

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<p>CRR10: Safeguarding Adults at Risk with Care and support needs. The council fails to ensure adequate safeguarding measures are in place, Adults at risk.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Adequacy of controls. • Management and operational practices. • Demand for services exceeds 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. • Increased destitution in families, impacting on mental ill health, managing increased infection within the population. (COVID19) • Increased isolation. (COVID19) • Care strain / resilience. (COVID19) • Absence of building-based services whilst we have reduced community solutions. (COVID19) 	<p>Bristol has the Keeping Bristol Safe Partnership (KBSP), which covers Adult Safeguarding, Children's Safeguarding and Community Safety. The Board has senior executive representation and ensures a strong focus on matters of strategic concern. The Keeping Bristol Safe Board provides independent scrutiny of adult safeguarding in the city and holds BCC and partner agencies to account. The Keeping Adults Safe board reports into the KBSP and has oversight of adult safeguarding priorities. KBSP business plan priorities are agreed and being actioned and regularly reviewed.</p> <p>The Adult Social Care Transformation programme has been established to implement policy objectives of delivering financial sustainability and 'right positioning' care delivery in the Bristol health, care, and wellbeing system.</p> <p>An active strategy is in place to attract, recruit and retain social workers through a variety of routes with particular emphasis on experienced social workers. Regular strategies and campaigns support the recruitment and retention of high calibre social workers and managers, with competent agency social workers and managers used on temporary basis to fill vacancies.</p> <p>All key staff working with people directly at risk are trained in the essentials of safeguarding and BCC has an ongoing awareness-raising 'Prevent' training programme.</p> <p>Community Finance Support Scheme meets regularly to respond to provide financial protection to adults with Care and Support needs who are unable to protect themselves and have no one willing or unable to act on their behalf.</p> <p>Annual report shared with Elected Members to allow for scrutiny of progress of the KBSP.</p> <p>The quality assurance and performance visits to teams</p> <p>Corporate safeguarding policy in draft and going to Cabinet to be agreed and signed off.</p> <p>Regular attendance at Channel, MARAC (Multi Agency Risk Assessment Conference) and Multi Agency Public Protection Arrangements are in place (MAPP) with BCC contributors to support risk management.</p> <p>Safeguarding Discussion Forum set up to ensure complex or stuck cases are addressed in a timely manner.</p> <p>Improving Performance-Developed a new data collection with Power BI which is entering its testing phase.</p> <p>Focused work is being undertaken to address the backlog in safeguarding referrals due to reduced capacity and an action plan is in place. Agency staff agreed to increase capacity within the safeguarding adults team. Flow and capacity issues in the First teams have an action plan being constructed for sign off at Director level.</p> <p>Commissioning capacity has increased this to lead on monitoring and assuring quality in the care sector with clear links to adult safeguarding. Provider failure process is enacted to support and manage whole service risks.</p> <p>Corporate safeguarding policy in draft and going to CLB to be agreed and signed off procedures being written to accompany this for publication on the Source. Strategic Safeguarding Leads Group Meeting set up.</p> <p>Improving Performance-Developed a new data collection with Power BI which tested and is going live.</p>	↔	3	7	21	1	7	7
<p>Risk Owner: Executive Director People, Director Adult Social Care.</p>	<p>Action Owner: Director Adult Social Care.</p>	<p>Portfolio Flag: Adult Social Care.</p>	<p>Strategy Theme: Our Organisation, Empowering others and Caring, Fair, and Inclusive, Well connected, Wellbeing.</p>					

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						What we are doing
<p>CRR12: Failure to deliver suitable emergency planning measures and respond to and manage emergency events when they occur. (Civil Contingency and Resilience)</p> <p>If the City has a Major Incident, Contractor Failure or the council inadequately responds, then the impact of the event may be increased with a greater impact on people and businesses.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> Emergency risks not identified and prepared for. Lack of trained and available responding staff. Emergency roles and responsibilities not embedded. 	<p>We have supported the ongoing Covid response and responded effectively to concurrent incidents including fatal industrial accidents, residential fires, water and utility outages and protests.</p> <p>Learning from Covid 'Waves 1 and 2' have been absorbed across the organisation. However, there remains lessons to be learnt and embedded.</p> <p>BCC plays a leading role in the Avon and Somerset Local Resilience Forum (LRF), the 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 works to the Avon and Somerset Community Risk Register.</p> <p>A system is in place for ongoing monitoring of severe weather events (SWIMS).</p> <p>Emergency planning training has been rolled and a multi-agency exercise is regularly conducted to test different elements of BCC emergency arrangements with partners. CPU and relevant teams have also taken part in multi-agency exercises.</p> <p>A Duty Director on-call rota is in operation. Emergency volunteers have been recruited to aid emergency responses. Duty rotas in other key service delivery areas (e.g. Housing and Social Care) are also in place.</p> <p>The Bristol Operations Centre capacity to support multi-agency operations has been tested.</p> <p>A review and exercise of the COMAH (Control of Major Accident Hazards) Plan is complete.</p> <p>The Covid-19 emergency has stretched the Council's emergency response capacity and created additional strains and pressures across all responding agencies and the city systems in place to manage emergencies.</p> <p>The risk of a concurrent emergency during the Covid crisis is arguably higher than before the crisis. Covid pressures and additional safety considerations with regards to response required the OOH CPU service to be reduced to a telephone only service. This has now been reversed and a full response is available again.</p> <p>Measures for managing a concurrent emergency have been discussed with emergency services and e.g. the Fire Service has arrangements to support residential evacuations during this period. A 'concurrent emergency' plan is in place.</p> <p>Learning is taking place as consequence of the ongoing pandemic and this is making the Council a more resilient organisation.</p> <p>An 'Introduction to Emergency Planning' e-learning package will be available for all staff is in development.</p>	↔	3	5	15	<p>We remain in 'response mode' with Covid, which continues to absorb CPU capacity, leaving little capacity for 'BaU' planning.</p> <p>A LRF funding pilot is underway to provide all LRFs MHCLG money to develop multi-agency planning.</p> <p>The Council's 'Corporate Resilience Group' is being re-formed post-Covid to oversee the management of relevant risks identified on the National Security Risk Assessment and other pertinent local risks.</p>
<p>Risk Owner: Executive Director Growth and Regeneration, Director Management of Place.</p>	<p>Action Owner: Director Management of Place, and Civil Protection Manager.</p>	<p>Portfolio Flag: Finance, Governance and Performance.</p>	<p>Strategy Theme: Our Organisation, Wellbeing.</p>			

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<p>CRR13: Financial Framework and Medium Term Financial Plan (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.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • 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 2020. • Review of local Government funding through fair funding formula and business rates retention. • Impact of Covid-19 on key income sources. • Inadequate budgeting & budgetary control/Financial Settlements & wider fiscal policy changes: <p>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.</p> <p>Embedding of the new national funding formula for schools and High Needs.</p> <p>Political failure to facilitate the setting of a lawful budget.</p> <p>Unable to agree a deliverable programme of propositions that enable the required savings to be achieved.</p> <ul style="list-style-type: none"> • Insufficient reserves to mitigate risks and liabilities and provide resilience. • Rising inflation could lead to increased cost. • Judicial review. 	<p>BCC manages its financial risks through a range of controls including budget preparation, budget setting and a Budget Accountability Framework. Clear roles and responsibilities for managing, monitoring and forecasting income and expenditure against approved budgets are in place. 2021 Budget presented and approved by Council February 2021.</p> <p>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:</p> <ul style="list-style-type: none"> • The maintaining of the evolving financial model that reflects in a timely manner changes in national and local assumptions. • The level of reserves and balances are regularly reviewed to ensure that account is taken of any financial/economic risk and the adequacy of general reserves is determined as part of this exercise. • Financial Regulations and Financial Scheme of Delegation is in place. • Regular in-year monitoring and reporting, review of future financial plans and assessment of financial risks and reserves are undertaken to ensure the financial plans are delivered. • Changes to savings in year are monitored by delivery executive. • 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 is engaged with or receiving timely feedback from the range of Government working groups exploring future local funding. • Refreshed of the MTFP and Capital Strategy and expanded our model to take in a longer-term view. 	↔	3	7	21	<p>The impact of Covid-19 has had a significant impact on the financial sustainability of the organisation in the short term and long term. There is a significant immediate reduction in some of the Council's key income streams and also significant costs associated with the response. The 2021/22 set an indicative balanced position for the medium term, however due to imminent changes in local government funding and also significant uncertainty about medium term impact on Covid-19 there remains significant risk to the on-going financial position.</p> <p>All underlying assumptions in the financial outlook will be reviewed as any economic downturn will significantly impact Council Tax growth and receipts as well as business rates retention.</p> <p>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.</p> <p>CIPFA Financial Management Code for Local Authorities has been released for full implementation from April 2021.</p>	2	3	6
Risk Owner: Chief Executive and Director of Finance (S151 Officer).	Action Owner: Director of Finance (S151 Officer), Chief Accountant.	Portfolio Flag: Finance, Governance and Performance.	Strategy Theme: Our Organisation.						

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Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating
<p>CRR15: In-Year 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:</p> <ul style="list-style-type: none"> A failure to appropriately plan and deliver savings. Unscheduled loss of material income streams. Increase in demography, demand and costs for key council services. The inability to generate the minimum anticipated level of capital receipts. Insufficient reserves to facilitate short term mitigations, risks and liabilities. Interest rate volatility impacting on the council's debt costs. Impairments in our commercial Investments are realised. 	<p>BCC's Financial framework ensures that we have in place sound arrangements for financial planning, management, monitoring and reporting through to Corporate Leadership Team and Cabinet. The ongoing review and due diligence of all budget savings by Delivery Executive, Corporate Leadership Board and the Executive continues to be captured and monitored in the reports to Cabinet. The Policy and Budget Framework provides clear guidance in relation to the approval process for supplementary funding both capital and revenue. We have continual oversight and ongoing management of the council's financial risks and deep dives in areas reported of non-containable pressures. Regular reviews have been undertaken on the level and appropriateness of the earmarked reserves and where redirections have been south reported to Cabinet.</p>	↓	3	5	15	<p>The latest budget monitoring indicates significant risks to achieving a balanced position in 2021/22. The impact of Covid-19 has been offset in part by additional Government funding and there are corporate mitigations for the residual pressures, however this must be closely managed to ensure spend remains within approved resources. Any risks not related to Covid will require individual mitigations and recovery plans which are to be developed in the coming months to reduce the likelihood of unplanned drawdown from reserves at year end. Ensuring engagement at local, regional and national level in round table and working groups to keep abreast the spending review, Business Rates retention and new funding formulas for Local Government. To ensure funding for Bristol is maximised and impact of changes are fed into our long term financial planning and strategic planning. Ensure that there are sufficient reserves available to provide the Council with some resilience to material variations in spend forecasting and economic shocks. We will carry out frequent re-assessment of service delivery risks and opportunities and risk and other reserves.</p>	1	5	5
Risk Owner: Director of Finance (S151 Officer).	Action Owner: Director of Finance (S151 Officer), Chief Accountant.		Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.			

Corporate Risk Register as at June 2021 – Threat Risks to the achievement of Bristol City Councils Objectives.									
Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating
<p>CRR18: Failure to deliver enough homes to meet the City's needs. 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:</p> <ul style="list-style-type: none"> Not enough planning applications submitted. Not enough permission granted. Insufficient housing land identified in planning documents. Inability of the housebuilding industry to deliver at this level. Increased uncertainty in the market due to Brexit and Covid-19. 	<p>Granted planning permissions. Secured additional grant funding for infrastructure. Released land. Issued grants to Registered Providers (RPs). Established a Local Housing Company (Goram Homes). Secured funding from Homes England under HIF and Accelerated Construction and Community Development to release further housing land. Worked collaboratively with Homes England to maximise subsidy in schemes to provide as much affordable housing as possible. Required a minimum of 30% affordable housing on land released by the Council. Revised the Affordable Housing Grant Funding Policy to ensure it is relevant and assist the delivery of new affordable homes. Created a single multi-disciplinary Housing Delivery Team and additional capacity with Property, Planning, Highways and Legal.</p>	↔	3	5	15	<p>Monitoring and review the impact of the coronavirus on the Housing Market, on Housing Association and Developer Partners delivery Programmes. We refocus the HDT delivery programme to de-risk sites to create a pipeline of investable development opportunities to bring forward for development once the impact of Covid-19 on the housing market are clearer. We have ongoing active engagement with Housing Association Partners to offer enabling support and grant funding to increase the provision of affordable housing at every opportunity. Looking at ways in which the HRA development programme can be accelerated. We are addressing all areas of provision including: Community Led Housing (CLH), Registered Providers (RPs) and Direct Delivery, (New Council Homes). We are recruiting to new posts in the Housing Delivery Team. We are looking at opportunities to fund the acquisition of additional homes on development sites. Working Closely with Homes England to ensure additional subsidy is secured. Continue to promote the Affordable Housing Grant Funding Programme to maximise the opportunities to deliver affordable housing potentially unlocking stalled sites. We are considering amending the Affordable Housing Practice Note and Grant Funding Policy to stimulate delivery of affordable homes. Pipeline of site approved for Goram Homes to deliver around 1700 new homes</p>	3	3	9

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						New working arrangements between Housing Delivery Team and Development Management focussing on unlocking barriers to determination and accelerating permissions.			
Risk Owner: Executive Director Growth and Regeneration, Director Development of Place.	Action Owner: Director Development of Place.	Portfolio Flag: Housing.	Strategy Theme: Fair and Inclusive.						

Corporate Risk Register as at June 2021 – Threat Risks to the achievement of Bristol City Councils Objectives

Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
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<p>CRR23: Adult and Social Care (ASC) Transformation Programme 2020/21-2021/22</p> <p>Failure to deliver the required outcomes and savings from the ASC Transformation Programme.</p> <p>Key potential causes are:</p> <p>Wider factors impacting on demand.</p> <ul style="list-style-type: none"> Rapid increased demand and complexity due to COVID-19. Increase of needs due to more health services being delivered in the community without appropriate funding following the patient. Increased complex needs across our demographics that must be met under the Care Act 2014. <p>Wider factors impacting on supply.</p> <ul style="list-style-type: none"> Financial pressures on an already vulnerable provider market during sustained changes forced on provider during COVID-19. Time to commission and embed alternative Tier 3 services as another option to traditional care homes, such as Extra Care Housing, supported Living, shared lives Time to commission and develop genuine step up/ step down alternatives to Tier 3 long term care (Home first, VCSE, reablement for all). Ability to joint fund this supply using the BCF with NHS (National Health Service) partners working in an Integrated Care System model. Ability to prioritise the programme under one city plans and to have the corporate support and investment needed alongside ASC staff to deliver on the proposed solutions 	<p>New transformation programme board chaired by Cabinet Member for Adult Social Care with the Chief Executive and Executive Director and DASS meet monthly to keep the focus and impetus on the aims and objectives of the programme.</p> <p>A set of ASC POWERBI accelerators have been developed delivering a detailed understanding of activity and cost across the services delivered to support DMT in building the right solutions and having the evidence of the impact their decisions are having on service numbers and cost.</p> <p>Improving Pricing Control - Procured Care Cubed and written to providers to notify them that we will be negotiating rates based on the national care funding calculator. New processes are just being established for how care cubed will be used operationally.</p> <p>Improving Business Intelligence - ASC are leading the corporate objective to move our performance management onto PowerBI. Working with the Intelligent-I team the transformation team are creating a number of sophisticated ASC dashboards which will open ASC data to staff. Giving staff the tools, they need for proactive performance management to become everybody's business. Work is planned to be ongoing with intelligent-I until August.</p> <p>Improving ASC process issues - To drive the right behaviour, we are working on a new Standard Operating Process (SOP) which can start to address issues which promote poor outcomes or move service users into Tier 3 services too soon.</p> <p>Making change everybody's business - New 'change Agent' roles have been established across the business to champion change. The first task is to work directly on the SOP with support from senior staff and to report back on what needs to happen into DMT (Department Management Team) in June.</p> <p>Realignment of operations - Care management are currently going through a consultation with staff about the realignment of teams into the wider system 'Integrated Care Partnerships' (ICP) model for community health and care delivery. This will help ASC align closer to community health partners such as Sirona and Primary care Networks but also start to develop a more robust locality model offering a greater range of Tier 1 and 2 services working closely with the VCS.</p> <p>Inhouse services reviewed - ASC are working with Mutual Ventures to review our £15m of in-house service provision. Each service is unique and brings different benefits. We are looking to create future 'road maps' for each service that will then be taken through the key decision pathway to get authority to proceed with the modernisation of these services (report due in May)</p> <p>Business cases drafted -Two overarching business cases are being drafted for the department. One for older people (over 65) and one for adults with long term conditions (18-64). These contain the narrative about our priorities and the transformation we want to see.</p> <p>Dashboards created - The team have worked with commissioning and care management to pull out the top priorities for transformation work over the next 12 months. These will be shared with staff and be the golden thread for ASC that link the more detailed business cases to a clear set of actions. We have taken the programme into Exception in August due to COVID pressures and need for more dedicated capacity to be able to deliver the solutions set out in the programme.</p>	↔	4	5	20	<p>The programme is currently undergoing a Deep Dive review by corporate services as the Transformation team have taken the programme into exception due to COVID pressures and the need for more dedicated resource and investment to address the more long-term strategic solutions.</p> <p>In the interim a number of immediate actions have been taken to address the budget pressures on ASC:</p> <ul style="list-style-type: none"> All new cases to be referred to Reablement before a longer-term package of care is agreed, increasing the amount of cost avoidance as a result of delaying or avoiding the need for more long-term care Brokerage to take up to 5 days to secure best value care packages (for non-urgent needs) Authorisation of high-cost packages: <ul style="list-style-type: none"> Additional scrutiny from Deputy Directors for Commissioning and Operations for all placements over £1000 SM to sign off and quality control of cases to be booked into Case Discussion Forum (including ensuring that practitioners have explored all alternative care options before referral to CDF) Prioritise reviews of all relevant packages that have been set up during COVID, with additional COVID related spend Increase referrals to the TEC team (based on specific targeted cohorts e.g. night time care in Supported Living) Single point of coordination for all CHC joint funded and single funded packages Ensuring that brokerage and commissioning staff work closely with Care Management when agreeing care packages, which will be further embedded when locality model is introduced (from September) 	1	5	5
Risk Owner: Stephen Beet	Action Owner: Stephen Beet	Portfolio Flag: Adult Social Care.	Strategy Theme: Our Organisation, Empowering others and Caring, Fair, and Inclusive, Well connected, Wellbeing.						

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Corporate Risk Register as at June 2021 – Threat Risks to the achievement of Bristol City Councils Objectives.									
Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating
<p>CRR25: Suitability of Line of Business (LOB) systems. The Councils reliance on legacy systems.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> Lack of desire to change, systems. Significant transition activity leads to systems being. Expensive/complex to change. Lack of understanding of consequences of not changing systems on ICT. Lack of adherence to Procurement rules in relation to re-procurements. 	Initiated audit of all council Line of Business (LoB) systems.	↔	4	5	20	<p>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 regarding those systems which may perpetuate a Cyber Security or Information Management risk. Ensure that Line of Business (LOB) systems that pose a Cyber Security, Procurement or Resilience/Recovery risk are identified and service areas understand the risks to their services.</p> <p>Where appropriate ensure that these risks are articulated to Risk, BCP and procurement colleagues, and to the SIRO, as appropriate.</p>	2	5	10
Risk Owner: Director, Digital Transformation, 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.				

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Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
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<p>CRR26: Resilience. The Councils ability to deliver critical and key services in the event of ICT outage. Councils should be able to recover in the event of system and/or data loss.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> Poor Business Continuity (BCP) planning and understanding of key system architecture. Untested Disaster Recovery (DR) arrangements including data recovery. Untested network reconfiguration to alleviate key location outage. Untested recovery schedules in terms of order and instructions. Lack of resilience available for legacy systems (single points of failure - people and technology). Services undertaking their own IT arrangements outside of the corporate approach. 	<p>Some DR/BCP actions are covered by Future State Assessment (FSA)/ IT Transformation Programme (ITTP).</p> <p>We have moved critical systems to the cloud with more effective DR.</p> <p>Application audit have commenced with a view to highlighting those systems with the highest risk.</p>	↔	2	7	14	<p>We are continuing to review Disaster Recovery (DR) options for any systems which will not be moved to the cloud.</p> <p>Highlighting to service areas where applications may be vulnerable and advising on likely timescales for disruption to enable appropriate BC planning.</p>	2	5	10
Risk Owner: Chief Executive, Director, Digital Transformation, Service Area Leads.	Action Owner: Director, Digital Transformation.	Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.				

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<p>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.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Overspend on individual schemes leading to uncontrollable cost pressures. • Underspend on annual profile. • Lack of coordination and programme management across divisions. • Covid-19. 	<p>Transport Programme Team and Delivery Board established.</p> <p>Shared paperwork and highlight reporting process initiated.</p> <p>Regular briefings and reporting to senior management and cabinet members.</p> <p>5-year capital programme mapping process underway.</p> <p>Regular reviews with directors taking place, workshop carried out to examine governance and further improvements to processes.</p>	↔	3	3	9	<p>COVID-19 lockdown has restricted progress of all non-essential capital programme schemes. This is in part due to the non-essential nature of schemes but also down to the inability to carry out site surveys, engage and consult appropriately and to process TROs. We have restarted processing TROs following revised government guidance. We are also reviewing the whole programme in light of the challenges posed by COVID-19.</p> <p>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.</p> <p>We continue to develop Transport Planning Team (TPT), Transport Programme Delivery Board (TPDB) and highlight report processes which are governed by the Growth and Regeneration (G&R) Board (monthly meeting).</p> <p>5 Year mapping ongoing.</p> <p>The Emergency Active Travel Fund (EATF) announced by the Department for Transport (DfT) has meant reprioritising resource to deliver cycle schemes and social distancing across the city. This has and will inevitably lead to some profiling and adjustment of the programme. This is ongoing, it is likely that funds can be carried forward to next year and that some funds will be allocated to supporting EATF schemes.</p> <p>All schemes restarted and works progressing well. 6-month review has highlighted schemes that are behind programme and re-profiling taking place currently.</p>	2	3	6
Risk Owner: Executive Director Growth and Regeneration, Director Economy of Place.	Action Owner: Director Economy of Place.	Portfolio Flag: Communities.			Strategy Theme: Our Organisation, Wellbeing.				

Corporate Risk Register as at June 2021 – Threat Risks to the achievement of Bristol City Councils Objectives.									
Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating
<p>CRR29: Information Security Management System (ISMS) 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.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Ineffective Information Security Management System, inadequate resources to create and maintain an ISMS, management buy in and support to operate an ISMS. 	<p>We have worked with Information Governance Board (IGB) and ICT on introducing and/or designing an ISMS aligned to ISO 27001.</p> <p>IG team now have an operational level risk register that is being used to track local operational risks further aligning ourselves with best practice.</p> <p>Implementation training has been conducted for Information Security and Audit training has also been conducted with Internal Audit colleagues.</p> <p>Policies are signed off and roll out plan work continues as part of GDPR Phase 2 project.</p>	↔	4	5	20	<p>New and updated policies are being rolled out with oversight from IGB Information Governance Tool will support the roll out and wider awareness and communications.</p> <p>Gap analysis and roll out have been included as a workstream within GDPR Phase 2 project.</p>	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 June 2021 – Threat Risks to the achievement of Bristol City Councils Objectives									
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<p>CRR32: Failure to deliver enough affordable Homes to meet the City's needs.</p> <p>Strategies and delivery models designed to further stimulate growth in the housing market and deliver diversity of the housing in the City prove to be ineffective.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Subsidy availability. • Insufficient land available. • Uncertainty in the housing market as a result of Covid-19. • Not enough planning applications submitted. • Not enough permission granted. • Inability of the housebuilding industry to deliver at this level. • Increased uncertainty in the market due to Brexit. • Lack of capacity within the council's delivery system and the local market. • Insufficient housing land identified in planning documents. 	<p>Continue to deliver a grant funding programme to subsidise the delivery of affordable homes.</p> <p>Working collaboratively with Homes England to maximise subsidy in schemes to provide as much affordable housing as possible.</p> <p>Requiring a minimum of 30% affordable housing on land released by the Council.</p>	↔	4	7	28	<p>Promote Affordable Housing Grant Funding.</p> <p>Working Closely with Homes England to ensure additional subsidy is secured.</p> <p>Identifying opportunities to acquire additional affordable homes off the shelf.</p> <p>De-risk the outstanding allocated sites in the City to prepare a pipeline of investable development opportunities for future delivery.</p> <p>Ensure affordable Housing is negotiated to policy requirement on all eligible housing sites.</p> <p>New frameworks for working collaboratively to resolve issues that exist on Residential planning applications and conditions discharge.</p> <p>Review & amendment of Affordable Housing Practice note in 2021/22.</p>	4	3	12
Risk Owner: Executive Director Growth and Regeneration, Director Development.	Action Owner: Director Development of Place and Head of Housing Delivery.	Portfolio Flag: Communities.			Strategy Theme: Fair and Inclusive.				

Corporate Risk Register as at June 2021 – Threat Risks to the achievement of Bristol City Councils Objectives.									
Risk title and description	What we have done	Performance	Current Risk Level			Tolerance Risk Level			
			Likelihood	Impact	Risk Rating				
<p>CRR34: Corporate Equalities. The Council does not meet its ambitions or legally required standards for good practice on equality and inclusion. The Council fails to meet its statutory duties under the Equality Act 2010.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> Lack of consistent council-wide knowledge on the Public Sector Equality Duty and how to take equalities into consideration. Gaps in available data and analysis to understand potential impacts of decision making. Compliance driven rather than understanding based on good analysis. High turnover of staff resulting in loss of knowledge/institutional memory. Institutional racism and structural inequality in the council, city, and society as a whole. Under-representation of key demographics in the workforce, particularly within senior roles. 	<p>The work of mainstreaming and embedding equality and inclusion is well underway. A recent Local Government Association Equality Framework for Local Government Peer Review identified strengths in the Council's strategic leadership on this issue and noted much good progress against its plans, but did identify a greater need to map and report activity (both Council and City-wide) together, and that more work is needed to fully embed good equality and inclusion practice systematically at an operational level across the organisation.</p> <p>The disproportionate impact of Covid-19 on Black, Asian and minority ethnic groups has been recognised and is managed by a focused race equality group within the council's governance structure for managing the impacts of the pandemic.</p> <p>We are:</p> <ul style="list-style-type: none"> Completing our annual progress reporting against our Equality and Inclusion Strategy, including a closure report for our Advancing Equality and Inclusion Action Plan 2020. This Action Plan was subject to an internal audit in Q4 20/21, providing reasonable assurance overall and substantial assurance in terms of monitoring progress. Starting programme mapping of Council and City-wide equality and inclusion initiatives and activities. Having on-going city conversations on race equality. Working on the establishment of a new Mayoral Commission for disability equality. 	↔	1	5	5	<ul style="list-style-type: none"> Implementing the recommendations from the LGA Equality Framework for Local Government, including mapping out an E&I programme in line with Corporate Strategy. Taking the Annual Report for the E&I Strategy to Full Council and publishing it - along with a completion report in the Advancing Equality and Inclusion action plan. Completing the Positive Action Toolkit. Holding Race Equality Gatherings. Holding a meeting of the Strategic E&I Governance Group. Recruiting the Chair for the Disability Equality Commission. Refreshing the Council's overall Corporate Strategy with a focus on equality and inclusion as a cross-cutting priority area. 	1	5	5
Risk Owner: Director Policy, Strategy & Partnerships.	Action Owner: Director Policy, Strategy & Partnership, Head of Equality, and Inclusion.	Portfolio Flag: Finance, Governance and Performance.	Strategy Theme: Our Organisation.						

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Corporate Risk Register as at June 2021 – Threat Risks to the achievement of Bristol City Councils Objectives.									
Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
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<p>CRR35: Organisational Resilience Emerging risks, disruptions and disturbances can threaten the operations and reputation of the Council. Acute shocks and the impact of chronic stresses result in crises which are becoming an everyday occurrence. The landscape in which the council operates is rapidly and continually changing, often unpredictably.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Environmental Hazards. • Economic and Social Change. • Geo-Political Change. • Natural Disasters. • Climate Change. • Health / Disease Risk. • Terrorism. • Cybercrime. 	<p>Progress is being made, including running the Service/Business Planning 2021/22 process enabling longer term consideration of the risk and mitigations. However, our progress is largely offset by external factors such as the continuing Covid crisis. Corporate Leadership Board approved additional temporary staffing for under-pressure teams across December 2020 - March 2021, some of which has continued in to 2021/22 where there is available funding or mitigation to enable it to continue.</p> <p>In the past quarter we have reviewed Recovery progress and a wide evidence base as part of preparing for an update of the Council's medium term Corporate Strategy and Medium-Term Financial Plan, and we have identified a need to review business continuity planning to gain assurance on its effectiveness, ensure lessons from Covid-19 response are built in, and that in key business areas these plans are actively rehearsed.</p> <p>Plans to create a Strategic Crisis Management Plan are on hold whilst the Corporate Resilience Group is re-scoped and relaunched, enabling it to take on board Covid-19 response learning as part of developing this Plan.</p>	↔	3	7	21	<p>Response to Covid is continuing and as further easing of restrictions occurs it is possible new or additional business continuity risks or issues will emerge, such as self-isolation rates affecting front-line services.</p> <p>Business continuity plans are being reviewed and more testing of these undertaken as part of a longer-term programme to provide assurance on continuity arrangements. Given the scale of services the Council provides, this will need to be undertaken in a prioritised and targeted way.</p> <p>Work will be undertaken to prepare a new Corporate Strategy which includes design principles for the organisation and what its priorities are for the coming 3-5 years, making it central to both resilience and recovery planning as they become part of 'business as usual' within the context of the so-called 'new normal'.</p> <p>Work is also being done to reinvigorate the Corporate Resilience Group and take on-board learning from the prolonged Covid-19 response in how we manage resilience and plan for the future.</p>	2	5	10
Risk Owner: Chief Executive	Action Owner: Director Policy, Strategy & Partnerships	Portfolio Flag: Finance, Governance and Performance.	Strategy Theme: Our Organisation, Empowering and Caring, Fair, and Inclusive, Well Connected, Wellbeing						

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<p>CRR36: Failure to make sufficient progress against the findings from Ofsted’s 2019 inspection of SEND (Special Education Needs & Disability) leading to:</p> <ul style="list-style-type: none"> The OFSTED reinspection resulting in requirement for accelerated improvement plan worsening of parental confidence in Bristol’s SEND system and associated reputational damage / increased potential litigation / Judicial Reviews <p>Risks to delivery of the Ofsted approved recovery plan (March December 2019 to July 2021) forming the Written Statement of Action (WSOA) following the SEND local area OFSTED inspection in 2019 and subsequent action plans (2021 onwards).</p>	<p>Independently chaired SEND improvement Board meets bi-monthly to oversee improvement progress. Multi agency delivery group ‘SEND Partnership Group’ (SPG) includes social care, health, and schools meets monthly and reports to the improvement Board.</p> <p>Delivered the 1st phase of the SEND improvement journey through the Written Statement of Action to its formal conclusion in July 2021. 89% of July milestones were achieved or on track for the autumn. The 11% not achieved are all underway and have new timeframes agreed through the Local Area SEND governance arrangements. DFE monitoring of WsoA concluded and overall impressed with achievements and how well the council and its partners are working together to address all areas of weakness.</p> <p>Implemented quality assurance activity, including routine service user feedback and improved data capture and quality, enabling the development of robust data sets that have enhanced operational and strategic performance management and enabled better service planning to meet demand.</p> <p>Investment in key priority areas such as additional staff in statutory SEND and EP team. Re-structured and re-focused the work of the statutory SEND team. All EHCP systems and processes reviewed and remodelled with parent carers, including co-production of a new EHCP template and child centred model of assessment.</p> <p>Focused on early identification and intervention to reduce demand for statutory EHC Plans e.g. training and guidance for schools staff and leaders relating to their responsibilities for meeting the needs of children and young people with SEND.</p>	↔	2	5	10	1	5	5
Risk Owner: Hugh Evans, Alison Hurley	Action Owner: Alison Hurley	Portfolio Flag: Education and Skills.	Strategy Theme: Our Organisation, Empowering and Caring, Fair, and Inclusive, Well Connected, Wellbeing					

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<p>CRR37: Homelessness The risk that homelessness and the subsequent cost of providing emergency short term accommodation will continue to rise.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • The ending of the eviction ban. • Economic impact of COVID-19, unemployment rising leading to an increase in evictions from private rented tenancies. • COVID 19 and lockdown leading to an increase in mental health issues, family relationship breakdown and domestic violence & abuse. 	<p>Continuing to progress the One City move on project, which is delivering additional move on accommodation for people that are homeless. This includes:</p> <ul style="list-style-type: none"> - Securing funding through the first two rounds of the rough sleeper accommodation programme and have submitted a bid for the third round <p>Successfully moved on most households placed in Temporary Accommodation through our everyone in initiative. This has reduced the number of households from a peak of 1122 to 930.</p> <p>Initiated a project with the aim of reducing the net unit cost of Temporary Accommodation. Opportunities being explored and prioritised.</p> <p>Ongoing work with the wider homelessness sector, advice agencies and key partners identifying opportunities to work collaboratively around early intervention and the prevention of homelessness.</p> <p>Bristol has secured a £3.3 million grant from the Ministry of Housing, Communities and Local Government’s (MHCLG) three-year ‘Changing Futures’ scheme. Delivery starts now and runs until March 2024.</p> <p>We have been working closely with commissioners of domestic abuse services and providers to support move on from refuge accommodation.</p>	↔	4	5	20	3	5	15
<p>Risk Owner: Executive Director Growth and Regeneration, Director Housing.</p>	<p>Action Owner: Director Housing.</p>	<p>Portfolio Flag: Housing.</p>	<p>Strategy Theme: Our Organisation, Empowering and Caring, Fair, and Inclusive, Well Connected, Wellbeing.</p>					

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Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating
<p>CRR39: Adult and Social Care major provider/ supplier failure</p> <p>Failures or closures in the supply chain mean insufficient supply to source adequate appropriate support and meet Care Act needs.</p> <p>Key potential causes could be as follows.</p> <ul style="list-style-type: none"> Major national care home provider goes into liquidation or starts to sell care homes. Major local provider/unable to meet demand due to recruitment / workforce/ or organisational issues. <p>Major providers become financially sustainable due to economic context. (COVID-19) Additional costs and pressures on market arising from additional impact on supply.</p>	<p>Multi agency support for providers to address impact of pandemic. Regular review of supply and sustainability issues part of weekly SITREP provided by commissioning. Strong contract and performance management including quarterly corporate reporting. Provider Financial sustainability process provides evidenced understanding of issues for strategically important providers. Work on managing market prices based on open book cost of care processes.</p>	↔	2	7	14	<p>Business cases reviewing appropriate investment to ensure supply key provision. Leading role in work across BNSSG re provider market. Support VCSE to work alongside formal supply.</p> <p>Timely distribution of Government funding (e.g., Infection Control Fund) and use of LA (Local Authorities) discretionary payments to support providers. Innovative use of Workforce Capacity fund to support bank staff project and wellbeing and resilience training for care workers, funding for Proud to Care projects.</p> <p>Continued and increased QA (Quality Assurance) team intervention and prevention work with providers. Fortnightly liaison meetings with CQC and CCG reps and closer working with neighbouring authorities. Fortnightly meetings with Care Provider association and key city providers to assess and plan risks to the sector and wider monthly provider forum.</p> <p>Review of Provider Financial Sustainability process- updating of paperwork and process more transparent and collaborative with providers as new factors emerging (e.g. rising insurance costs, Brexit). Updating of continuity plan and Provider Failure policy to address impact of pandemic.</p>	2	7	14
<p>Risk Owner: Executive Director People, Director Adult Social Care.</p>	<p>Action Owner: Director Adult Social Care.</p>	<p>Portfolio Flag: Adult Social Care.</p>			<p>Strategy Theme: Our Organisation, Empowering others and Caring, Fair, and Inclusive, Well connected, Wellbeing.</p>				

Corporate Risk Register as at June 2021 – Threat Risks to the achievement of Bristol City Councils Objectives.									
Risk title and description	What we have done	Performance	Current Risk Level			Tolerance Risk Level			
			Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating	
<p>CRR40: Unplanned Investment in Subsidiary Companies BCC'S investments in subsidiaries may require greater than anticipated capital investment.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Failure to have effective corporate governance arrangements in place in one or more of the companies. • Failure to ensure the right leadership with the right skills across the Companies. • Business Failure due to severe economic downturn caused by external factors (incl. Pandemic & Brexit). • Service delivery failure as a result of specific market changes (e.g., recycle market, housing market), failure to secure planning etc. • Delivery of BE2020 wind up within financial envelope. • Legislation changes. 	<p>A Governance Review has been commissioned to consider the governance arrangements in respect of the companies and any potential amendments that may be required to the associated governance documents.</p> <p>The Terms of Reference for the Shareholding Group (SHG) have been updated.</p> <p>Audit & Risks Committee (ARC) established across the companies to review internal controls, governance and risks management and have along with the SHG overseen the establishment of a risk management framework.</p> <p>Annual business plans have been submitted for BHL, BWC and Goram Homes outlining their financial position, outlook and 21/22 investment requirements. 21/22 plans have been approved by Cabinet and delivery against plan reviewed by BHL and SHG.</p> <p>Shareholder support has been secured for key appointments and reserved matters published.</p> <p>Pandemic financial pressures are managed over the medium term for eligible response expenditure.</p> <p>Effective engagement is occurring with BHL re reserved matter decisions and wider engagement with BCC Client teams to review performance of the companies and set clear KPIs.</p> <p>Working capital facilitates (repayable loans) are in place as agreed within the relevant business plans and provision available to support the assumptions for winding up of BE2020. Cashflow are monitored in line with the agreement for requesting draw downs.</p> <p>Specialist advisors are working alongside BE2020 and BHL to finalising the windup of the company.</p>		3	5	15	<p>Following the Council's external auditors review of Governance arrangements for subsidiary companies an action plan is in place to improve Governance and risk management arrangements. A number of actions are ongoing or in the process of being implemented with completion expected by October 2021. SHG will regularly review delivery of agreed actions from the governance review.</p> <p>BCC / BHL will conclude the work underway to improve the alignment of risk management arrangements and monitoring of risk – June 2021.</p> <p>ARC will report annually to BCC Audit Committee on the effectiveness of internal controls, governance and risks – in line with BCC Audit Committee workplan.</p> <p>Board Effectiveness reviews to be part of BHL annual workforce planning – ongoing.</p> <p>Business plan for Bristol Heat Network BHN is in the process of being finalised. – date TBC.</p> <p>Continued monitoring of the impact of Covid / Brexit on the business and adaptive approach being proposed for optimising emerging opportunities and mitigating pressures – ongoing.</p> <p>Effective engagement with BHL re reserved matter decisions and wider engagement with BCC Client teams to review performance, quality and set clear KPIs – ongoing.</p> <p>Weekly progress review provided and regular review of assumptions, cash flow and risks – ongoing.</p>	1	7	7
Risk Owner: Chief Executive and S151 Officer.	Action Owner: Director Finance, Director Legal and Democratic Services.	Portfolio Flag: Finance, Governance and Performance.	Strategy Theme: Our Organisation, Empowering and Caring, Fair, and Inclusive, Well Connected, Wellbeing.						

Appendix A: Bristol City Council – Corporate Risk Report Q1 2021/22

Corporate Risk Register as at June 2021 – Threat Risks to the achievement of Bristol City Councils Objectives.									
Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating
<p>CRR41: Long Term Major Capital Projects. BCC'S long-term major capital projects may require greater than anticipated investments.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • The cost is higher than expected. • The project is delivered later than planned. • The operating and maintenance cost of the asset exceeds expectations. • Strategic, geographic, social, financial, and economic conditions changing over time. • Oversight of Project Interdependencies not well managed. • Insufficient in-house resources to progress major projects lead to missed opportunities to leverage third party investment. • Failure to anticipate and secure investment and resources to deliver enabling works and infrastructure. 	<p>Corporate Leadership Board (CLB) / Capital and Investment Board (CIB) meets on a monthly basis and has an oversight and stewardship role for the delivery of the Capital Programme and investments.</p> <p>The Growth and Regeneration (G&R) Board meets monthly and is a strategic forum for the review and monitoring of regeneration assets and growth programmes and projects – enabling effective decision-making and ensuring alignment with the wider objectives of the Council.</p> <p>The G&R Board has identified a number of Areas of Growth and Regeneration (AGR) across the City to enable place shaping and contribute to regeneration, affordable housing, community building and the financial sustainability of the Council and the AGR are regularly reviewed and re-prioritised by the G&R Board.</p> <p>The Covid-19 pandemic continues to impact on the delivery of some major projects owing to restrictions placed on based working, supply chain partners furloughing staff, and building material suppliers only delivering to critical construction projects.</p> <p>Capital Strategic Partner, Arcadis, appointed in February 2021 and mobilisation phase concluded in May 2021. A dedicated Programme Director from Arcadis attends the Growth and Regeneration Executive Director Meetings (EDM) and G&R Board; and the programme has started to deliver.</p> <p>The introduction of enhanced highlight and exception reporting at the G&R Board has had a positive impact on overall 'grip' of the portfolio. Project officers now routinely come to G&R board to provide an overview of progress on an exception basis.</p>	↔	4	7	28	<p>We have done and we continue to review and prioritise / re-prioritise programmes and projects and other deliverables in the light of the on-going global Covid-19 pandemic, as well as assessing its impact on long-term commercial investments and major capital project delivery.</p> <p>The recent appointment of the Capital Strategic Partner is starting to have an impact on the performance culture across major capital programmes. There will be quarterly review meetings between BCC's Senior Leadership and the Strategic Partner to review performance and progress with Capital Programme delivery.</p> <p>Workshops organised in July 2021 to review and refresh the Capital Programme. To be followed in August 2021 by a similar workshop to review Capital receipting/disposal. There will be a more comprehensive review/reset of the Capital Programme as part of the annual service planning process in the Autumn 2021.</p> <p>Work is on-going in conjunction with the Strategic Partner to enhance and improve Programme and Project reporting. This work feeds into the CIB process to create a stronger sense of joined up programme management across BCC. In addition, we are trialling a recommended approach to embedded assurance with some key Capital Projects.</p>	1	7	7
<p>Risk Owner: Executive Director Growth and Regeneration.</p>	<p>Action Owner: Executive Director Growth and Regeneration and Director Economy of Place.</p>	<p>Portfolio Flag: Mayor and Finance, Governance and Performance.</p>	<p>Strategy Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.</p>						

Corporate Risk Register as at June 2021 – Threat Risks to the achievement of Bristol City Councils Objectives.									
Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating
<p>CRR42: Provision of Leisure Services</p> <p>The ability to provide suitable leisure services to the Community of Bristol.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Service closure due to Covid 19 • Procurement timescales 	<p>We have carried out modelling to forecast the cost of maintaining the SLM leisure management contract once leisure centres re-open on the 12th April has a forecast deficit for April 1st 2021 to March 31st 2022 between £0.600m to £1,181m.</p> <p>Funding for the in-year cost pressure due to Covid has been identified and was approved by Cabinet in June to ensure continuation of provision up till March 2022.</p>	↑	2	7	14	<p>Finances are reviewed monthly to get actual figures.</p> <p>The design and procurement process and options are being scoped, including the investment strategy. This will be brought forward to Cabinet in September.</p>	2	5	10
Risk Owner: Executive Director People, Director Adult Social Care.	Action Owner: Director Public Health	Portfolio Flag: Adult Social Care.			Strategy Theme: Wellbeing.				

Appendix A: Bristol City Council – Corporate Risk Report (register of risk summary) Q1 2021/22

Corporate Risk Register as at June 2021 – Opportunity Risks to the achievement of Bristol City Councils Objectives.									
Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating
<p>OPP1: One City Approach. The One City Approach will offer a new way to plan strategically with partners as part of a wider city system.</p> <p>Key potential causes:</p> <ul style="list-style-type: none"> • Mayoral aspiration and widespread partner sign-up to the principle. • Work to date has produced outline plan and engaged partners in the long-term vision and necessary work to complete the plan. 	<p>As part of the response to Covid-19, a One City Approach has been used to coordinate a 'One City' response, helping to bring together leaders from key city institutions around shared priorities, using relationships developed through the work of the City Office to improve stakeholder engagement and communications.</p> <p>We have worked closely with all Boards to update the One City Plan timelines ahead of a v3 Plan launch in June 2021, and also continue to collaborate on a city-wide approach to Covid-19 Recovery. We have reviewed longer term funding and governance options and are taking forward conversations with partners in January 2021 about this.</p> <p>We have produced v3 of the One City Plan and produced our second annual report available on the One City Website from 12 June 2021. A new culture board and Children and Young People's Board have been established. Conversations have been had with all anchor institutions over funding. More formalised working arrangements with City Funds have been established. City Office continues to support the Covid 19 response and Recovery.</p>	↔	3	7	21	<p>We are working on sustainable long-term funding models and a more ambitious 'core' City Office offer and resource to maximise benefits of the One City Approach.</p> <p>We continue to:</p> <ul style="list-style-type: none"> • Set up a Partnership Board to oversee the work of the City Office and developing MOUs with wider range of partners to further formalised working arrangements. • Negotiate with partners on funding arrangements. • Create a One City Digital Board. • Produce a City Office team mandate to outline the functions of the team for partners. • Develop more detailed metrics for impacting tracking of activity. 	4	7	28
Risk Owner: Director Policy, Strategy and Partnerships.	Action Owner: Director Policy, Strategy and Partnerships.	Portfolio Flag: Mayor.			Strategy Theme: Our Organisation.				

Corporate Risk Register as at June 2021 – Opportunity Risks to the achievement of Bristol City Councils Objectives.									
Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating
<p>OPP2: Corporate Strategy. The approved Corporate Strategy presents an opportunity to fundamentally refresh and strengthen our business planning, leadership, and performance frameworks.</p> <p>Key potential causes:</p> <ul style="list-style-type: none"> • Approved Corporate Strategy provides the foundation and direction for the organisation. 	<p>We have approved and adopted the Corporate Strategy, Business Plan 2021/22 and associated Performance Frameworks through appropriate Decision Pathways.</p> <p>Commenced work on reviewing the corporate strategy for approval of refreshed strategy during the year.</p> <p>Reviewed organisational design principles and ways of working as part of thinking ahead to a 2021/22 update to the Corporate Strategy.</p>	↓	2	7	14	<p>The current Corporate Strategy is well embedded and whilst capacity to deliver all outcomes is limited, there is a much greater focus on project prioritisation against the Strategy and commensurate improvements in public satisfaction year-on-year since its inception.</p> <p>In light of performance outturn reporting of 2020/21, the likelihood of this opportunity has been downgraded to reflect the results – which were clearly impacted by Covid-19 and pivoting our organisational focus towards managing the pandemic response and recovery.</p> <p>Overall our level of preparedness for this opportunity is reduced due to many external factors – including the pandemic, EU Exit and national policy – having changed the environment in which we work. This is a key driver to update the overall Corporate Strategy and look ahead to our needs over the next five years, which will help strengthen our level of preparedness and the likelihood of this opportunity manifesting. Work has begun on this process, including early engagement and a desktop review of evidence.</p>	4	7	28
Risk Owner: Director Policy, Strategy and Partnerships.	Action Owner: Director Policy, Strategy and Partnerships.	Portfolio Flag: Finance, Governance and Performance.			Strategy Theme: Our Organisation.				

Appendix A: Bristol City Council – Corporate Risk Report (register of risk summary) Q1 2021/22

Corporate Risk Register as at June 2021 – Opportunity Risks to the achievement of Bristol City Councils Objectives.									
Risk title and description	What we have done	Performance	Current Risk Level			Tolerance Risk Level			
			Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating	
<p>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.</p> <p>Key potential causes:</p> <ul style="list-style-type: none"> • Potential development of second devolution deal. 	<p>We are engaging with HM Government and WECA as well as working alongside other combined authorities and core cities on potential devolution options. There are risks that devolution takes a different turn following Covid-19 pandemic.</p> <p>There have been delays in the Government publishing its Devolution White Paper.</p> <p>We continue to monitor developments and can take advantage of opportunities when they arise.</p>	↔	3	7	21	<p>We will continue to engage with WECA at strategic level.</p> <p>We will continue to engage with HM Government on devolution opportunities, following up on specific spending review asks and engagement on the development of the Western Gateway.</p> <p>We have commissioned an Independent Economic Position Statement for the Western Gateway and recruiting to Secretariat resource. We will continue to engage partners and HM Government on this project.</p>	3	7	21
Risk Owner: Chief Executive.	Action Owner: Director Policy, Strategy and Partnerships.	Portfolio Flag: Finance, Governance and Performance.	Strategy Theme: Our Organisation.						

Appendix A: Bristol City Council – Corporate Risk Report (register of risk summary) Q1 2021/22

Corporate Risk Register as at June 2021 – External / Civil Contingency Risks to the achievement of Bristol City Councils Objectives.									
Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating
<p>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 flood events.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Tidal surge, heavy rainfall, and river flood events. • Impact of climate change. • Lack of effective flood defences and preparedness for major incidents. • Failure of existing flood defences. 	<p>Bristol has in place a local Flood Risk Management Strategy which comprises of 5 key themes and 43 separate actions in line with Environment Agency's national strategy. The Strategy has used outputs from a number of key studies (which identify the risk of flooding to the city) to structure our response to flood risk management, from emergency management to flood mitigation schemes, summarised below.</p> <p>The Avon and Somerset Local Resilience Forum (LRF) is a partnership of all the organisations needed to prepare for an emergency in the LRF area. It includes the emergency services, health services, Maritime and Coastal Agency, Environment Agency, volunteer agencies, utility companies, transport providers and the five councils of Bath and North East Somerset, Bristol, North Somerset, Somerset, and South Gloucestershire.</p> <p>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 provides guidance to members of the public about flooding, including flood warnings and what people can do to help themselves. We undertake regular and emergency maintenance and clearing programs of gullies and culverts, especially in advance of storm warnings.</p> <p>Work is ongoing with the Environment Agency and South Gloucestershire Council to construct new sea defences in Avonmouth and Severnside, which take account of climate change and sea level rise.</p> <p>A Strategic Outline Case for managing the risk of flooding from the river Avon to the city centre over the next century was approved by Cabinet in June 2021. The approved strategic approach is to construct new defences and / or raise the level of existing defences along the banks of the river Avon. The Environment Agency approved the SOC and the scheme has been given a £2m approval for further work to develop the Outline Business Case.</p> <p>We have been successful in our expression of interest to participate in the DEFRA Innovation and Resilience programme. This programme allocates approximately £6m to 25 areas to undertake innovative actions to increase resilience to flooding from 2021 – 2027.</p>	↔	3	5	15	<p>There is sustained resourcing and delivery of all actions in Local Flood Risk Management Strategy (LFRMS) over life of strategy. Strategy includes the following key projects and objectives:</p> <ul style="list-style-type: none"> • Working in partnership with the Environment Agency to complete and deliver the Bristol Avon Flood Strategy to protect the city centre and support sustainable development, including allowances for climate change. • Working in partnership with South Gloucestershire and the Environment Agency to deliver a flood scheme to help protect Avonmouth Village and the Enterprise Area from tidal flooding, including allowances for climate change. • Promote minor sized schemes and green infrastructure to reduce local flood risks. • Actively managing flood risk infrastructure. • Ensuring development is sustainable, seeks to reduce flood risk and includes consideration to climate change. • Working with South Gloucestershire and the Environment Agency to deliver a programme of innovation to increase communities resilience to flooding. 	3	3	9
<p>Risk Owner: Executive Director Growth and Regeneration, Director Economy of Place.</p>	<p>Action Owner: Director Economy of Place, Flood Risk Engineer.</p>	<p>Portfolio Flag: Energy, Waste and Regulatory Services.</p>	<p>Strategy Theme: Our Organisation, Empowering and Caring, Fair, and Inclusive, Well Connected, Wellbeing.</p>						

Corporate Risk Register as at June 2021 – External / Civil Contingency Risks to the achievement of Bristol City Councils Objectives.									
Risk title and description	What we have done	Performance	Current Risk Level			What we are doing	Tolerance Risk Level		
			Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating
<p>BCCC3: COVID-19</p> <p>A failure to respond and recover effectively to the Covid crisis will jeopardise the delivery of statutory duties across the Council, put the lives and welfare of staff and service users at risk, negatively impact Public health, adversely impact the business community of Bristol, lead to increased inequality amongst communities, create additional social anxiety, unmanageable demand on community, voluntary and public sector services, cause unnecessary expense, undermine Council finances and severely damage the Council's reputation.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Staff sickness, absence, and bereavement. • Surges in demand in key service areas, particularly social care, safeguarding, housing, community engagement, hardship, public health, and civil protection. • A lack of personal protective equipment for staff and providers. • Increased social anxiety and community tension. • Failure of key providers and contractors. • A lack of management control and oversight associated with home working. • Failure to identify and seize opportunities. • Changes in national guidelines. 	<p>The Council has moved at pace to change the way that it works across every Directorate and Service area:</p> <ul style="list-style-type: none"> • The response to Covid is managed through the Outbreak Management Group, Chaired by the Director of Public Health • The Local Engagement Board and Health Protection Committee were both established and have met regularly • Work to support the most vulnerable is ongoing • Work to enforce Covid regulations is ongoing • PPE supply chains have been stabilised and made more resilient • Additional body storage capacity has been realised • The organisation has established remote working practice wherever possible • Buildings have Covid secure risk assessments in place • Three Recovery Workstreams have been established – Community and People, Economy and Business and Organisational Change • Recovery Objectives are being monitored and managed through EDMs • We have worked in partnership through the One City Economy Board to produce an Economic Recovery and Renewal Plan • We are participating in a regional Strategic Recovery Group run by the Local Resilience Forum and in economic recovery initiatives hosted by the Combined Authority. • Learning from the multiple waves informs our ongoing response • Run 'surge testing' programme for Variant of Concern and applied learning from this • Conducted a region-wide Equality Impact Assessment to inform future planning and adapt current practice where required • Operated a 'Gold' Group chaired by Chief Executive during Major Incident phase(s) • The local outbreak response has been enhanced • Capital for a Community Resilience Fund has been established • We have increased the community development capacity in the short term and introduced a fortnightly Community Exchange to maintain conversation with communities 	↔	4	7	28	<p>We continue to work closely with Health Partners and Avon and Somerset Resilience Forum continues.</p> <p>Continued communication to partners, businesses and citizens continues.</p> <p>We continue to understand the ongoing Covid response and recovery in the context of the wider risk landscape of Brexit, winter pressures and the possibility of an unrelated concurrent emergency.</p>	2	7	14
Risk Owner: CLB	Action Owner: Chief Executive		Portfolio Flag: Corporate wide.			Strategy Theme: Our Organisation, Empowering and Caring, Fair, and Inclusive, Well Connected, Wellbeing.			

Risk Scoring Matrix

		Threat Impact (Negative risks)					Opportunity Impact (Positive Risk)				
Threat Likelihood	Almost certain	4 (Low)	12 (Medium)	20 (High)	28 (Critical)	28 (Significant)	20 (High)	12 (Medium)	4 (Low)	4	Almost certain
	Likely	3 (Low)	9 (Medium)	15 (High)	21 (High)	21 (High)	15 (High)	9 (Medium)	3 (Low)	3	Likely
	Unlikely	2 (Low)	6 (Medium)	10 (Medium)	14 (High)	14 (High)	10 (Medium)	6 (Medium)	2 (Low)	2	Unlikely
	Rare	1 (Low)	3 (Low)	5 (Medium)	7 (Medium)	7 (Medium)	5 (Medium)	3 (Low)	1 (Low)	1	Rare
		1	3	5	7	7	5	3	1		
		Minor	Moderate	Major	Critical	Exceptional	Significant	Modest	Slight		

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Threat Level	Opportunity Level	Level of Risk	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 all of the Categories, and the highest score used in the matrix).

Impact Category	Impact Levels 1 to 7			
	1	3	5	7
Service provision	Very limited effect (positive or negative) on service provision. Impact can be managed within normal working arrangements.	Noticeable and significant effect (positive or negative) on service provision. Effect may require some additional resource, but manageable in a reasonable time frame.	Severe effect on service provision or a Corporate Strategic Plan priority area. Effect may require considerable /additional resource but will not require a major strategy change.	Extremely severe service disruption. Significant customer opposition. Legal action. Effect could not be managed within a reasonable time frame or by a short-term allocation of resources and may require major strategy changes. The Council risks 'special measures'. Officer / Member forced to resign.
Communities	Minimal impact on community.	Noticeable (positive or negative) impact on the community or a more manageable impact on a smaller number of vulnerable groups / individuals which is not likely to last more than six months.	A more severe but manageable impact (positive or negative) on a significant number of vulnerable groups / individuals which is not likely to last more than twelve months.	A lasting and noticeable impact on a significant number of vulnerable groups / individuals.
Environmental	No effect (positive or negative) on the natural and built environment.	Short term effect (positive or negative) on the natural and or built environment.	Serious local discharge of pollutant or source of community annoyance that requires remedial action.	Lasting effect on the natural and or built environment.
Financial Loss / Gain	Under £0.5m	Between £0.5m - £3m	Between £3m - £5m	More than £5m
Fraud & Corruption Loss	Under £50k	Between £50k - £100k	Between £100k - £1m	More than £1m
Legal	No significant legal implications or action is anticipated.	Tribunal / BCC legal team involvement required (potential for claim).	Criminal prosecution anticipated and / or civil litigation.	Criminal prosecution anticipated and or civil litigation (> 1 person).
Personal Safety	Minor injury to citizens or colleagues.	Significant injury or ill health of citizens or colleagues causing short-term disability / absence from work.	Major injury or ill health of citizens or colleagues may result in. long term disability / absence from work.	Death of citizen(s) or colleague(s). Significant long-term disability / absence from work.
Programme / Project Management <i>(Including developing commercial enterprises)</i>	Minor delays and/or budget overspend but can be brought back on schedule with this project stage. No threat to delivery of the project on time and to budget and no threat to identified benefits / outcomes.	Slippage causes significant delay to delivery of key project milestones, and/or budget overspends. No threat to overall delivery of the project and the identified benefits / outcomes.	Slippage causes significant delay to delivery of key project milestones; and/or major budget overspends. Major threat to delivery of the project on time and to budget, and achievement of one or more benefits / outcomes.	Significant issues threaten delivery of the entire project. Could lead to project being cancelled or put on hold.
Reputation	Minimal and transient loss of public or partner trust. Contained within the individual service.	Significant public or partner interest although limited potential for enhancement of, or damage to, reputation. Dissatisfaction reported through council complaints procedure but contained within the council. Local MP involvement. Some local media/social media interest.	Serious potential for enhancement of, or damage to, reputation and the willingness of other parties to collaborate or do business with the council. Dissatisfaction regularly reported through council complaints procedure. Higher levels of local or national interest. Higher levels of local media / social media interest.	Highly significant potential for enhancement of, or damage to, reputation and the willingness of other parties to collaborate or do business with the council. Intense local, national, and potentially international media attention. Viral social media or online pick-up. Public enquiry or poor external assessor report.