

Cabinet Agenda



Date: Tuesday, 14 December 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

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

Date: Monday, 6 December 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.

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2. Public Forum

Up to one hour is allowed for this item

(Pages 7 - 9)

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 December



Cabinet is 12 noon on Monday 13 December. 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 December Cabinet is 5.00 pm on Wednesday 8 December. 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. Future Energy Supply

To Follow

9. Clean Air Zone Project update

(Pages 10 - 68)

10. Underfall Yard Sluices

(Pages 69 - 121)

11. Temple Island Update

(Pages 122 - 173)

12. Disposal of Land (We Can Make)

(Pages 174 - 229)

13. New Private Rented sector (PRS) Licensing Scheme

(Pages 230 - 362)

14. Block contracts for Temporary Accommodation

(Pages 363 - 384)

15. Housing IT Transformation and contract procurement

(Pages 385 - 398)

16. Family Hub Transformation Fund Bid

(Pages 399 - 402)



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- 17. Intensive Positive Behaviour Support Project**
(Pages 403 - 418)
- 18. Parking Permit and Tariff Review – Residents’ Parking Schemes (RPS) and Permit Parking Areas (PPA)**
(Pages 419 - 435)
- 19. SEND Information Advice and Support Service (SENDIASS) contract extension**
(Pages 436 - 444)
- 20. Arts Council England extension funding for Bristol City Council museums 2022-2023**
(Pages 445 - 492)
- 21. Cultural Investment Programme 2023 - 2027**
(Pages 493 - 516)
- 22. Council Tax Base**
(Pages 517 - 527)
- 23. Collection Fund Surplus/Deficit Report**
(Pages 528 - 545)
- 24. Budget Monitoring Outturn Report P7**
(Pages 546 - 589)
- 25. Household Support Fund**
(Pages 590 - 613)
- 26. End User Computer Devices**
(Pages 614 - 618)
- 27. APR15 - DHSC Adult Social Care Infection Control and Testing Fund Round 3 and The Workforce Recruitment and Retention Fund**
(Pages 619 - 624)

PART C - Non-Key Decisions

- 28. Q2 Corporate Risk Management Report 2021/22**
(Pages 625 - 676)
- 29. Heat Decarbonisation at the Welsman Building**



(Pages 677 - 689)

30. Final Memorandum of Understanding (October 2021 to March 2022) for the Integrated Care System of Bristol, North Somerset and South Gloucestershire

(Pages 690 - 763)



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

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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 December 2021

TITLE	Clean Air Zone Project update	
Ward(s)	City wide	
Author:	John Smith	Job title: Director, Economy of Place
Cabinet lead: Mayor	Executive Director lead: Mike Jackson, Chief Executive	
Proposal origin: <i>Other</i>		
Decision maker: Mayor Decision forum: <i>Cabinet</i>		
Purpose of Report:		
<ol style="list-style-type: none"> To provide an update on the development of the traffic Clean Air Zone (CAZ) project and ministerial Direction issued by the Government on 1st November 2021 (in Appendix A). To provide information about the Implementation Fund and CAF bid approved by JAQU and forecast spend. To seek authority from Cabinet for the Chief Executive Officer (Clean Air Zone Senior Responsible Officer – SRO) to spend funding and procure and enter in to contracts necessary to implement the project, within the budget envelope. To seek authority for the Chief Executive Officer to seal the CAZ Charging Order. 		
Background		
<ol style="list-style-type: none"> Substantial discussions have taken place between Bristol City Council and the government's Joint Air Quality Unit (JAQU) following the last report to Cabinet on 25th February 2021 for approval to submit the Full Business Case (FBC) for a clean air plan for Bristol JAQU. Following our initial submission further work was needed to address requests for more information by JAQU that resulted in a number of revisions being submitted at the end of June 2021. This resulted in the original October 2021 launch date becoming unachievable since JAQU required 6-8 weeks to review the FBC. Through joint discussion a realistic timeframe for the launch of the scheme was agreed to be in the summer 2022 and this is the timescale the team are working to. The Mayor received the Ministerial letter on 1st November 2021 confirming approval of Bristol City Council's Full Business Case and issued a new Direction regarding the implementation of a CAZ D Clean Air Zone in Bristol in the shortest possible time. We have also now received grant letters from JAQU for both the implementation and Clean Air Funding (CAF) outlining the funds. Whilst waiting for the FBC to be approved work has been progressing as far as possible with resources funded from the original £11.9m funded by JAQU to enable the development of the Full Business Case, to explore and develop solutions for the technical design, to carry out and prepare for the necessary tenders and plan for the delivery phase to be ready for implementation. Furthermore, the Council has been consulting with our own fleet services and partners with large fleets who have been committed to upgrading their vehicles in order to meet compliance. The tender for the installation of the cameras to enforce the scheme and back-office systems was combined with tendering for the replacement of a number of end-of-life Bus Lane Enforcement cameras to avoid multiple contracts/suppliers/support and maintenance agreements etc. This tender was awarded in August on the basis that the CAZ element of the contract was not 'enabled' until JAQU had approved the FBC. 		

5. Cabinet will note that a key decision was taken as an urgent OED by the Chief Executive on the 9th November 2021 following JAQU's approval of the FBC. This is to enable the supplier to commence the solution design immediately and source the cameras needed for the enforcement of the CAZ scheme as early as possible as there is risk of longer lead times in delivery. The requirement of the constitution was complied with.

Timescale

Government have directed Bristol City Council to meet compliance in the shortest possible time and at the very latest by 2023. Currently we are aiming to launch the scheme in the summer of 2022.

Funding

JAQU has approved bids for the Implementation and Clean Air Fund as shown below based on the middle upgrade estimate for loans and grants. A further £17.5m of stretch-funding can be applied for if needed.

Vehicle Type	Grant amount per vehicle	Finance amount per vehicle	Total Award
Car	£2,000	£5,000	£879,189
Taxi (PHV)	£1,500	£9,000	£1,019,004
Taxi (Hackney)	£4,000	£9,000	£1,350,000
LGV1	£4,000	£16,000	£9,657,270
HGV	£16,000	£26,000	£743,772
Coach	£16,000	£35,000	£1,153,092
Bus retrofit			£2,075,388
Stretch-funding for further grants and loans			£17,500,000
Sustainable Travel Team			
Mobility credits and / or subsidised bus travel for certain demographic or income groups			£5,853,496
Business support including personalised travel planning			
CAF scheme promotion - Leaflets / publicity etc.			
Freight Consolidation			
Micro-consolidation with cargo freight bikes and Only Mile Delivery			£2,000,000
CAF TOTAL			£43,072,462
Implementation Total			£6,950,000
TOTAL FUNDING			£49,181,211

1 LGVs - Support will be capped at £6,000. This can be a combination of grant and the interest payment of a loan (based on 20% interest rate).

JAQU have agreed to cover the cost of grant admin set-up fees up to £1,0060,000 (not included above) - this funding can be applied at the same time as the stretch funding

Not Awarded			
Bus reburishment			£1,170,000
Old Market Gap Cycle Scheme			£720,726
Increase, Improve, Update legible City Signage			£500,000

The cycle scheme will be funded through a different funding stream to the Clean Air Zone. The Old Market Gap project is designed to help reduce short car journeys by making it easier to walk and cycle into the city centre from the north and east of the city on quiet streets and segregated cycle infrastructure. It will complete the missing gap in the city's central cycling network between recent improvements on Baldwin Street and the Bristol to Bath Railway Path. Improvements include additional segregated cycle lanes, upgraded crossings, extended bus lanes and cycle parking.

Cabinet Member/Officer Recommendations:

That Cabinet:

1. Notes the new Direction dated 1st November 2021 (Appendix A) which includes a requirement for Council to implement a small Charging Clean Air Zone Class D to meet compliance in 2023.
2. Notes the Officer Executive Decision taken on the 9th November by the Chief Executive to approve spend and 'enable' the CAZ element of the existing contract for the provision of 'approved devices for unattended enforcement' (cameras) to enforce the CAZ.
3. Approves acceptance and spend of the £50m grant awarded to BCC to implement the CAZ scheme as well as roll out the non-charging measures to facilitate compliance set out in the Directive.
4. Delegates authority to the Chief Executive Officer to spend the funding and procure and enter into all necessary contracts to progress the work needed, to the limit of the funding envelope. Authority includes decisions that are above the key decision threshold.
5. Delegates authority to the Chief Executive Officer to seal the CAZ Charging Order.

Corporate Strategy alignment:

The key strategic themes and principles of the existing policies overlap with several of critical success factors used in the economic assessment, including those related to air quality improvements, benefits to the economy, social inclusion and public health benefits.

The Corporate Strategy 2018-2023 commits the City Council to: "Keep Bristol on course to be run entirely on clean energy by 2050 whilst improving our environment to ensure people enjoy cleaner air, cleaner streets and access to parks and green spaces.". This project also supports the Council's vision; "we play a leading role in driving a city of hope and aspiration where everyone can share in its success. ...We are committed to building a better Bristol that includes everyone in the city's success. We are here to take care of the economic, social and environmental wellbeing of Bristol alongside many other local, regional and national organisations".

City Benefits:

The Clean Air scheme will improve public health by achieving legal nitrogen dioxide objectives and reducing particulate pollution in accordance with the Clean Air Plan. The Bristol One City Plan outlines how the city will become an inclusive and sustainable city by 2050. The aim of the One City Plan is to bring together the ideas and goals of many stakeholders across Bristol and combine these into a focused long-term plan for the city. The vision is to make Bristol "a fair, healthy and sustainable city. A city of hope and aspiration, where everyone can share in its success". The key strategic themes and principles of the existing strategy documents are set out in FBC-4 Strategic Case Table 2.1

Consultation Details:

Bristol City Council undertook a six-week consultation from 1 July to 12 August 2019 on the original options 1 and 2. Engagement as part of the consultation included:

- six drop-in sessions across the city
- Communications Toolkits distributed to partner organisations to help them publicise the consultation
- public events such as the Harbour Festival
- media engagement
- social media posts
- bus shelter and variable message roadside advertisement

A second CAZ consultation ran from the 8 Oct 2020 to 13 December 2020 on the new options 1 and 2. Due to the limitations caused by the COVID-19 Pandemic, drop-in sessions and face-to-face activities were much reduced.

To boost response rates and to target low-responding parts of Bristol, 20,000 paper surveys were delivered direct to addresses in areas which have historically low response rates to consultations and high levels of deprivation. The Traffic Clean Air Zones Consultation survey received 4,225 responses. A summary of responses from groups with protected characteristics and income deciles is contained within the report. More than half of respondents (54%; 2,250 respondents) agree or strongly agree that Option 1 is a good way to improve air quality (20% strongly agree and 34% agree). A higher proportion of respondents (60%; 2,466 respondents) agree or strongly agree that Option 2 is a good way to improve air quality (32% strongly agree and 28% agree). Briefings were held with several groups including Business West (with 55 businesses joining), University Hospital Bristol NHS Trust, Southmead Hospital, University of Bristol, University of West of England, Bristol Workplace Travel Network, waste

contractors, and neighbouring councils. We also contacted 1,385 businesses about the consultation.

We have presented to Scrutiny throughout this process and are going back to Scrutiny on 18th November 2021 with an update of the CAZ and FBC approval for a CAZ D scheme.

Background Documents:

Previous [Cabinet Report of 26th February 2021](#) for Clean Air Full Business Case

[Ministerial letter](#) to The Mayor from JAQU

Letter from JAQU confirming approved [funding for Bristol Clean Air Zone](#)

Revenue Cost	£43.8m	Source of Revenue Funding	JAQU Grant funding
Capital Cost	£6.2m	Source of Capital Funding	JAQU Grand 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:** The report seeks Cabinet approval to accept and spend the funding awarded by JAQU for the implementation of a CAZ D scheme. The final funding allocated is up to £50m (which includes stretch funding of up to £17.5m for the financial support scheme – details included in the award letter which are still to be clarified). JAQU had previously awarded £11.95m towards the delivery of the scheme under a previous directive. As a result, the balance of funding will be awarded in two phases, £20.55m in phase 1, and up to £17.5m in phase 2 once predefined conditions are met.
- The CAZ implementation costs has been awarded in full and totals £6.95m and includes a risk allowance (including the balance of costs incurred towards completing the FBC).
- The Clean Air Fund (non-charging measures) awarded totals £43.05m and includes (amongst other measures) a combination of financial support for low-income families as well as local businesses affect by the introduction of the CAZ scheme (subject to funding).
- In determining the CAF funding allocation, JAQU have assumed the medium uptake scenario in the FBC submitted (which is significantly less than the case submitted as the Councils preferred option). The implication of this is that not all the affected stakeholders identified will be supported without the Council receiving additional stretch funding (if demand for support mirrors the upper uptake scenario). Pending the receipt of additional funding, the financial support may have to be paused as only partial funding is being offered up front. Officers will need to approach JAQU before such funding is depleted in order not to slowdown the rollout of financial support.
- Any additional costs implications will be met from the Risk allowance or from additional funding from JAQU. The Council will not be funding any additional implementation or non-charging measures.

Finance Business Partner: Kayode Olagundoye, Interim Finance Business Partner, Growth & Regeneration, 1st December 2021.

2. Legal Advice:

The Council is under a duty to comply with the Direction issued by the Secretary of State. The report sets out in broad terms how the Authority will comply with the direction including the utilisation of funding.

Legal Team Leader: Nancy Rollason, Head of Legal Service, (8th November)

3. Implications on IT:

This is a very “IT Heavy” project and as such we will need to ensure resources are either brought in on an interim basis or assigned from current staffing.

Digital Transformation Director: Iain Godding, Head of Enterprise Architecture (17th November 2021)

4. HR Advice:

Consultation is underway on a new employee travel policy, which aims to meet the One City Plan’s 2030 climate ambitions, as well as compliance with the CAZ.

HR Director: James Brereton (HR Business Partner), 11th November 2021

EDM Sign-off	Mike Jackson	
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Cabinet Member sign-off	Councillor Craig Cheney, Cabinet Member for City Economy, Finance & Performance	
For Key Decisions - Mayor's Office sign-off	Mayor's Office	15 November 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 – FBC-35 BCC CAZ Risk Management QRA	YES
Appendix E – FBC-42 BCC CAZ Equalities Impact Assessment v3	YES
Appendix F – FBC-21 BCC CAZ Environmental Appraisal 17th Feb 2021	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 L – Procurement	NO



Bristol City Council Clean Air Plan Final Business Case

Quantitative Risk Assessment

FBC-35| 2

February 2021

Bristol City Council

Draft

Bristol City Council Clean Air Plan Final Business Case

Project No: 673846CH
 Document Title: Quantitative Risk Assessment
 Document No.: FBC - 35
 Revision: 2
 Document Status: N/A
 Date: February 2021
 Client Name: Bristol City Council
 Project Manager: HO
 Author: GD

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Document history and status

Revision	Date	Description	Author	Checked	Reviewed	Approved
0	22/1/2021	FBC ORA Draft	KW	JB	CB	HO
1	26/1/2021	FBC ORA Draft – updated	GD	HO	HO	HO
2	17/2/2021	FBC ORA Draft (V1 + V2)	GD	HO	HO	HO

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Appendix B - Risk Register 6

Draft

Acronyms and Abbreviations

BCC	Bristol City Council
CAP	Clean Air Plan
CAZ	Clean Air Zone
Defra	Department for Environment, Food & Rural Affairs
DfT	Department for Transport
EU	European Union
FBC	Full Business Case
JAQU	Joint Air Quality Unit
LA	Local Authority
NO ₂	Nitrogen Dioxide
OBC	Outline Business Case
QRA	Quantitative Risk Assessment

Draft

1. Introduction

Poor air quality is the largest known environmental risk to public health in the UK¹. Investing in cleaner air and doing more to tackle air pollution are priorities for the EU and UK governments, as well as for Bristol City Council (BCC). The Mayor of Bristol has often cited Bristol's 'moral and legal duty' to improve air quality in the city and the administration recognises that achieving improved air quality is not solely a transport issue. Notwithstanding the Council's work on a Clean Air Zone, efforts have been made to make citizens more aware of – and take personal responsibility for – various sources of air pollution, from traffic fumes to solid fuel burning. The Mayor has articulated a 'call to action' for local people, businesses and organisations to consider how small changes can make a significant difference in cutting toxic fumes across the city. BCC has monitored and endeavoured to address air quality in Bristol for decades and declared its first Air Quality Management Area in 2001. Despite this, Bristol has ongoing exceedances of the legal limits for Nitrogen Dioxide (NO₂) and these are predicted to continue until around 2027 without intervention.

The added context is that of the COVID-19 pandemic. Recent research suggests that poor air quality may be correlated with higher death / infection rates from COVID-19. This is further compounded by growing evidence that suggests that those from black, Asian and minority ethnic communities are more at risk of catching and dying from the virus and the fact that individuals from these communities are more likely to live in areas where air quality is poor. The challenge of maintaining public health and supporting economic recovery while also achieving legal air quality levels after lockdown restrictions are lifted will remain live and intersecting issues for the foreseeable future.

The UK Government continue to transpose European Union law into its Environment Bill², to ensure that certain standards of air quality continue to be met, by setting air quality assessment levels (AQALs) on the concentrations of specific air pollutants. It's very unlikely that these AQALs will differ to EU Limit Values prescribed by the European Union's Air Quality Directive and transcribed in the UK's Air Quality Standards Regulation 2010. Therefore, these Limit Values will remain in enforcement post-Brexit. In common with many EU member states, the EU Limit Value for annual mean nitrogen dioxide (NO₂) is breached in the UK and there are on-going breaches of the NO₂ limit value in Bristol. The UK government is taking steps to remedy this breach in as short a time as possible, with the aim of reducing the harmful impacts on public health. Within this objective, the Government has published a UK Air Quality Plan and a Clean Air Zone Framework, both originally published in 2017 (noting there have been subsequent revisions). The latter document provides the expected approach for local authorities when implementing and operating a Clean Air Zone (CAZ). The following business cases have been submitted to JAQU for the Clean Air Plan; Strategic Outline Case (April 2018), and an Outline Business Case (November 2019 and updated between April and June 2020).

Jacobs has been commissioned to support BCC to produce a Full Business Case (FBC) for the delivery of the CAP; a package of measures which will bring about compliance with the Limit Value for annual mean NO₂ in the shortest time possible in central Bristol. This FBC forms a bid to central government for funding to implement the CAP.

1.1 Purpose of this Report

A Quantitative Risk Assessment (QRA) was undertaken for the BCC CAP. The project involves the implementation of the Small CAZ D Option, which includes the following measures:

- Small Area Class D (charging non-compliant cars, buses, coaches, taxis, HGVs and LGVs)
- Fast Track Measures:
 - Closure of Cumberland Road inbound to general traffic; and

¹ Public Health England (2014) Estimating local mortality burdens associated with particular air pollution.

<https://www.gov.uk/government/publications/estimating-local-mortality-burdens-associated-with-particulate-air-pollution>

² Environment Bill 2019-21 <https://services.parliament.uk/bills/2019-21/environment.html>

- Holding back traffic to the city centre through the use of existing signals.

The project is currently at the FBC stage and this QRA has been developed to support the FBC Submission.

A version of the QRA was submitted as part of the OBC, and it has been reviewed regularly since then. This technical memorandum outlines the risk identification (risk register) and the QRA process and presents the QRA outputs.

The main purpose of the QRA is to support the scheme costing as presented within the financial case by predicting the level of risk contribution, having a defined level of confidence, to cover the various stages of the scheme. QRA allows for uncertainty in unplanned additional cost items, including cost due to delay, that cannot be included in the project costs. The assessed risk value is to be used in the financial case for this package and incorporated in the economic appraisal.

The QRA process involves four steps.

- Step 1 is identification of all risks affecting the project through risk workshops and risk reviews. This step results in a risk register.
- Step 2 is analysis of the various risks by defining their distributions in terms of probabilities, impacts and knock-on effects. This information is also gathered through risk workshops and other interactions including stakeholders.
- Step 3 is undertaking the risk modelling using Monte Carlo simulation (in this project @Risk® software was used).
- Step 4 is analysing the results against required contingency needs for the project.

The risk model has been constructed by Jacobs using Microsoft Excel® and @Risk® software packages. The model used the Monte-Carlo simulation theory by replicating a large number of iterations of possible project risk scenarios. Confidence levels relating to the cost of the scheme are obtained from the distribution of the averaged results produced by the simulations.

2. Risk Model Inputs

2.1 Cost of Implementation and Operation

Monthly costs have been established for risks which occur during various stages of the project. These are split between costs which occur during FBC and those which occur during the implementation and delivery/operation of the scheme.

The following unit costs of delay (£ per month) have been considered for the various risks that could cause delay to the project:

- £2,000 to £20,000/month – for risks during the FBC stage that do not affect the critical path of project. This allows for project management costs and the potential for a limited amount of re-work.
- £75,000/month – for risks during the OBC/FBC that affect the critical path of project and include legal staff costs. This is based on the average spend per month of the project to date plus an allowance for a limited amount of legal assistance within a month.
- £110,000/month – for risks that occur during delivery/operation of the scheme. This is based on the approximate monthly cost of delay to contractors on site and the project management time that would be incurred.

2.2 Risk Identification, Categorisation and Ranking

A risk register was developed through group consensus via a risk workshop. The risk workshop consisted of staff from BCC and Jacobs that are involved in the project. This has been reviewed regularly with the technical specialists in each category, including the following:

- Project and programme managers
- Resource managers

- Network management staff
- Legal officers
- Public Engagement and Communications team
- Procurement team
- Finance officers
- Technical / Design team.

Each risk was categorised based on project objectives, then scored, which produced an Overall Risk Ranking in terms of high, medium, or low for each risk. The current Risk Register is included in Appendix B of this document.

A number of risk mitigatory/management actions have been taken by the project team. Following the QRA workshops, 113 risks were deemed potential risks that are pertinent to the scheme, which were quantified (financial risk and delay risk). Of these 113 risks, 40 have now been closed as the risks have been addressed and eliminated and 73 risks are still 'open'.

2.3 Risk Quantification

Individual risks were defined in terms of their distributions, likelihood/probabilities, impacts and knock on effects, etc., through the workshops. For each risk, the key inputs into the @RISK software to be assessed in the QRA model are: Financial/Delay Impact Estimate (best case, worst case, and most likely) and Probability / Likelihood.

The risk category and the Overall Risk Ranking (high, medium, low) were used as a guidance in quantifying risks. These values were then used in the model to determine a Mean Outcome and a Risk Exposure for each risk and for each iteration. The Monte Carlo simulation used 10,000 iterations using the @Risk software to develop a single probability distribution for all possible risk outcomes for the scheme. The results were then used to determine various risk percentile values for the scheme.

One potential very large risk not currently included in the QRA is for a shortfall of funding in the CAF bid. Other authorities have received in the region of 25% less CAF funding than originally bid for. Informal assurances have been given that this will not happen in the case of Bristol due to the early engagement that has taken place and therefore this risk is not included within the QRA estimates or financial model. However, it needs to be formally noted that the CAF bid has been designed to ensure we meet the legal direction. If the risk had been quantified in the QRA, it would be an additional £5.391m. If the risk becomes apparent from further discussions that the required CAF funding will not be available to Bristol, this risk value will need to be added to the QRA making the total value of the QRA £8.192m.

3. Risk Model Outputs

3.1 Risk Value

The QRA figure being included financial case is the 80th Percentile - P (80). In addition, the 50th Percentile (P (50)) and the P(Mean), the mean percentile value also provide further levels of confidence. QRA results are shown below in Table 3-1. The @Risk outputs for FBC stage are included in Appendix A of this document, which show the full range of percentile values calculated by @Risk.

Table 3-1: QRA 1 – FBC Stage

	P (50)	P (80)	P (Mean)
Grand Total Risk (Financial + Delay)	£2,256,000	£2,801,000	£2,277,000

The P (80) level of risk has been used to establish a quantified contingency budget, in line with discussion between BCC and JAQU.

3.2 Totals by Risk Categories

The totals of the risks by their categories in the FBC stage of the project are listed in Table 3-2.

Table 3-2: Totals by Risk Categories QRA 1 – FBC Stage

Risk Category	Risk Value P (80)
Brexit	£15,079
Communications / stakeholder challenge	£287,240
Construction	£90,367
Covid	£94,241
Financial	£232,174
Legal / process	£259,007
On-street effects	£73,724
Political	£871,104
Procurement	£603,014
Resources	£89,333
Technical / Design	£185,718
Total	£2,801,000

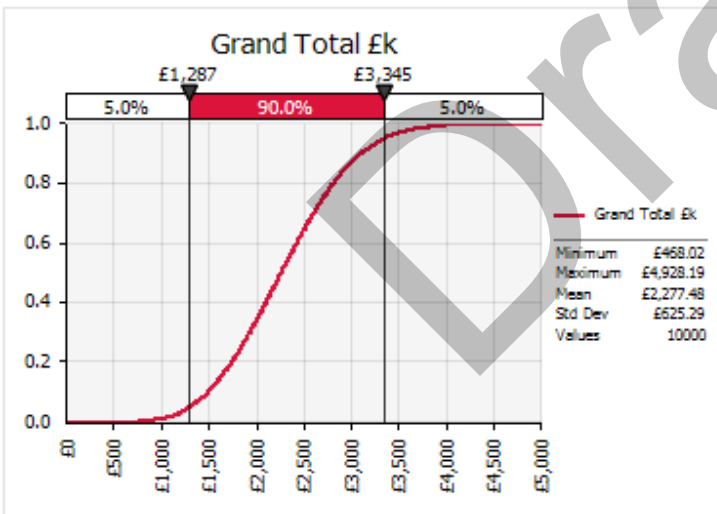
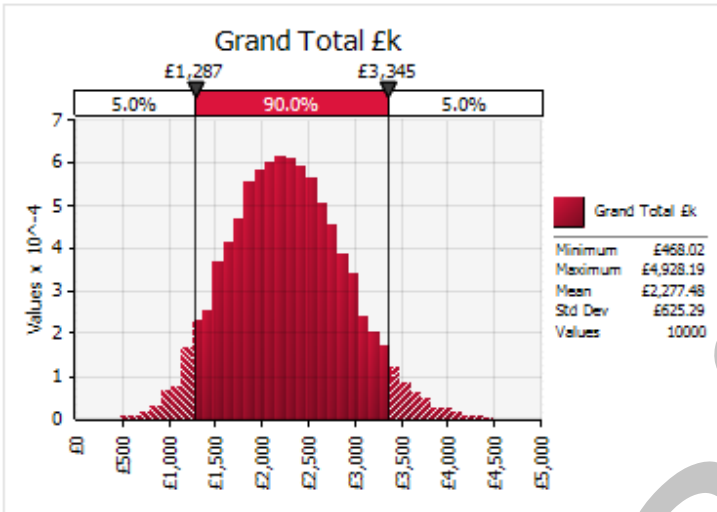
Appendix A - @Risk Output

QRA 1 – FBC Stage

@RISK Output Report for Grand Total £k X125

Performed By: Dean, Graham/BRS

Date: 20 January 2021 09:46:15



Simulation Summary Information

Workbook Name	BCC CAZ QRA RISK REGISTER
Number of Simulations	1
Number of Iterations	10000
Number of Inputs	292
Number of Outputs	4
Sampling Type	Monte Carlo
Simulation Start Time	20/01/2021 09:45
Simulation Duration	00:00:26
Random # Generator	Mersenne Twister
Random Seed	628629362

Summary Statistics for Grand Total £k

Statistics	Percentile		
Minimum	£ 468	5%	£ 1,287
Maximum	£ 4,928	10%	£ 1,486
Mean	£ 2,277	15%	£ 1,616
Std Dev	£ 625	20%	£ 1,732
Variance	390984.6788	25%	£ 1,832
Skewness	0.236457465	30%	£ 1,923
Kurtosis	2.915817509	35%	£ 2,011
Median	£ 2,256	40%	£ 2,091
Mode	£ 2,263	45%	£ 2,174
Left X	£ 1,287	50%	£ 2,256
Left P	5%	55%	£ 2,335
Right X	£ 3,345	60%	£ 2,422
Right P	95%	65%	£ 2,504
Diff X	£ 2,058	70%	£ 2,596
Diff P	90%	75%	£ 2,694
#Errors	0	80%	£ 2,801
Filter Min	Off	85%	£ 2,929
Filter Max	Off	90%	£ 3,091
#Filtered	0	95%	£ 3,345

Appendix B - Risk Register

See separate Excel Spreadsheet below:

- 1) **QRA - FBC Stage**

Draft

BCC CAZ - Risk Register and QRA

Rev: v1.16 DRAFT - 20 Jan 2021

Scheme: Bristol Clean Air Zone

Milestone: Final Business Case

Works Cost: TBC

Cost of delay (k): Varied by risk

Resources
Business case
On-street effects
Legal / Process
Communications / stakeholder challenge
Procurement
Political
Financial
Technical / Design
Construction
Operation

Likelihood	
1 - Almost Certain	95.0%
2 - Likely	50.0%
3 - Possible	25.0%
4 - Unlikely	12.5%
5 - Rare	5.0%

No.	Risk Ref	Description	Category	Mitigation owner	Initial Risk					RAG	Approach Avoid, Accept, Reduce, Transfer	Mitigation Measures	Status	Residual Risk					Likelihood (%)	Financial			Delay				
					Cost	Time	Perf	Prob.	Rating					Cost	Time	Perf	Prob.	Rating		RAG	Min (£k)	Max (£k)	Likely (£k)	Min (mths)	Max (mths)	Likely (mths)	Delay Cost (£k)/Month
1	Risk 1	Staff / skills shortage in BCC projects	Resources	BCC	M	M	M	M	4.00	Reduce	Identify staff with appropriate experience/knowledge in advance of work being undertaken. Identify early whether this risk is likely to materialise in order to find alternative resources to support project. Consider recruiting if necessary.	Open	M	M	M	L	2.00	25.0%				1	5	3	10.0		
2	Risk 2	Staff / skills shortage in BCC BAU / back office staff for processing PCNs	Resources	BCC	M	M	M	M	4.00	Reduce	Identify staff with appropriate experience/knowledge in advance of work being undertaken. Identify early whether this risk is likely to materialise in order to find alternative resources to support project. Consider recruiting if necessary.	Open	M	M	M	L	2.00	25.0%				1	5	3	10.0		
3	Risk 3	Staff / skills shortage in BCC TRO team	Resources	BCC	M	M	M	M	4.00	Reduce	Identify staff with appropriate experience/knowledge in advance of work being undertaken. Identify early whether this risk is likely to materialise in order to find alternative resources to support project. Consider recruiting if necessary.	Open	M	M	M	L	2.00	10.0%				1	5	3	10.0		
4	Risk 4	Staff / skills shortage in BCC ICT team	Resources	BCC	M	M	M	M	4.00	Reduce	Identify staff with appropriate experience/knowledge in advance of work being undertaken. Identify early whether this risk is likely to materialise in order to find alternative resources to support project. Consider recruiting if necessary.	Open	M	M	M	L	2.00	30.0%				1	3	2	10.0		
5	Risk 5	Staff / skills shortage in BCC Operations Centre team	Resources	BCC	M	M	M	M	4.00	Reduce	Identify staff with appropriate experience/knowledge in advance of work being undertaken. Identify early whether this risk is likely to materialise in order to find alternative resources to support project. Consider recruiting if necessary.	Open	M	M	M	L	2.00	25.0%				1	5	3	10.0		
6	Risk 6	Staff / skills shortage in BCC street-lighting team	Resources	BCC	M	M	M	M	4.00	Reduce	Identify staff with appropriate experience/knowledge in advance of work being undertaken. Identify early whether this risk is likely to materialise in order to find alternative resources to support project. Consider recruiting if necessary.	Open	M	M	M	L	2.00	25.0%				1	5	3	10.0		
7	Risk 7	Staff / skills shortage in BCC Procurement team	Resources	BCC	M	M	M	M	4.00	Reduce	Identify staff with appropriate experience/knowledge in advance of work being undertaken. Identify early whether this risk is likely to materialise in order to find alternative resources to support project. Consider recruiting if necessary.	Open	M	M	M	L	2.00	10.0%				1	5	3	5.0		
8	Risk 8	Staff / skills shortage in BCC Legal team	Resources	BCC	M	M	M	M	4.00	Reduce	Identify staff with appropriate experience/knowledge in advance of work being undertaken. Identify early whether this risk is likely to materialise in order to find alternative resources to support project. Consider recruiting if necessary.	Open	M	M	M	L	2.00	20.0%				1	5	3	20.0		
9	Risk 9	Staff / skills shortage in BCC FOI team	Resources	BCC	M	M	M	M	4.00	Reduce	Identify staff with appropriate experience/knowledge in advance of work being undertaken. Identify early whether this risk is likely to materialise in order to find alternative resources to support project. Consider recruiting if necessary.	Open	M	M	M	L	2.00	30.0%				1	5	3	5.0		
10	Risk 10	Staff / skills shortage in neighbouring authorities and HE (for signage etc).	Resources	BCC	M	M	M	M	4.00	Reduce	Identify staff with appropriate experience/knowledge in advance of work being undertaken. Identify early whether this risk is likely to materialise in order to find alternative resources to support project. Consider recruiting if necessary.	Open	M	M	M	L	2.00	25.0%				2	5	3	10.0		
11	Risk 11	Staff / skills shortage in Jacobs to deliver	Resources	BCC	M	M	M	M	4.00	Reduce	Identify staff with appropriate experience/knowledge in advance of work being undertaken. Identify early whether this risk is likely to materialise in order to find alternative resources to support project. Consider recruiting if necessary.	Open	M	M	M	L	2.00	5.0%				1	5	3	20.0		
13	Risk 13	Staff / skills shortage in Volker for power	Resources	BCC	M	M	M	M	4.00	Reduce	Identify staff with appropriate experience/knowledge in advance of work being undertaken. Identify early whether this risk is likely to materialise in order to find alternative resources to support project. Consider recruiting if necessary.	Open	M	M	M	L	2.00	25.0%				0.5	2	1	2.5		
15	Risk 15	Agreement on, and resources to take on the system operation, including hardware (BAU arrangements).	Resources	BCC	M	L	M	H	5.00	Reduce	Have early discussions within BCC with BAU teams to agree scope, specification and gain understanding and approvals.	Open	M	L	L	M	2.67	50.0%				1	1	1	5.0		
20	Risk 20	Inaccuracy on the number of people driving uncompliant vehicles into the CAZ affects the expected revenue and therefore running costs	On-street effects	BCC	M	L	M	L	1.67	Accept	Monitoring to be put in place and contingency planning will be needed	Open	M	L	M	L	1.67	12.5%	20	160	80						
21	Risk 21	CAZ scheme not implemented in time.	On-street effects	BCC	M	L	M	M	3.33	Reduce	Early identification of realistic and practical complimentary measures. Progress work on these with equal priority as other CAZ elements (AEDs / back office / signage etc) and not as a secondary priority	Open	L	L	L	L	1.00	25.0%				1	3	2	10.0		
22	Risk 22	Impact on neighbouring authorities' road networks - increased traffic from displacement. Complaints, investigation of mitigating measures	On-street effects	BCC	L	L	M	L	1.33	Transfer	Transfer risk to the neighbouring local authorities	Open	L	L	M	L	1.33	25.0%				1	3	2	10.0		
23	Risk 23	Unforeseen impacts on local junctions at key points outside CAZ zones, e.g. outside schools.	On-street effects	BCC	L	L	M	M	2.67	Reduce	Ensure that modelling and assessment work takes into account likely impacts at these key locations outside the CAZ	Open	L	L	M	L	1.33	12.5%	20	1,000	200	0.5	2	1	2.5		
27	Risk 27	Risk of challenge by Judicial Review to small CAZ D - at the point of Cabinet decision and/or JAQU approval	Legal / process	BCC	H	M	H	H	8.00	Reduce	Robust OBC, robust consultation, good liaison with JAQU, and a robust and timely public communications and stakeholder plan.	Open	H	M	M	M	4.67	50.0%				3	12	6	20.0		
27A	Risk 27A	Risk of successful challenge by Judicial Review	Legal / process	BCC	H	M	H	H	8.00	Reduce	Robust OBC, robust consultation, good liaison with JAQU, and a robust and timely public communications and stakeholder plan.	Open	H	M	M	M	4.67	35.0%				3	12	6	20.0		
28	Risk 28	Successful challenges (e.g. JR) to the process for making the Orders (e.g. charging order)	Legal / process	BCC	H	M	H	H	8.00	Reduce	Robust OBC, robust consultation, good liaison with JAQU, and a robust and timely public communications and stakeholder plan.	Open	H	M	M	M	4.67	50.0%				3	12	6	20.0		
32	Risk 32	Delays in approvals of FBC from JAQU from submission	Legal / process	BCC	M	M	M	M	4.00	Reduce	Ongoing and regular engagement with JAQU. Identify key issues and address early	Open	L	L	L	L	1.00	12.5%				1	5	3	75.0		
36	Risk 36	Breach of personal data - data protection / GDPR issues - back office systems and databases of personal information for penalty notices. Also of loans and / grants. Additional office time to address	Legal / process	BCC	M	M	M	M	4.00	Reduce	Seek legal opinion early Undertake a Privacy Impact Assessment ASAP	Open	M	M	M	L	2.00	12.5%				1	3	2	10.0		
40	Risk 40	Additional costs to explain to stakeholders what the scheme restrictions mean / changes to now not being a diesel ban / also the difference between a clean air zone and a congestion charge	Communications / stakeholder challenge	BCC	M	L	M	M	3.33	Reduce	Try to make sure the restrictions, charges and exemptions are easy to understand to the 'person in the street'. Also a clear communications package workstream covering pre-publicity and sources of help.	Open	M	L	M	L	1.67	75.0%	50	100	75						
41	Risk 41	Large number of FOI requests in excess of predictions result in extra costs and additional staff time	Communications / stakeholder challenge	BCC	M	M	L	M	3.33	Reduce	Ensure the project and procedures are open and transparent. Put information into the public domain proactively to prevent the feeling that 'they have something to hide'. Seek legal / FOI input early.	Open	L	L	L	L	1.00	12.5%				0.5	2	1	5.0		
43	Risk 43	A failure to adequately communicate and engage early enough with public and stakeholders leading to negative reaction during implementation - additional staff time needed to address negative reaction	Communications / stakeholder challenge	BCC	M	M	M	H	6.00	Reduce	Seek to design scheme with less chance of opposition. Consult early, setting out the reasons for the CAZ and mitigating measures. Seek political support, and have robust communications and stakeholder plan.	Open	M	M	M	M	4.00	50.0%				3	6	4	10.0		
44	Risk 44	Reliance on industry's understanding / ability to deliver retrofit solutions for older taxis / LGVs / HGVs / buses / coaches - additional staff time to liaise and explain	Communications / stakeholder challenge	BCC	M	M	L	M	3.33	Accept	Risk effects baseline rather than scheme impacts. Monitor success of other projects and update baseline assumptions if need be	Open	M	M	L	M	3.33	25.0%				1	3	2	75.0		
46	Risk 46	Input from external civic society / conservation group / design groups on camera and/or signage design cause additional staff time and delay. Also cost to relocate signage and/or cameras	Communications / stakeholder challenge	BCC	M	M	M	M	4.00	Reduce	Seek to design scheme with less chance of opposition. Consult early. Seek political support, and have robust communications and stakeholder plan.	Open	L	L	L	M	2.00	50.0%	10	150	75	1	3	2	75.0		
48	Risk 48	Lack of clarity in scope of what is to be procured (e.g. back office systems / signs)	Procurement	BCC	H	H	M	H	8.00	Reduce	Be clear on the scheme, so the scope of the system can also be clear. Agree scope with all stakeholders, including Smart Cities and Highway Signage teams. Accept the CAZ can't upgrade all existing systems and signs.	Open	L	M	L	M	2.67	12.5%				1	3	2	5.0		

No.	Risk Ref	Description	Category	Mitigation owner	Cost	Time	Perf	Rating	RAG	Approach Avoid, Accept, Reduce, Transfer	Mitigation Measures	Status	Cost	Time	Perf	Rating	RAG	Likelihood (%)	Min (£k)	Max (£k)	Likely (£k)	Min (mths)	Max (mths)	Likely (mths)	Delay Cost (£k)/Month
49	Risk 49	Delays in BCC approvals for procurement of cameras, back office systems and/or signage, including equalities and sustainability elements	Procurement	BCC	M	H	M	H	7.00	Reduce	Start discussions on procurement process early. Get early agreement to progress procurement, agree route and timescales.	Open	L	M	L	M	2.67	12.5%				1	4	3	75.0
50	Risk 50	Delays in procuring approved ICT hardware, e.g. secure managed network switches.	Procurement	BCC	L	M	M	M	3.33	Reduce	Agree scope early with BCC ICT. Use existing approved hardware where possible. Try to avoid 'gold plating' the solution.	Open	L	L	L	L	1.00	25.0%				1	4	3	75.0
51	Risk 51	Unsuccessful contractors challenge procurement process	Procurement	BCC	M	M	M	H	6.00	Reduce	Follow a robust procurement process and be clear on what is being asked and how it will be marked. Seek early input from Procurement teams. A challenge is likely but can learn the lessons from other CAZ areas	Open	L	L	L	H	3.00	75.0%				1	8	6	75.0
52	Risk 52	No clear plan or budget for decommissioning on street equipment when not required anymore (5-year life / large signs?)	Procurement	BCC	M	L	L	M	2.67	Reduce	Plan for decommissioning, including a suitable budget with protections to ring-fence it.	Open	L	L	L	L	1.00	12.5%				1	3	2	2.5
53	Risk 53	Procurement of signs for neighbouring local authorities / HE – not covered by lot 7 of the BCC Framework. Will need a procurement route	Procurement	BCC	M	L	M	H	5.00	Reduce	Engage with HE and neighbouring LAs to agree procurement routes	Open	L	L	L	M	2.00	50.0%				2	5	3	10.0
54	Risk 54	The impact of the CAZ may be politically unacceptable requiring switch off or refinement, e.g. traffic congestion, impact on safety, diversionary routes	Political	BCC	H	H	H	M	6.00	Reduce	Ensure modelling is robust. Seek political support. Comprehensive communications package to explain the scheme and mitigating measures.	Open	L	L	L	L	1.00	25.0%				3	6	5	110.0
55	Risk 55	Cabinet does not approve FBC, resulting in delay	Political	BCC	M	H	H	M	5.33	Reduce	Seek early political support. Ensure the OBC is robust.	Open	L	M	M	L	1.67	7.5%				3	6	3	110.0
61	Risk 61	Change in political leadership may mean a change in direction, leading to delays from a review of the scheme and/or changes to the scheme. Scope could be expanded or reduced.	Political	BCC	M	M	M	M	4.00	Accept	n/a	Open	M	M	M	M	4.00	50.0%				3	8	6	110.0
63	Risk 63	Exemptions may need to be changed to meet technical and/or political objectives	Political	BCC	M	M	H	M	4.67	Reduce	Take into account in the modelling different exceptions so there is an evidence base. Try to keep exemptions realistic.	Open	L	L	M	L	1.33	12.5%				0.5	2	1	10.0
65	Risk 65	Differences in political opinions with neighbouring authorities affect joint working	Political	BCC	M	M	M	H	6.00	Reduce	Early engagement with neighbouring authorities at both political and officer levels.	Open	M	M	M	H	6.00	75.0%				0.5	2	1	10.0
66	Risk 66	Delay occurs as a result of impact on businesses	Political	BCC	H	H	H	H	9.00	Reduce	Seek political and business community support. Have an effectively publicity and communications package to promote the positive benefits of the CAZ and complimentary measures.	Open	M	M	M	M	4.00	7.5%				0.5	2	1	10.0
67	Risk 67	Risk of delay and/or risk to reputation due to pressure from various interest groups (e.g. conservation areas, civic design, environmental groups)	Political	BCC	M	M	M	H	6.00	Reduce	Seek political and interest group support. Have an effectively publicity and communications package to promote the positive benefits of the CAZ and complimentary measures. Design scheme and infrastructure to reduce anticipated impacts	Open	L	L	L	M	2.00	40.0%	5	50	25	2	12	6	75.0
68	Risk 68	Delays in funding / insufficient funding from JAQU	Financial	BCC	M	M	M	M	4.00	Reduce	Good liaison with JAQU	Open	L	L	L	L	1.00	12.5%				2	4	3	75.0
69	Risk 69	Insufficient funding from JAQU for Clean Air Fund results in non-compliance leads to partial delivery of scheme.	Financial	BCC	H	L	M	H	6.00	Reduce	Good liaison with JAQU	Open	H	L	M	H	6.00	95.0%				1	6	3	10.0
70	Risk 70	Budget is insufficient for installation of signage in other LAs or on HE network	Financial	BCC	M	M	H	M	4.67	Reduce	Early design and costing work on signage. Need to agree signage on HE and other LA network, and also agree procurement route(s).	Open	L	L	M	L	1.33	25.0%	10	75	50	0.5	2	1	10.0
71	Risk 71	Handling of financial payments GO CARDLESS to BCC etc / refunds etc – payment processors etc – cause delay and extra cost to BCC	Financial	BCC	M	M	H	H	7.00	Reduce	Work with JAQU re central portal. Agree with BCC finance how this will work and what monies gets paid to whom, when and how.	Open	L	L	M	M	2.67	25.0%	5	20	10	1	4	2	10.0
72	Risk 72	Vandalism of on-street equipment (signs and cameras) hits budgets and reduces income and effectiveness	Financial	BCC	M	M	M	M	4.00	Reduce	Design and specify on street equipment that is robust and out of reach of all expected vandalism.	Open	L	L	L	M	2.00	75.0%	75	150	120	0.25	1	0.5	10.0
75	Risk 75	Cost of utilities diversions for signs and camera gantries	Technical / Design	BCC	H	H	H	H	9.00	Reduce	Robust design work including searches. Plan and order new utility supplies early. Have a sufficient budget for utilities including diversions.	Open	M	M	M	M	4.00	75.0%	5	50	15				
76	Risk 76	Risk of insolvency of suppliers	Financial	BCC	H	H	H	M	6.00	Reduce	Robust procurement process including supplier assessment including financials. Need to take into account suppliers over-stretching themselves on similar schemes elsewhere. Use of financial bonds where appropriate.	Open	M	M	M	L	2.00	10.0%				3	8	6	20.0
78	Risk 78	Lack of technical knowledge in all organisations (BCC, Jacobs, JAQU, DFT etc) on design and technical interfaces, or inability to respond in timely manner.	Technical / Design	BCC	M	M	M	M	4.00	Reduce	Engage with the right people / teams early, including enforcement, procurement, smart cities and ICT. Also with external organisations. Flag up early if there are concerns about lack of knowledge to address early.	Open	L	L	L	L	1.00	25.0%				1	3	2	10.0
79	Risk 79	Lack of feedback/guidance from JAQU (e.g. on signage / payment portal)	Technical / Design	BCC	M	M	H	H	7.00	Reduce	Work proactively with JAQU on obtaining the feedback / guidance needed. Be clear what is needed and by when. Escalate if there are concerns / delays. Work with other LAs with CAZs as likely to be common problems.	Open	M	M	M	L	2.00	25.0%				1	3	2	10.0
80	Risk 80	DVLA database not available when required (both public checker and for enforcement). Impact on BCC staff with queries and complaints	Technical / Design	BCC	M	H	H	H	8.00	Reduce	Work with JAQU and DVLA to understand availability of test environments and their test plans, as well as their implementation and roll-out plans	Open	M	M	M	L	2.00	25.0%				1	6	2	10.0
81	Risk 81	Inaccurate/incomplete euro emissions data in DVLA database is an issue. Users will need to appeal and update database. Risk that this causes local impacts in enforcement such as refunds.	Technical / Design	BCC	M	H	H	H	8.00	Transfer	Work with JAQU and DVLA	Open	M	M	M	L	2.00	25.0%				1	3	2	10.0
84	Risk 84	The JAQU provided Taxi and Private Hire database doesn't meet BCC's requirements, especially around the two-zones. Will need timely access to the test systems	Technical / Design	BCC	M	M	H	H	7.00	Reduce	Continue working with JAQU	Open	M	M	M	L	2.00	25.0%				1	6	3	10.0
85	Risk 85	The JAQU provided public service vehicle database doesn't meet BCC's requirements, especially around the two-zones. Will need timely access to the test systems	Technical / Design	BCC	M	M	H	H	7.00	Reduce	Continue working with JAQU	Open	M	M	M	L	2.00	25.0%				1	6	3	10.0
86	Risk 86	The Approved Enforcement Device enforcement hardware and technology not available in time for 'go live' e.g. supply chain, manufacture, due to demands from other CAZ areas	Technical / Design	BCC	M	M	H	H	7.00	Reduce	Early work on specification and procurement, as well as technical elements such as on-street infrastructure and power supplies	Open	M	M	H	L	2.33	10.0%				1	6	3	15.0
87	Risk 87	The Approved Enforcement Device detailed design with supplier takes longer, or costs more, than anticipated	Technical / Design	BCC	M	M	H	M	4.67	Reduce	Early work on specification and procurement of AEDs. Need realistic cost estimates. Ensure no scope creep.	Open	L	L	M	L	1.33	25.0%				0.5	6	1	10.0
88	Risk 88	The overall signage design takes longer than anticipated (City Design issues)	Technical / Design	BCC	M	M	H	M	4.67	Reduce	Early work on specification and procurement of signage. Need realistic cost estimates. Ensure no scope creep.	Open	L	L	M	M	2.67	50.0%				0.5	6	1	7.0
89	Risk 89	The signage is hard to design accurately for every site in terms of preliminaries	Technical / Design	BCC	M	M	M	H	6.00	Accept	Need a large allowance of time and budget for signage.	Open	M	M	M	H	6.00	70.0%	1	75	10	1	6	2	2.0
90	Risk 90	The on-street power supply design takes longer, or costs more, than anticipated (also metered / unmetered question?)	Technical / Design	BCC	H	H	H	H	9.00	Reduce	Early work on specification and procurement of on-street power. Need realistic cost estimates. Agree early and be clear on requirements for cabinets, earthing, circuit breakers, testing	Open	M	M	M	M	4.00	50.0%				1	3	2	12.0
91	Risk 91	Structural strength of lamp-columns not able to be ascertained – resulting in more new free-standing poles being required	Technical / Design	BCC	M	H	H	H	8.00	Reduce	Early engagement with street lighting teams on requirements to understand which can and cannot be used.	Open	L	M	M	M	3.33	30.0%	1	12	6				
92	Risk 92	The links to BCC's other ICT systems (e.g. Roadflow, ABW, BCC internal comms / B-net) design takes longer, or costs more, than anticipated	Technical / Design	BCC	M	H	H	H	8.00	Reduce	Creation of Enabling Technology project with a BCC Solution Architect to be assigned to project team. Early engagement with ICT team and identification of suitable resource	Open	L	M	M	M	3.33	50.0%				1	6	3	20.0
93	Risk 93	The ICT system design requires more internal ICT approvals and sign-off and/or requirements e.g. ICT security (BCC ICT / BOpen) than anticipated.	Technical / Design	BCC	M	H	H	H	8.00	Reduce	Creation of Enabling Technology project with a BCC Solution Architect to be assigned to project team. Early engagement with ICT team on requirements including comms, networks, security.	Open	L	M	M	L	1.67	25.0%				0.5	2	1	10.0

No.	Risk Ref	Description	Category	Mitigation owner	Cost	Time	Perf	Rating	RAG	Approach Avoid, Accept, Reduce, Transfer	Mitigation Measures	Status	Cost	Time	Perf	Rating	RAG	Likelihood (%)	Min (£k)	Max (£k)	Likely (£k)	Min (mths)	Max (mths)	Likely (mths)	Delay Cost (£k)/Month
95	Risk 95	Delays in the availability of the highway for CAZ street-works due to new network management arrangements and highway booking from April 2020. Other utilities may have made their reservations first.	Construction	BCC	M	H	H	H	8.00	Reduce	Need early programme of works and book in as soon as possible. Allow some time contingency in programme for delays	Open	L	M	M	L	1.67	10.0%				1	3	2	10.0
97	Risk 97	The Approved Enforcement Device supply and installation takes longer, or costs more, than anticipated due to competing priorities for contractors	Construction	BCC	M	M	M	H	6.00	Reduce	Early specification and procurement. Ensure project programme has sufficient time for the expected competing priorities. Seek procurement advice on use of non-performance rebates etc.	Open	L	L	L	M	2.00	30.0%				1	6	3	10.0
98	Risk 98	The communication system implementation takes longer, or costs more, than anticipated due to a new BCC contractor for fibre and cameras	Construction	BCC	M	M	M	M	4.00	Reduce	Early design and specification of fibre (if required) and cameras / camera mountings. Use mobile comms (4G etc) instead of fixed comms to reduce required infrastructure. Possibly use Dynniq if required.	Open	L	L	L	M	2.00	30.0%				1	6	2	10.0
99	Risk 99	The signage implementation takes longer than anticipated due to competing priorities for contractors	Construction	BCC	M	M	M	H	6.00	Reduce	Early specification and procurement. Ensure project programme has sufficient time for the expected competing priorities. Seek procurement advice on use of non-performance rebates etc (if possible in existing procurement contract for signage)	Open	L	L	L	M	2.00	30.0%				1	6	3	10.0
100	Risk 100	The on-street power supply implementation takes longer, or costs more, than anticipated due to competing priorities for contractors	Construction	BCC	M	M	M	H	6.00	Reduce	Early specification and procurement. Ensure project programme has sufficient time for the expected competing priorities. Seek procurement advice on use of non-performance rebates etc (but unlikely for on-street power)	Open	L	L	L	M	2.00	30.0%				1	6	3	10.0
101	Risk 101	The ICT system implementation takes longer, or costs more, than anticipated due to competing priorities for contractors	Construction	BCC	M	M	M	H	6.00	Reduce	Early specification and procurement. Ensure project programme has sufficient time for the expected competing priorities. Seek procurement advice on use of non-performance rebates etc (but unlikely for ICT system)	Open	L	L	L	L	1.00	20.0%				1	6	2	20.0
102	Risk 102	Unknown geotechnical, environmental, unexpected utilities at the time of installation of columns for cameras and sign poles	Construction	BCC	L	L	M	H	4.00	Reduce	Possible staged implementation to reflect construction issues when identified	Open	L	L	L	H	3.00	70.0%	5	100	25				
104	Risk 104	Integration with the existing BCC back office systems may be more complex than expected and currently this may not be adequately aligned with the new processes required or the JAQU back-office system requirements.	Technical / Design	BCC	M	L	L	M	2.67	Reduce	Creation of Enabling Technology project with a BCC Solution Architect to be assigned to project team. Detailed technical design discussions will be needed with our current supplier to ensure feasibility, assess impact and identify any additional development work that will be needed to meet these new and additional requirements.	Open	L	L	L	L	1.00	25.0%				1	6	3	20.0
105	Risk 105	Multiple LA tenders mean small number of suppliers too busy to submit, or take a commercial decision not to tender as small potential return, or a lack of resources.	Procurement	BCC	M	H	M	H	7.00	Reduce	Ensure market know the scale and scope of BCC project. Ensure contracts have robust penalty clauses for late delivery	Open	M	M	M	L	2.00	25.0%				1	4	3	75.0
106	Risk 106	Current contract for the BCC back-office system is only in place until the end of March 2021, with the option to extend for a further 2 years - if this contract is re-procured and a new solution is selected, within the life-time of CAZ operating, there are likely to be additional	Procurement	BCC	M	M	M	M	4.00	Reduce	Further discussions are needed to identify the appropriate mitigation measures, as several options are possible. Commitment to combine Bus Lane Enforcement and CAZ procurement.	Open	L	L	L	M	2.00	50.0%				1	3	2	20.0
112	Risk 112	Effect of Covid on supply chain - hardware manufacture and supply and permitted construction works	Covid	BCC	H	H	H	M	6.00	Reduce	Work with contractors to ensure they can work in Covid-secure ways and in accordance with all current Covid legislation.	Open	L	L	L	M	2.00	30.0%				2	6	3	75
113	Risk 113	Effect of Brexit on supply chain - hardware manufacture and supply	Brexit	BCC	M	M	M	M	4.00	Reduce	Procurement process to ask questions about minimising the effect of Brexit on supply chains.	Open	L	L	L	M	2.00	30.0%				2	6	4	10

Draft

Bristol City Council Equality Impact Assessment Form



Name of proposal	Improving Public Health: Bristol Clean Air Zone (CAZ) – Full business cases
Directorate and Service Area	Growth and Regeneration
Name of Lead Officer	Mike Jackson, Chief Executive and SRO

1.1 What is the proposal?

Background

Bristol City Council is wholly committed to enabling clean air in the city and to achieving this as quickly as possible, whilst making sure that we put in place measures that will mitigate the impact on people with protected characteristics (and/or from low income households).

Due to the scale of the issue in urban areas nationally, Her Majesty's Government in 2017 formally directed 24 local authorities (including Bristol City Council) to submit plans for how they will achieve compliance to the legal NO₂ limits and how they would implement these plans by the end of March 2021.

Local authorities are therefore required to model various options for achieving clean air and to take forward the option that delivers compliance against the NO₂ legal limits within the shortest possible time, reduces exposure the quickest and ensures that compliance is not just possible but likely.

There have been a number of key changes to the project since the document was last circulated. From 1st July 2019 Bristol City Council carried out a six-week public consultation on two options for achieving NO₂ compliance: option 1: a Medium CAZ C charging scheme with additional non-charging measures and mitigations; option 2, a Small Area Diesel Car Ban with mitigations.

Following consultation and further technical analysis on both options, officers recommended that we progress with a 'Hybrid' option, which merged options 1 and 2 described above. This was the option that achieved compliance in line with our legal obligations.

Since the Council submitted the OBC in November 2019, further modelling and evaluation work has continued as part of refinement work and there have been regular discussions between Bristol City Council and JAQU. The main discussions being;

1. Technical questions relating to the Diesel Ban, in particular the area of the ban and assumptions around behaviour change;
2. Additional technical work that has been carried out that now shows a compliance date for the Hybrid scheme of 2023;
3. Matters relating to the ability to deliver Diesel Ban as Government had not provided the appropriate powers to Bristol City Council to implement a ban by passing the necessary secondary legislation and;
4. The Joint Air Quality Unit (JAQU) requiring further modelling work to ensure that other viable options are being considered by the Council, should they be required. This includes modelling a medium CAZ C with a small CAZ D. Further analysis and sensitivity testing has been continuing on

this option to ensure that the option that is put forward in the Full Business Case fully complies with the Government Direction of achieving compliance with the legal NO₂ limits in the shortest possible time.

The further modelling work has enabled good progress to be made on refining the data and has enabled us to move forward positively. The most important aspect to note is that as a result of this additional refinement work, the compliance year has moved from 2025 to 2023. This will bring improved health to Bristol in a much shorter timescale than originally expected.

On the 13th March 2020 a formal Direction was received from the Rt. Hon Rebecca Pow who wrote to Mayor Rees stating the following:

To ensure delivery of NO₂ compliance in the shortest possible time, I attach to this letter a Ministerial Direction requiring Bristol City Council to:

- Implement a charging Clean Air Zone Class C with additional measures as soon as possible and at least in time to bring forward compliance to 2023. I expect this to begin to be in place by 1 April 2020 at the latest; and
- Submit to JAQU a Full Business Case by 18 September 2020 at the latest.

'In the event that your preferred option of a medium CAZ C with additional measures, which could be either a diesel ban or small area CAZ D, is either not deliverable or is shown through further modelling to not deliver compliance in the shortest possible time, I expect you to pursue an alternative option for compliance, including a medium size class D CAZ.'

Covid-19 impact

It is important to note that having received the Government Direction and letter from the Rt. Hon Rebecca Pow MP on the 13th March 2020, the situation regarding COVID-19 escalated and further Government advice was subsequently provided.

In continuing discussions with JAQU throughout this period, Bristol City Council continued to assess the situation and monitor the impacts of COVID-19. During this time JAQU issued a statement from the Joint Heads of Department stating that no Clean Air Zones will be implemented before January 2021 in recognition of the challenges and unknown entities that the situation presented.

Despite the challenges that lockdown (which commenced on the 23 March 2020) presented, council officers made significant progress in continuing with the additional required modelling and technical assessments as set out in the letter from Minister Pow on the 13th March 2020. These were all submitted in line with the requirements placed upon us.

Following the submission of the required information and subsequent discussions with JAQU officers, the Council was issued with a new Direction on 20 August 2020 which requires the Council to:

Implement the local plan for nitrogen dioxide (NO₂) compliance, specifying a Medium Charging Clean Air Zone Class C with small Charging Clean Air Zone Class D and additional measures, subject to provision of further evidence to be submitted

4.—(1) The authority must take steps to implement the local plan for NO₂ compliance for the areas for which it is responsible.

(2) The authority must ensure that the local plan for NO₂ compliance is implemented so that—

- (a) compliance with the legal limit value for nitrogen dioxide is achieved in the shortest possible time, and by 2023 at the latest;
- (b) exposure to levels above the legal limit for nitrogen dioxide are reduced as quickly as possible.

Duty to submit additional documentation

5.—(1) The authority must submit to the Secretary of State further options appraisal (including transport and air quality modelling) by 4 December 2020 at the latest, in order to provide assurance that the local plan for NO₂ compliance will deliver compliance in the shortest possible time and by 2023 at the latest.

(2) The revised air quality modelling provided under paragraph (1) must demonstrate the green recovery measures and the applicable class of charging Clean Air Zone, in the medium and small zone, appropriate behavioural assumptions, and what (if any) additional measures, or adjustments to the local plan for NO₂ compliance would need to be implemented by the authority to deliver compliance in the shortest possible time.

Duty to prepare and submit a full business cases

6.—(1) The authority must as part of its feasibility study continue with the work necessary to prepare a full business case for the area for which it is responsible.

(2) The full business case must be submitted to the Secretary of State as soon as possible and by 26 February 2021 at the latest.

Submission of the full business case to the Secretary of State

8. When submitting its full business case, the authority must provide the Secretary of State with the following information—

- (a) the date on which it is proposed that the scheme identified in the full business case will start to be implemented, which must be by 29 October 2021 at the latest;

There is a requirement to have undergone the necessary procurement activities, to have installed infrastructure and be ready to go live with the CAZ from this date. In order to achieve this, the FBC must be submitted well in advance to allow for the continued dialogue with JAQU to take place, agreeing the way forward at every gateway review. The Direction is as a direct result of intense engagement with JAQU which is continuing in order to satisfy both parties that the Bristol Clean Air Zone is the right strategic fit for Bristol that will meet the legal requirements.

Post COVID-19 emerging situation

The Outline Business Case (OBC) that was submitted to JAQU in November 2019 included a set of proposals that offered the most appropriate measures for Bristol at that time and that were aligned with the Mayor's strategic vision for the future development and direction of the city. However, the situation changed dramatically, without warning, due to the global pandemic caused by COVID-19.

The council has reviewed the impact of the pandemic and the inevitable change to the project baseline that this presents, the baseline which included previously modelled results and data analysis having been set in 2018 has now dramatically changed. The methodologies, modelling and assumptions that have been used up until the outbreak of COVID-19 are now outdated and do not take into account the effects of COVID-19 on our city. As such, consideration was given to how we move forward in a way that delivers clean air and improved health benefits to Bristol, recognising the unprecedented times we are in while also seeking to protect and enhance our economy.

In July 2020 the Government announced funding of £2bn to create ‘a new era’ for cycling and walking. It has been a long-held ambition for Bristol to create more liveable neighbourhoods that are free from traffic congestion and pollution, giving more space to residents and businesses and improving walking and cycling journeys. This ambition has become more important than ever in the context of Covid-19.

Officers have been in continual dialogue with JAQU to consider the most suitable manner in which Bristol can respond to the pandemic and take into account the new environment. Our bold plans to reallocate through traffic away from the city centre in response to Covid-19 is testament to the level of ambition we hold in transforming how people get around the city. In a short space of time and with the help of enabling legislation from Government, we have made some radical changes to some of the most polluting areas in Bristol. We closed Baldwin Street to help insulate and promote local bus services and ensure that residents are encouraged to adopt public transport and active modes of travel. Other measures include the closure of Bristol Bridge to through traffic other than buses, motorbikes, taxis and cyclists, new segregated cycle routes on Park Row, Upper Maudlin St and Lewin’s Mead. Access to the central hospital and Bristol University has also been improved with new segregated cycle routes and our plans for the autumn and winter will expand the area of focus to our local neighbourhoods, improving liability and air quality in several neighbourhoods while protecting local businesses.

The new proposals seek to build on these measures and develop further schemes to ensure we are successful in improving air quality on our most polluted corridors, making schemes permanent or extended as required.

The fact that we now need to take account of the radical changes that have occurred as a result of the pandemic inevitably means that the baseline data has changed as a result of changed working patterns, altered and travel behaviours; these changes must now be factored into the evidence base for future decision making. In order to do this, we agreed a new three-staged modelling approach with JAQU to update the baseline and provide the most current evidence to make decisions.

A methodology has been adopted that carries out modelling and sensitivity testing (reports that test the modelling results against different scenarios) as well as capturing real time information from existing air quality monitoring units and the automatic number plate recognition (ANPR) data. As an essential element of the proposals, additional new air quality monitoring units will be installed to capture as much accurate and real time data as possible.

This new methodology is largely due to an emerging change in air quality readings. During the periods of lockdown and post lockdown, air quality and traffic levels were continuously monitored at our five continuous sites and 100 diffusion tubes sites. While the improvement in air quality during this time was a welcome effect of the lockdown, in order to define an area as being compliant (within the legal limits set), the air quality is measured using an annual measurement: annual mean. Therefore, it is not possible to officially state that Bristol had become air quality compliant at that time.

There is evidence that air quality improved during the first lockdown as movement around the city reduced and travel behaviour changed. The Council’s preferred approach is to build on these behaviour changes and to encourage citizens and businesses to sustain the recent, less polluting travel behaviour that had been seen during the pandemic, without needing to implement a charging CAZ. The Council has supported this with improvements to roads around the city that make it easier to walk, cycle or use public transport. On September 1st 2020, the Mayor issued a call to action

during a Council Cabinet Meeting, stressing that in order for there to be a reasonable chance of avoiding a charging zone, people would need to modify their travel behaviour. He said:

We need to use this opportunity for people to transition onto public transport. We can have conversations with our bus providers to facilitate that and make sure people can do it in a safe way. But, that transition also helps us build the longer-term case for the mass transit system that we're also bringing through. This really is a call to action. This is not something that the council can deliver alone; this is about us as a city collectively engaging in behaviour change in the way we move around. If we collectively engage in that behaviour change, we can get ourselves to compliance in the shortest possible time in a way that does not further compound the economic woes faced by households and businesses in Bristol.

Whilst we cannot say from the data being gathered that traffic levels and associated pollution levels will definitely return to pre COVID levels, we also don't have sufficient evidence to say otherwise. This data has now been submitted and will be reviewed by the science team at JAQU as part of a full technical review of all the data submitted. JAQU will subsequently conclude what measures Bristol are required to implement.

A further 6-week consultation took place from October 8th 2020. This was extended due to the impact of Covid-19, to the 13th December 2020. There were 2 options consulted on: a dual zone consisting of a Medium CAZ C (charging all commercial non-compliant vehicles) with a small CAZ D (charging all non-compliant vehicles including private cars) and a standalone option of a small CAZ D. This data alongside a revised Distributional Equalities Impact Assessment will all be used to prepare this EqIA.

Step 2: What information do we have?

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

Broadly, there are three types of impact that could arise depending on the decision taken in relation to the FBC:

1. Impact on public health from reducing air pollution
2. Impact on individuals through charging; impact on businesses through enforcement of the CAZ if a CAZ is implemented
3. Impact of additional measures aimed at improving and encouraging sustainable transport options for the residents and visitors to Bristol.

Impact of Reducing Air Pollution

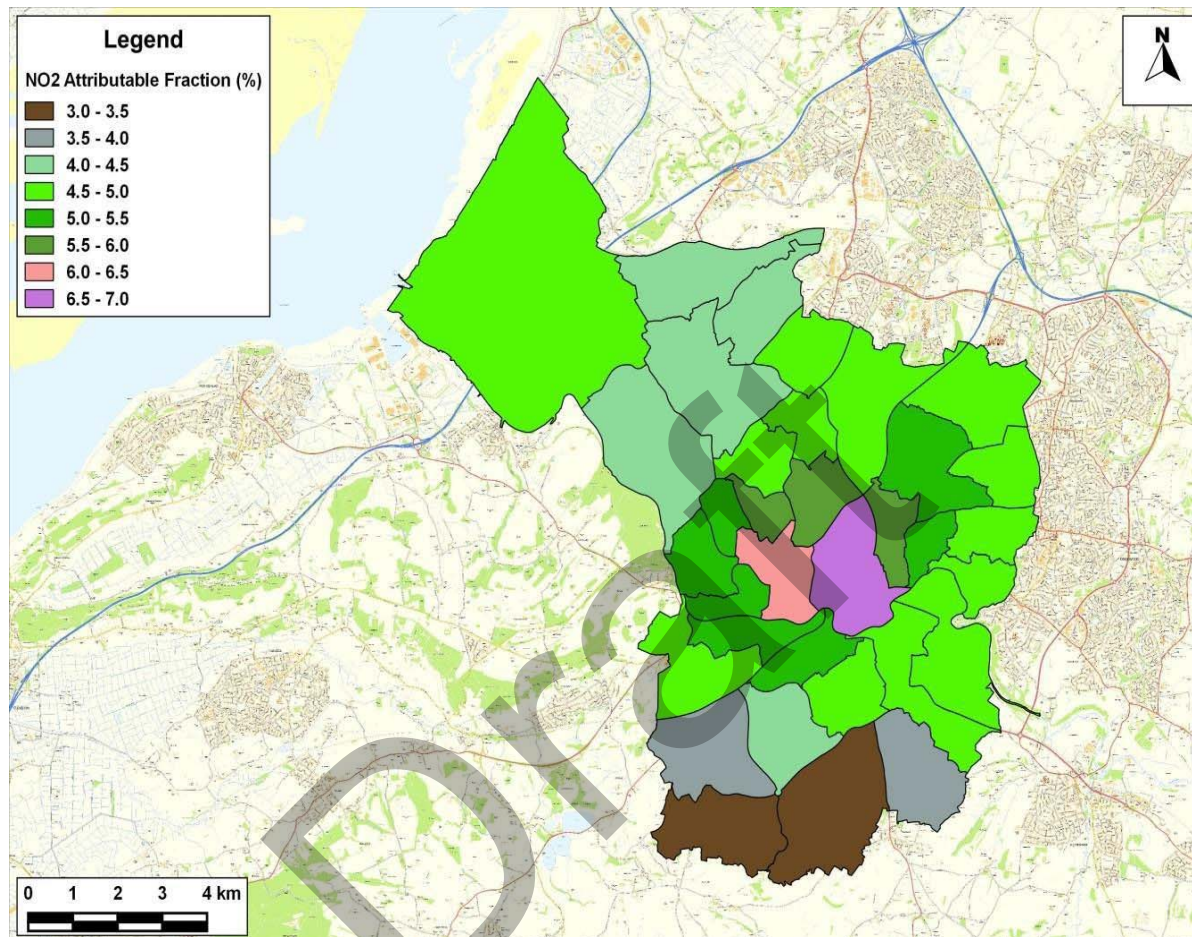
We manage air pollution levels in order to protect public health. Reducing air pollution leads to a reduction in both morbidity and mortality. The most recent analysis commissioned by Bristol City Council – based on evidence from the Committee on the Medical Effects of Air Pollutants (COMEAP)

– calculated that around 300 deaths each year in the City of Bristol can be attributed to exposure to both nitrogen dioxide and fine particulate matter.

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

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

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



Impacts of Charging Zones if implemented

London has introduced an Ultra-Low Emissions Zone (ULEZ) which charges most vehicle types including cars, taxis, buses, motorcycles and vans. This has been in place since April 2019 and covers the same area that London's pre-existing congestion charging zone covered. However, as it has only been in place for a short time, we cannot reliably assess its full impact.

Aside from London's ULEZ, no other UK city has introduced a clean air zone with charges at the time of writing. Therefore, we do not have direct experience of the impact. However, it is reasonable to assume that people from equality groups and/or from low income groups that are required to pay a charge may be negatively affected, and this may have a detrimental impact on life chances and health. This is further explored in section three of this report.

In 2016, a government assessment of the impact of Clean Air Zones was undertaken in five of the cities that were directed to implement CAZs, the findings of which can be read here:

<https://consult.defra.gov.uk/airquality/implementation-of->

Quality of Life Survey

In relation to the proportion of people who say air pollution prevents them leaving their house when they want to, the council's Quality of Life Survey 2019 / 20 shows there are clear differences between both equality groups and where people live. However, people's perception of air quality in their neighbourhood is unlikely to be closely related to NO₂ air quality measurements as it will likely be governed by a range of factors including proximity to busy roads, frequency of neighbourhood bonfires and solid fuel burning and proximity to industrial processes.

Indicator	% for whom air pollution prevents them from leaving their home when they want to
Equalities Group	Percentage
16 to 24 years	8.1%
50 years and older	4.0%
65 years and older	4.4%
Female	5.2%
Male	6.2%
Black Asian and minority ethnicity	5.3%
White minority ethnicity	7.9%
Single Parent	4.7%
Carer	7.2%
Disabled	9.9%
Lesbian Gay or Bisexual)	8.2%
No religion or faith	4.9%
Religion or faith	5.1%
Deprivation (People living in 10% most deprived areas)	6.8%
Bristol Average	5.8% (increase from 4.6% in 2018-19)

Source: Quality of Life in Bristol survey 2019-20

Indicator	% for whom air pollution prevents them from leaving their home when they want to
Ward Name	Percentage
Ashley	8.3%
Avonmouth & Lawrence Weston	3.4%
Bedminster	4.2%
Bishopston & Ashley Down	12.9%
Bishopsworth	4.8%
Brislington East	2.0%
Brislington West	3.7%
Central	7.4%
Clifton	5.1%
Clifton Down	2.9%
Cotham	2.2%
Easton	7.3%

Eastville	5.4%
Filwood	6.2%
Frome Vale	7.1%
Hartcliffe & Withywood	5.6%
Henbury & Brentry	4.6%
Hengrove & Whitchurch Park	2.1%
Hillfields	2.0%
Horfield	7.6%
Hotwells & Harbourside	8.8%
Knowle	5.4%
Lawrence Hill	13.2%
Lockleaze	9.7%
Redland	6.1%
Southmead	4.5%
Southville	5.8%
St George Central	7.3%
St George Troopers Hill	0.45%
St George West	6.75%
Stockwood	3.6%
Stoke Bishop	3.6%
Westbury-on-Trym & Henleaze	6.4%
Windmill Hill	4.4%

Source: Quality of Life in Bristol survey 2019-20

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

A second consultation ran from the 8th Oct 2020 to 13th December 2020. This exercise presented two options to the public, both designed to achieve compliance with legal NO2 limits in the shortest possible time. The options were:

- Option 1: Small area CAZ D
- Option 2: Clean Air Zone C (private cars not charged) with a smaller inner zone of a CAZ D (private cars charged)

The consultation also asked respondents how concerned they are about the health impacts of poor air quality in Bristol and it sought feedback from citizens, businesses and other stakeholders on the two options. Due to the limitations caused by Covid-19, drop-in sessions and face to face activities were hugely reduced. To boost response rates and to target low-responding parts of Bristol, 20,000 paper surveys were delivered direct to addresses in areas which have historically low response rates to consultations and high levels of deprivation and monitored the response rate during the engagement. We then hand delivered a further 2000 in areas where the response rate was low in these deprived wards e.g. Lawrence Hill and Lockleaze. We also offered phone appointments, virtual chats, postal address and an email address to everyone (not just businesses) to ensure that there were high- and low-tech ways of contacting the council so reducing barriers for those who don't have online access. The team also contacted all the equality and faith groups by email, asking them to reach out to communities and help their community get involved and CDT were also asked to support the consultation.

The second consultation received responses from a wide range of groups and residents. Overall, the survey received 4,225 responses, of which 3,760 (89%) were self-completed online and 465 (11%) were self-completed using paper surveys.

3,431 responses (81%) were received from postcodes within the Bristol City Council area, 214 (5%) responses were from South Gloucestershire, 105 (2%) were from North Somerset, and 37 (1%) were from Bath & North East Somerset (B&NES). 49 (1%) responses were from further afield, 23 (less than 1%) respondents provided unidentifiable postcodes, and 366 (9%) did not provide a postcode.

Deprivation - The home location of respondents in Bristol was compared with nationally published information on levels of deprivation across the city to review if the responses received include a cross-section of people living in more deprived and less deprived areas. The comparison looked at levels of deprivation in 10 bands (known as 'deciles') from decile 1 (most deprived) to decile 10 (least deprived). The response rate from the most deprived parts of Bristol (deciles 1, 2, 3 and 4) is less than the proportion of citizens living in those areas. The proportion of respondents in deprivation decile 5 closely matches the proportion of Bristol citizens living in deprivation decile 5. Response rates from the least deprived parts of the city (deciles 7 to 10) are higher than the proportion of Bristol citizens living in those areas.

Although, the more deprived areas are under-represented as a proportion of the population, the large number of responses in all deciles enables meaningful comparison of the views of people living in the most deprived and least deprived areas.

Age - The most common age of respondents was 35-44 years (23%), followed by 25-34 (20%) and 45-54 (19%). The proportion of responses in the age categories 35-44, 45-54, 55-64 and 65-74 were higher than these age groups' proportion of the population in Bristol. Survey responses from children (under 18), young people aged 18-24 and people aged 85 and older were underrepresented. In each age category, the proportions of all respondents and Bristol respondents were very similar.

Sex - 41% of all responses were from women and 58% were from men. 0.4% was from people who identified as 'other' (0.6% for Bristol respondents).

Disability - The proportion of disabled respondents (8%) matched the proportion of disabled people living in Bristol. The proportion of disabled respondents living in Bristol was slightly lower (7%).

The proportions of White British respondents (85%) and White British respondents from Bristol (84%) are higher than the proportion of White Bristol people in the Bristol population. The response rates from White Irish (2%) and Other White respondents (8%) were also higher than the proportion of these groups living in Bristol.

The responses rate from Gypsy / Roma / Traveller people (0.1%) closely matches proportion of these citizens in the Bristol population.

All other Black, Asian and Minority Ethnic respondents were under-represented in the response rates compared to the proportion of BAME citizens living in Bristol. However, we were unable to carry out many of the engagement methods we have used in previous consultations due to COVID-19 restrictions.

Religion/faith - People with no religion (67% of respondents and 70% of Bristol respondents) responded in higher proportions than people of no religion in Bristol's population. Christians (27%), Muslims (0.8%), Hindus (0.4%) and Sikhs (0.2%) were under-represented compared to the

proportions of these faiths living in Bristol. The proportion of Jewish respondents (0.4%) was higher than the Bristol population, as were Buddhists (1%) and people of other faith (2%).

Briefings were held with several groups including Business West (with 55 businesses joining), University Hospital Bristol NHS Trust, Southmead Hospital, University of Bristol, University of West of England, Bristol Workplace Travel Network, waste contractors, and neighbouring councils. We also contacted 1,385 businesses about the consultation.

Other activities include an online campaign, radio adverts and live reads (Ujima and BCFM), adverts in hyperlocal publications and newsletters, toolkit including suggested social posts, press release and newsletter content to key stakeholders including councillors.

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

As before, a full consultation programme was designed and planned to ensure that people in the West of England region understood the issues surrounding air quality as well as the potential solutions.

Under normal circumstances the engagement process would have been managed in a different way. It would normally entail face to face meetings and door knocking shifts where the team would visit on each business, speak to the relevant person, give them physical copies of the information and guide them through the consultation on an iPad; as with the first consultation. Due to Covid-19 and the restrictions at the time, all the engagement work was carried out remotely via email, telephone and video conferencing.

The Transport Engagement and Active Travel team led on the business engagement element of the Clear Air Zone (CAZ) second consultation, due to the expertise within the team. The Business Engagement Officers work with businesses to encourage investment in sustainable travel modes both for their fleets and for their employees by providing expert advice, free support and signposting them to the key offers. The advice and support range from match funded grants, electric bike loans, and workplace travel audits, to staff engagement events, personalised travel planning and bike maintenance sessions.

The Travel Advisors within the team led on the phone calls and emails as instructed by the Business Engagement Officers. The team sent initial emails explaining the CAZ consultation and detailing the current sustainable travel support. Officers sent 1,005 businesses one or more emails with information about the Traffic Clean Air Zone, a call to action to complete the consultation and information about the Access West support. The Travel Advisors then telephoned all business where a response had not been obtained. This enabled officers to reach more businesses as the initial data gathering exercise often returned general email addresses. By telephoning the team could often get to speak to the correct person or obtain an email address for them.

As part of this work the Business Engagement Officers also held a range of virtual meetings with the larger employers in the city to delve a little deeper into the details of CAZ and what that will mean for their organisations. The officers answered questions, talked through any concerns and have agreed to continue these meetings to provide ongoing support whilst the details of the CAZ are developed.

Overall, the team put in over 650 hours of officer time supporting businesses during the consultation. The officers have since supported on the paper copy data input and the coding of the free text analysis which contributed to another 100 hours of officer time.

Briefings were held with several groups including Business West (with 55 businesses joining), University Hospital Bristol NHS Trust, Southmead Hospital, University of Bristol, University of West of England, Bristol Workplace Travel Network, waste contractors, and neighbouring councils. We also contacted 1,385 businesses

Step 3: Who might the proposal impact?

3.1 Do the proposed options have any potentially adverse impacts on people with protected characteristics?

The full modelling of the impact of a small CAZ D was carried out as part of the wider modelling work and analysis that took place as a result of the new Direction received on 20 June 2020 and was reported to JAQU as requested.

Air quality improves for most residents across all the options assessed. Distributional impacts of air quality changes are also broadly even, though exceptions again exist, with impacts for some combinations of options and demographic groups not being evenly distributed.

Accessibility impacts are likely to be mixed. Trip-making propensity impacts are evenly distributed in comparison with population distributions but are most heavily on the middle and lower quintiles of income deprived areas, areas with the most children and those that have the lowest proportions of females. Impacts are disproportionately felt by the higher quintiles of the concentration of ethnic minorities, middle quintiles for disabled residents and more evenly for older people. TUBA time benefits are also used as a proxy for accessibility; these are largely beneficial and the distributional impact broadly even.

Affordability impacts are likely to be negative across the socio-economic and business groups that directly interact with CAZ area, especially where there are charges for non-compliant cars or any restrictions on specific movements. Impacts are disproportionately felt by the second most and least income deprived communities.

Impacts also fall on businesses operating non-compliant LGVs and HGVs who are either based in the CAZ area or based elsewhere but operate within central Bristol and hence also interact with the CAZ area. Using TUBA vehicle operating cost benefits as a proxy for affordability indicates that the impacts are generally positive across the city as a whole, and distributional assessment of this impact is reasonably even, with a slightly greater proportion in middle-income areas than either the most or least deprived areas.

There will be direct impacts on the costs of operation for LGV/HGV reliant businesses, where their operations interact with the CAZ area.

Trips by non-compliant LGV/HGV reliant businesses are reasonably spread around the city.

The extent of impact on non-compliant car owners varies with the extent of users' trip-making requirements associated with the class 'D' charging measures in the CAZ area. Distribution of non-

compliant car ownership is slightly skewed to lower income groups. However, the (in) ability of households to react to restrictions is unevenly felt by lower income groups (for instance, there are fewer multi-car households that could potentially use a compliant vehicle).

* The TUBA software undertakes the economic appraisal of transport schemes in accordance with the Department for Transport's cost benefit analysis guidance.

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

Bristol City Council is committed to delivering an option that complies with the legal tests while at the same time seeking to put in place measures that will mitigate any disproportionate adverse impact for people on the basis of their protected characteristics, and for low income households. To develop Bristol's proposed option, officers from the Council have been in regular contact with officials from JAQU since 2018, holding weekly catch up calls. Initially the Council developed a shortlist of options in line with JAQU assessment criteria reported to council in March 2018. The subsequent assessment of the options produced 2 'preferred options' at the time based on the year they would be likely to reach compliance.

Initial modelling showed the options having different compliance dates; 2030 for the Medium CAZ D (charging all non-compliant modes) and 2024 for a Small Area Diesel Car Ban. The first option raised concerns about time to compliance and both options raised concerns about the impact on some equalities groups (in particular disabled people) and low income households, so further consideration was given to options that would meet the terms of the directive and legal tests, while at the same time mitigating the impact.

This led to the development of the Hybrid option and more recently this has been revised (20th August 2020) to a Direction that includes a Medium CAZ C and small CAZ D (unless evidence shows that a charging CAZ is no longer required to meet legal compliance). The Hybrid Option with a small diesel ban area is no longer to be pursued. We have been working with JAQU and have developed modelling to show the impact of the Street Space and Fast Track Measures on the CAZ plans. Bristol are currently directed to implement a Medium CAZ C with an inner, Small CAZ D. Evidence was recently provided to JAQU, showing that a Medium CAZ C is no longer needed to reach compliance in the shortest possible time and that, therefore, only a small CAZ D is needed. This evidence is currently being assessed by JAQU. Once assessed, Ministers will take a view on the measures that is most effective, fair, good value and will deliver the required improvements in air quality in the shortest time possible. Although adverse impacts upon protected groups likely remain if a charging CAZ is implemented, these will be mitigated by the following measures:

The key proposed mitigations for the CAZ (charging zone) from an equalities perspective are:

- a) A loan and grant scheme, prioritised for lower income households, disabled people, and local businesses to maintain their mobility. This replaces the scrappage scheme that was originally proposed. It was removed following consultation and feedback from Scrutiny and stakeholders. Following a review, it is deemed that the loan and grant scheme provides wider benefits and removes the need to scrap newer vehicles unnecessarily, it also includes the ability to support adaptations to vehicles to make them compliant which the scrappage scheme didn't provide adequate support for.
- b) Traffic signal management in higher polluted corridors
- c) Exemptions are still being considered following the consultation; these are likely to include but are not limited to concessions for low income households and those drivers with the registered disabled vehicle class.
- d) Mobility credits will be made available along with support for businesses and residents to switch modes from the private car to more sustainable modes such as cycling.

Exemptions are still being worked up in light of the recent changes noted above and will be balanced against the need to achieve legal compliance in the shortest possible time. If too many exemptions are included, this could impact the compliance date. In turn, this would weaken the positive impact of the proposal on groups with protected characteristics.

Due to the legal timeframes set in place for this project, we may not be able to offer as many exemptions and concessions as we would have liked as we are legally directed to ensure compliance in the shortest possible time. We are aware that there may be potential issues for our most vulnerable residents that could arise as a result of the scheme being implemented and will continue to consider all possible impacts. We will work with local residents to best understand their issues. This is caveated with the need to meet legal timescales and make sure we are improving air quality. We may not be able to offer all exemptions, but we will continually review the mitigation measures offered and make sure what we're offering are the right measures for all affected. This is all going to be reviewed with a final list being included in the full business case in February 2021.

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

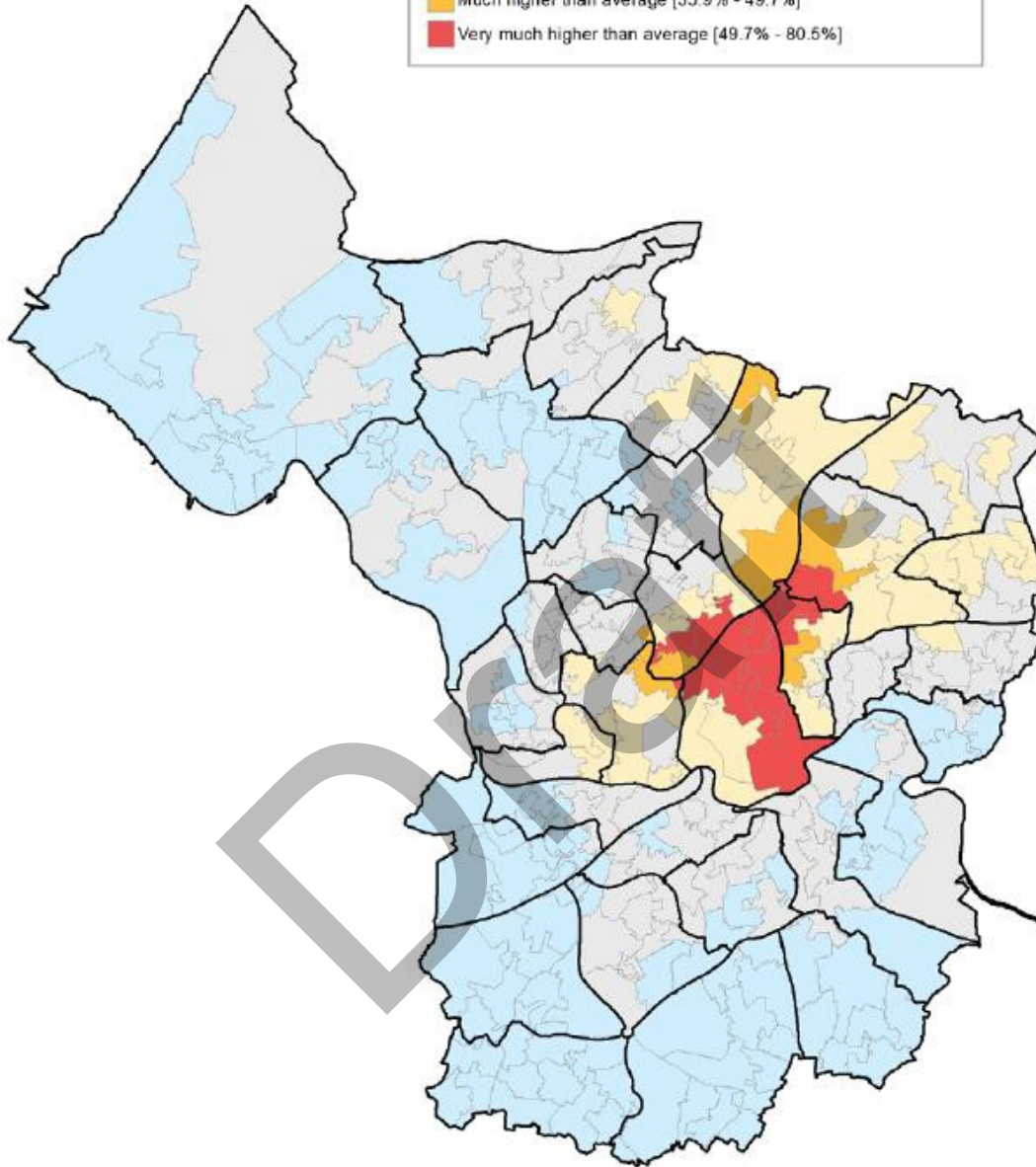
Considering air pollution in relation to protected characteristics:

- Race: Black, Asian and minority ethnic people make up a larger proportion of the population living in the more polluted areas – the AQMA - than the city as a whole, and therefore it is reasonable to assume that they experience greater exposure to air pollution. Successful interventions to improve air quality should contribute to improving the citywide health of Black, Asian and minority ethnic people.

2011 Census by Lower Layer Super Output Area

BME population as % of total population

- Below average [1.4% - 8.2%]
- Similar to average [8.2% - 22.0%]
- Above average [22.0% - 35.9%]
- Much higher than average [35.9% - 49.7%]
- Very much higher than average [49.7% - 80.5%]



- Age: some age groups – the very young and older people – are more likely to be vulnerable to the effects of air pollution. As a result, general improvements will benefit these age groups more. Their relative geographical distribution is not strongly aligned to polluted areas or potential charging zones.
- Disability: some disabled people, for example those with breathing difficulties are more vulnerable to air pollution.
- We do not have evidence to indicate that people are differentially exposed or vulnerable to air pollution on the basis of their: marriage / civil partnership; gender reassignment; or religion and belief.

Our conclusion therefore is that improving air quality to meet legal compliance for nitrogen dioxide

is likely to be beneficial to the whole population with more positive impacts on Black, Asian and minority ethnic people, children, older people and people with breathing conditions.

3.4 Can they be maximised? If so, how?

The benefits can be maximised by achieving legal compliance and reducing exposure in the shortest possible time. Consideration should also be given as to whether, in achieving legal compliance in the shortest possible time, wider improvements in air quality can be delivered in areas that are already compliant but still experience health impacts from air pollution.

Step 4: So what?

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

- The preferred outcome was to implement a range of other measures meaning that legal compliance would be met without a charging CAZ. As noted above, following the recent submission of further evidence to JAQU, if a scheme is needed the preference would be for a small area CAZ D.
- In identifying potential mitigation targets, it has noted potential exemptions for groups with protected characteristics. For example, the potential exemptions for drivers with a registered disabled vehicle class, and exemptions from both charging zones for community and home-to-school transport vehicles.
- In identifying potential mitigation targets, it has endorsed the inclusion of mitigation measures, such as a loan and grant scheme to enable people with protected characteristics and low-income households with polluting vehicles to enable alternative transport solutions under the scheme.

4.2 What actions have been identified going forward?

The key mitigation measures, exemptions for the proposed options are being developed to ensure the disproportionate impact on low income households and people with protected characteristics is effectively managed. This includes ongoing engagement with communities and key stakeholders across Bristol to raise awareness of the impacts in order to plan around them, draw attention to air quality benefits for the city, and raise awareness of mitigation of adverse impacts by the council.

This future engagement plan is currently being updated following the recent consultation. This will include working with equalities stakeholders to target groups that were underrepresented in previous engagement and consultation.

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

As part of the full business case, an Evaluation & Monitoring Plan will be drawn up. This lays out how the project's benefits will be monitored through the sensor network in order to show that air pollution levels have reached legal compliance in the directed timeframe. Through the network of sensors, the council will be able to monitor air quality improvements by area, and evaluate the degree to which lower income neighbourhoods, and areas with a higher proportion of residents with protected characteristics, are improving compared to the mean. It is expected that the majority of this work will be carried out by the sustainability team. Given all the recent changes, this is currently being re-drafted and will be submitted as part of the FBC.

The monitoring of the proposal's financial and accessibility impacts upon groups with protected characteristics are difficult to monitor independently, as the future Quality of Life Survey results

on accessibility and transport will be affected by a range of inter-dependent factors outside the scope of this project. This EqIA will be submitted to Cabinet alongside the Full Business Case, which will both then submitted to JAQU in February 2021.

Service Director Sign-Off:	Equalities Officer Sign Off: Reviewed by equality officer
	Date: 10/2/2021

Draft



**Bristol City Council Clean Air Zone
Full Business Case
Environmental Appraisal**

FBC-21 | 5
February 2021

Bristol City Council

Bristol City Council Clean Air Zone

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Document history and status

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1	11/10/19	Draft	HJ	SI	HO	HO
2	24/10/19	Draft	HJ	SI	HO	HO
3	28/10/19	Draft	HJ	SI	HO	HO
4	29/06/20	Updated Draft to include revised options	VB	SI	HO	HO
5	05/02/2021	Updated draft	SB	SI	HO	HO

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Appendix A. Archaeological & Heritage Assets

Acronyms and Abbreviations

AADT	Annual Average Daily Traffic
ANPR	Automatic Number Plate Recognition
AQMA	Air Quality Management Area
BCC	Bristol City Council
CAP	Clean Air Plan
CAZ	Clean Air Zone
Defra	Department for Environment, Food & Rural Affairs
DfT	Department for Transport
HGV	Heavy Goods Vehicle
JAQU	Joint Air Quality Unit (Defra and the Department for Transport)
LGV	Light Goods Vehicle
$\mu\text{g}/\text{m}^3$	Micrograms per cubic metre
NO_2	Nitrogen dioxide
NO_x	Nitrogen oxides (taken to be $\text{NO}_2 + \text{NO}$)
OBC	Outline Business Case
OUV	Outstanding Universal Value
PCM	Pollution Climate Mapping
PM_{10}	Small airborne particles less than 10 micrometres in aerodynamic diameter
$\text{PM}_{2.5}$	Small airborne particles less than 2.5 micrometres in aerodynamic diameter
WHS	World Heritage Site

1. Introduction

1.1 Background

Poor air quality is the largest known environmental risk to public health in the UK¹. Investing in cleaner air and doing more to tackle air pollution are priorities for the EU and UK governments, as well as for Bristol City Council (BCC). The Mayor of Bristol has often cited Bristol's 'moral and legal duty' to improve air quality in the city and the administration recognises that achieving improved air quality is not solely a transport issue. Notwithstanding the Council's work on a Clean Air Zone, efforts have been made to make citizens more aware of – and take personal responsibility for – various sources of air pollution, from traffic fumes to solid fuel burning. The Mayor has articulated a 'call to action' for local people, businesses and organisations to consider how small changes can make a significant difference in cutting toxic fumes across the city. BCC has monitored and endeavoured to address air quality in Bristol for decades and declared its first Air Quality Management Area in 2001. Despite this, Bristol has ongoing exceedances of the legal limits for Nitrogen Dioxide (NO₂) and these are predicted to continue until around 2027 without intervention.

The added context is that of the COVID-19 pandemic. Recent research suggests that poor air quality may be correlated with higher death / infection rates from COVID-19. This is further compounded by growing evidence that suggests that those from black, Asian and minority ethnic communities are more at risk of catching and dying from the virus and the fact that individuals from these communities are more likely to live in areas where air quality is poor. The challenge of maintaining public health and supporting economic recovery while also achieving legal air quality levels after lockdown restrictions are lifted will remain live and intersecting issues for the foreseeable future.

The UK Government continue to transpose European Union law into its Environment Bill², to ensure that certain standards of air quality continue to be met, by setting air quality assessment levels (AQALs) on the concentrations of specific air pollutants. It's very unlikely that these AQALs will differ to EU Limit Values prescribed by the European Union's Air Quality Directive and transcribed in the UK's Air Quality Standards Regulation 2010. Therefore, these Limit Values will remain in enforcement post-Brexit. In common with many EU member states, the EU Limit Value for annual mean nitrogen dioxide (NO₂) is breached in the UK and there are on-going breaches of the NO₂ limit value in Bristol. The UK government is taking steps to remedy this breach in as short a time as possible, with the aim of reducing the harmful impacts on public health. Within this objective, the Government has published a UK Air Quality Plan and a Clean Air Zone Framework, both originally published in 2017 (noting there have been subsequent revisions). The latter document provides the expected approach for local authorities when implementing and operating a Clean Air Zone (CAZ). The following business cases have been submitted to JAQU for the Clean Air Plan; Strategic Outline Case (April 2018), and an Outline Business Case (November 2019 and updated between April and June 2020).

Jacobs has been commissioned to support BCC to produce a Full Business Case (FBC) for the delivery of the Clean Air Plan (CAP); a package of measures which will bring about compliance with the Limit Value for annual mean NO₂ in the shortest time possible in central Bristol.

The UK Government has an obligation to achieve EU Air Quality Limit Values (Directive 2008/50/EC, Annex III). The relevant 'Limit Value' relates to NO₂, which must not exceed 40 µg/m³ as an annual mean (i.e. measured over a calendar year).

The primary drivers for this Limit Value are public health concerns associated with NO₂. Specific health impacts associated with NO₂ inhalation include (WHO, 2016):

¹ Public Health England (2014) Estimating local mortality burdens associated with particular air pollution.

<https://www.gov.uk/government/publications/estimating-local-mortality-burdens-associated-with-particulate-air-pollution>

² Environment Bill 2019-21 <https://services.parliament.uk/bills/2019-21/environment.html>

- High concentrations can lead to inflammation of the airways; and
- Long-term exposure can increase symptoms of bronchitis in asthmatic children and reduce lung development and function.

A range of other public health issues are also linked to poor air quality, as detailed below. These issues are believed to disproportionately affect 'at-risk' groups, such as older people, children and people with pre-existing respiratory and cardiovascular conditions (World Health Organization, 2013).

- Long-term exposure to air pollution is linked to increases in premature death, associated with lung, heart and circulatory conditions;
- Short term exposure can contribute to adverse health effects, including exacerbation of asthma, effects on lung function and increases in hospital admissions;
- Other adverse health effects, including diabetes, cognitive decline and dementia, and effects on the unborn child (Royal College of Physicians, 2016) are also linked to air pollution exposure;
- Exposure can exacerbate lung and heart disease in older people (Simoni *et al.*, 2015); and
- Approximately 40,000 deaths can be attributed to NO₂ and fine particulate matter pollution in England every year (Royal College of Physicians, 2016).

In light of the public health issues outlined above, the UK government is legally responsible for ensuring that it complies with the provisions of the EU Air Quality Directive. The Government assesses air quality compliance with the EU Directive in 43 areas across the country at single locations, using both monitoring and modelling. It uses Defra's Pollution Climate Mapping (PCM) model to forecast exceedances, which is adjusted based on the monitored data. This is the approved means of reporting air quality information to assess legal compliance with the EU legislation.

In 2015, 37 of the 43 monitored areas across the country were in exceedance of the annual mean Limit Value for NO₂.

Baseline modelling (see Appendix D to the FBC) predicted that annual concentrations of NO₂ showed exceedances of the Limit Value for NO₂ in 2021 at various locations, predominantly in central Bristol (see Figure 1-1).

The UK Government has discretionary powers to pass on the responsibility of managing the exceedances (and associated legal outcomes) to local authorities. Hence, there are public health and regulatory imperatives for improving air quality in BCC's administrative area. This specifically applies to the City of Bristol.

To meet UK Government regulations, local authorities must demonstrate that they are working towards the National Air Quality Objectives (AQOs). The objective level for concentrations of NO₂ within the national legislation are the same as the European limits (annual mean of 40 µg/m³) but are applied and assessed differently. AQOs only apply where people are exposed for the averaging period of the Objective (i.e. for a year) and therefore compliance with AQOs is assessed most commonly at building facades (where people are regularly present for long periods), including around busy major junctions.

The Government's Local Air Quality Management (LAQM) regime requires all local authorities to regularly review and assess whether AQOs have been achieved at relevant locations. Where the assessment shows exceedances at relevant locations, the authority must declare an Air Quality Management Area (AQMA) and prepare an action plan which identifies appropriate measures in pursuit of the national AQOs.

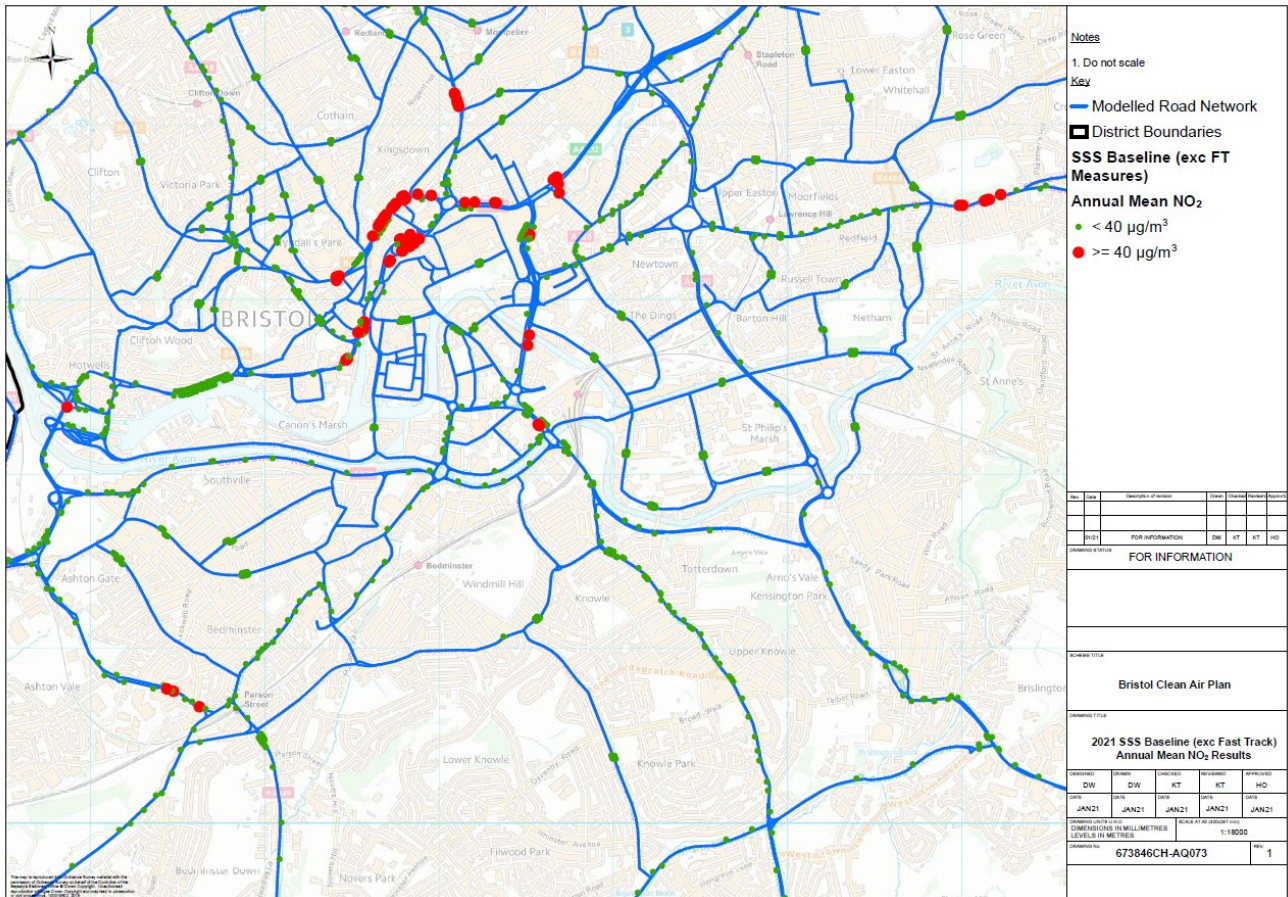
During the COVID-19 pandemic, a number of Street Space schemes have been implemented to open up road space usually reserved for parking and movement of general traffic to public transport, cyclists and pedestrians to:

- Enable better social distancing, especially in local shopping areas;
- Encourage people to travel by bike or walk; and
- Reduce air pollution.

These Street Space Schemes have been included within the Baseline modelling.

Further details of the Air Quality Modelling undertaken to support the FBC, are set out in Appendix D to the FBC.

Figure 1-1: Predicted NO₂ concentrations in 2021 (Baseline with Street Space Schemes scenario)



1.2 Clean Air Zones

In line with Government guidance, BCC has considered the implementation of a CAZ, including both charging and non-charging measures, in order to achieve a sufficient improvement in air quality and public health.

- 1) A CAZ is defined as a specific geographical area where targeted action is taken to improve air quality through charging a daily fee to vehicle owners to enter, or move within, the zone if they are driving a vehicle that does not meet the particular emission standard for their vehicle type in that zone.
- 2) A CAZ is different to a congestion charge. A CAZ aims to improve air quality through discouraging high emission vehicles. A congestion charge targets high traffic flow. The Government is providing funding for Local Authorities to implement charging CAZs within their area.
- 3) A CAZ would be supported by non-charging measures, which would prompt and help enable behaviour change and transport modal shift.
- 4) The CAZ classes are defined in the Defra/DfT's Clean Air Zone Framework (Defra, 2017). The framework sets out which vehicles are affected by each CAZ class and what the minimum Euro standards are for each vehicle type. The four CAZ classes include:
 - Class A charging: buses, coaches, taxis, private hire vehicles
 - Class B charging: buses, coaches, taxis, private hire vehicles and HGVs
 - Class C charging: buses, coaches, taxis, private hire vehicles, HGVs and LGVs

- Class D charging: buses, coaches, taxis, private hire vehicles, HGVs, LGVs and cars.

1.3 Business Case

This document is written to support the Full Business Case (FBC) and describes the environmental baseline data and potential environmental impacts of implementing the CAP scheme in Bristol. Due to the urban nature of the scheme, this assessment focuses on the environmental topics of most relevance to the inner city of Bristol, where the impacts can be estimated to a greater level of certainty than locations outside of this area. These impacts are attributed solely to vehicle traffic within and around the scheme, and they are predicted based on traffic modelling (Appendix E to the FBC). This document also considers the potential impacts on the adjacent South Gloucestershire Council (SGC) administrative area from the implementation of a Bristol CAP scheme and the potential displacement of traffic into South Gloucestershire.

A detailed assessment of the impacts of this scheme on air quality has been undertaken within the FBC, using traffic and air quality models. The option that has been fully modelled is the Small CAZ D Option. This scheme option together with the defined boundary are described in Sections 1.3.1 and 1.3.2 below.

The traffic modelling (Appendix E to the FBC) referred to in this report compares the 2021 and 2023 traffic model results (without scheme, but with the addition of the Street Space Schemes), with the results of the Small CAZ D scheme.

1.3.1 Preferred scheme option

The Small CAZ D Option consists of the following measures:

- A charging scheme for non-compliant buses, taxis, HGVs, LGVs and cars. This charge applies once a day regardless of how many times you go in or out of the small zone.
- Fast Track Measures including:
 - Cumberland Road closure inbound
 - Cycle scheme – Old Market Gap cycleway
 - Additional air quality monitors
 - Signal management

1.3.2 Traffic modelling

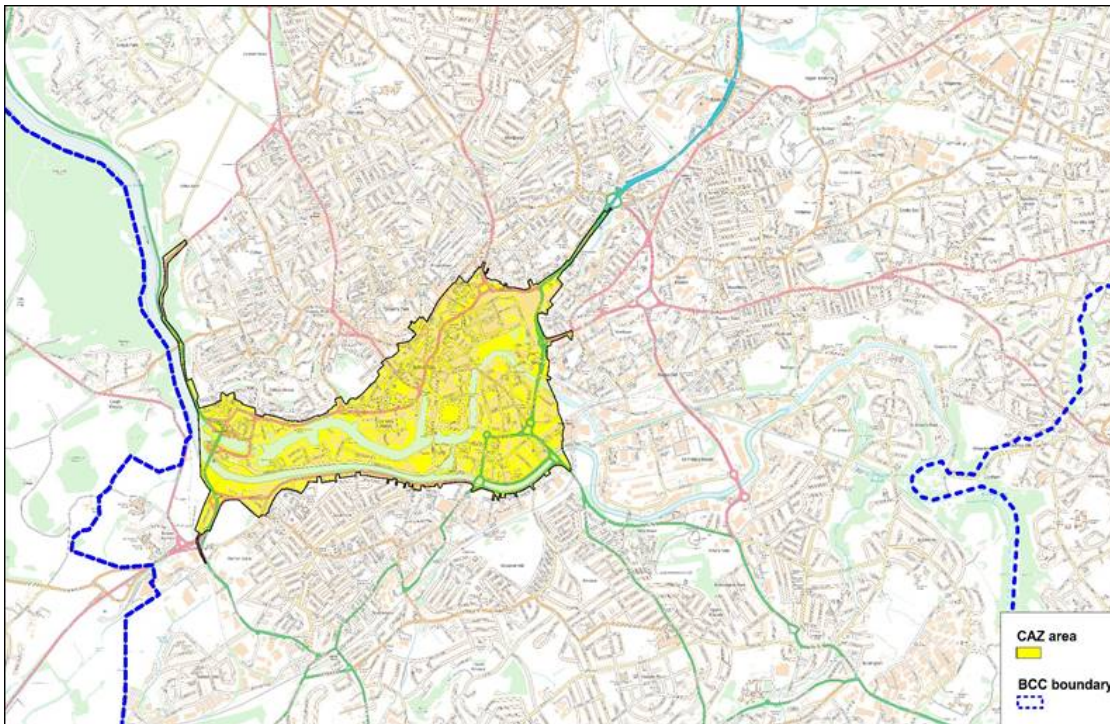
The traffic modelling results indicates that the Small CAZ D Option reduces vehicle traffic accessing the City Centre, as well as through traffic using roads in the CAZ, in 2021. However, it does result in some slight increases on roads mainly outside of the CAZ boundary, as non-compliant drivers attempt to avoid the charge by using routes around it. The scale of these potential impacts is considered to be modest, as almost all the changes on links showing increases can be considered as well within normal day-to-day variation in traffic volumes. With reduced traffic flows in the City Centre, traffic congestion in this central area could be reduced, leading to improvements not only for cars, but also quicker journey times and greater journey time reliability for public transport. This could allow greater punctuality of public transport and increase its attractiveness as an alternative to the car.

The work undertaken to inform the scope of the scheme is set out in the Option Assessment Report, Appendix C to the FBC.

1.3.3 Option Boundary

The boundary of the Small CAZ D Option is shown in Figure 1.2.

Figure 1.2: Small CAZ boundary



1.4 Scope of this Assessment

This high-level, non-statutory environmental assessment is focused on the potential environmental impacts of the Small CAZ D Option, as described in Section 1.3 of this document. The environmental topics (taken from DfT, 2015) of most relevance to the assessment, which are therefore 'scoped in' to this assessment are:

- Noise;
- Air quality;
- Cultural heritage
- Townscape; and
- Greenhouse Gases;

Topics scoped out due to the insignificance of any potential impacts, based on professional judgment, comprise:

- Biodiversity;
- Landscape; and
- Water Environment.

2. Greenhouse Gas Emissions

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

Based on air quality modelling outputs, the intervention option will marginally increase the quantum of GHG. This is linked to changes to vehicle speeds, vehicle redistribution, and fleet composition induced by the intervention (see Table 2-1). Further detail on Greenhouse Gas emissions can be found within the Economic Case (FBC-5).

Table 2-1: GHG impacts

Impact	Small CAZ D
Cumulative Difference in CO ₂ Emissions, 2021-30 (tonnes)	-1,010

3. Noise

3.1 Baseline

The strategic-level noise mapping undertaken by Defra (<http://www.extrium.co.uk/noiseviewer.html>) of the road and rail network show the noise climate along the major roads and railways within the Study Area (refer to Figures 3.1 and 3.2).

Following a sift process undertaken by Defra, numerous locations have been identified as noise Important Areas (noise IA) within the BCC and SGC Authority Areas. Properties located within the identified noise IAs are particularly sensitive to any increases in noise levels. Figure 3.3 illustrates the noise IAs for road and rail traffic within the Study Area.

In terms of sensitive receptors to noise and vibration, these are defined as those locations where members of the public might be regularly exposed to such factors, such as residential properties, schools, hospitals and care homes. The Study Area supports both commercial and residential land uses.

3.2 Potential Impacts

Although roads, rail and flights are known to be amongst the most significant noise sources in Bristol, there are no up-to-date noise data that have been produced for the Study Area specifically and no other detailed information is available relating to the noise baseline within or around the proposed CAZ scheme option. As a result, a detailed assessment of potential noise impacts that could arise from the proposed scheme option is not possible; however it is likely that the Small CAZ D option has the potential for both temporary (during construction) and permanent (during operation) adverse and beneficial impacts on noise sensitive receptors within the Study Area, depending on their locational relationship to the proposed measures.

Operational impacts have been screened out, as changes to traffic levels on most roads are expected to be less than 25%.

In terms of construction impacts, Design Manual for Roads and Bridges; LA111 Noise and Vibration³ states that 'construction noise and construction traffic noise shall constitute a significant effect where it is determined that a major or moderate magnitude of impact will occur for a duration exceeding:

- 1) 10 or more days or nights in any 15 consecutive days or nights;
- 2) A total number of days exceeding 40 in any 6 consecutive months.'

The construction impacts of the proposed CAZ scheme is not expected to meet these thresholds.

³ <https://www.standardsforhighways.co.uk/prod/attachments/cc8d67-c225-454-8d32-d5398796b364?inline=true>

Figure 3.1: Defra’s strategic-level noise mapping – road traffic noise

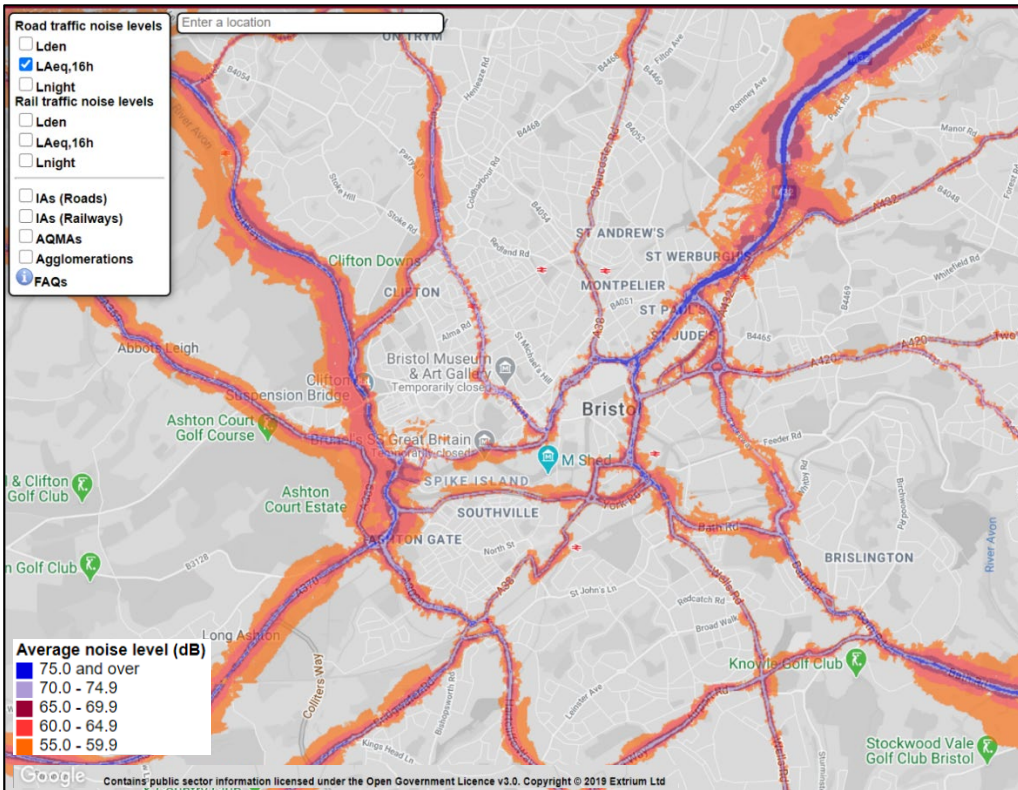


Figure 3.2: Defra’s strategic-level noise mapping – rail traffic noise

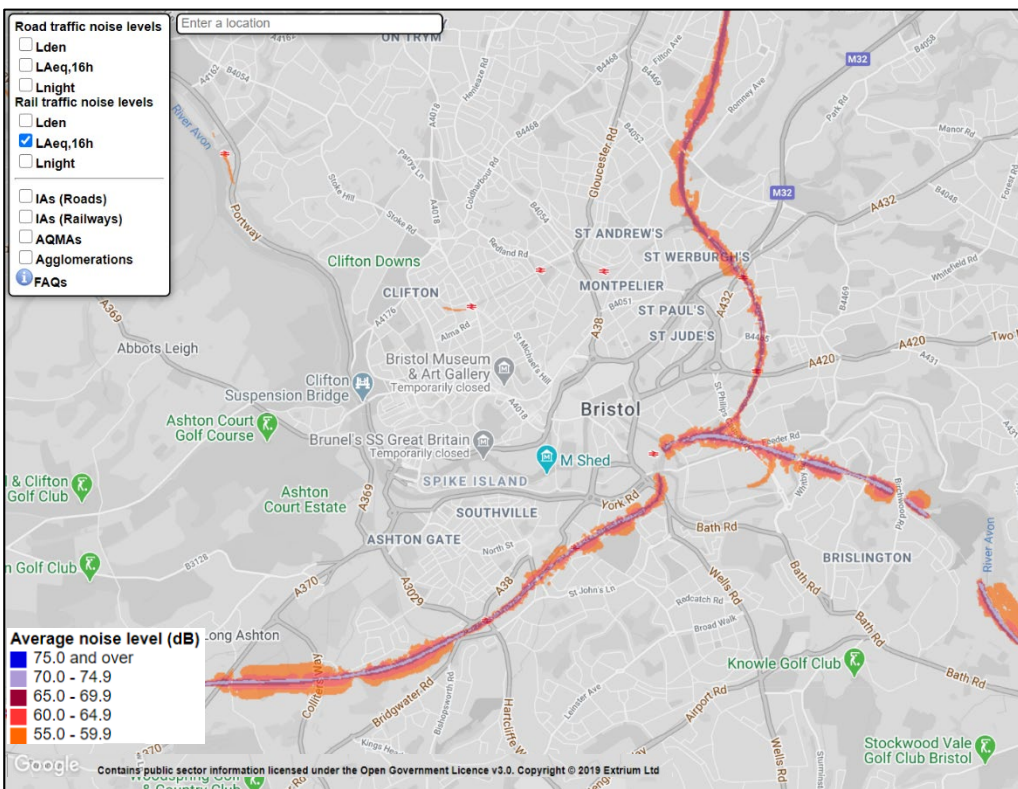
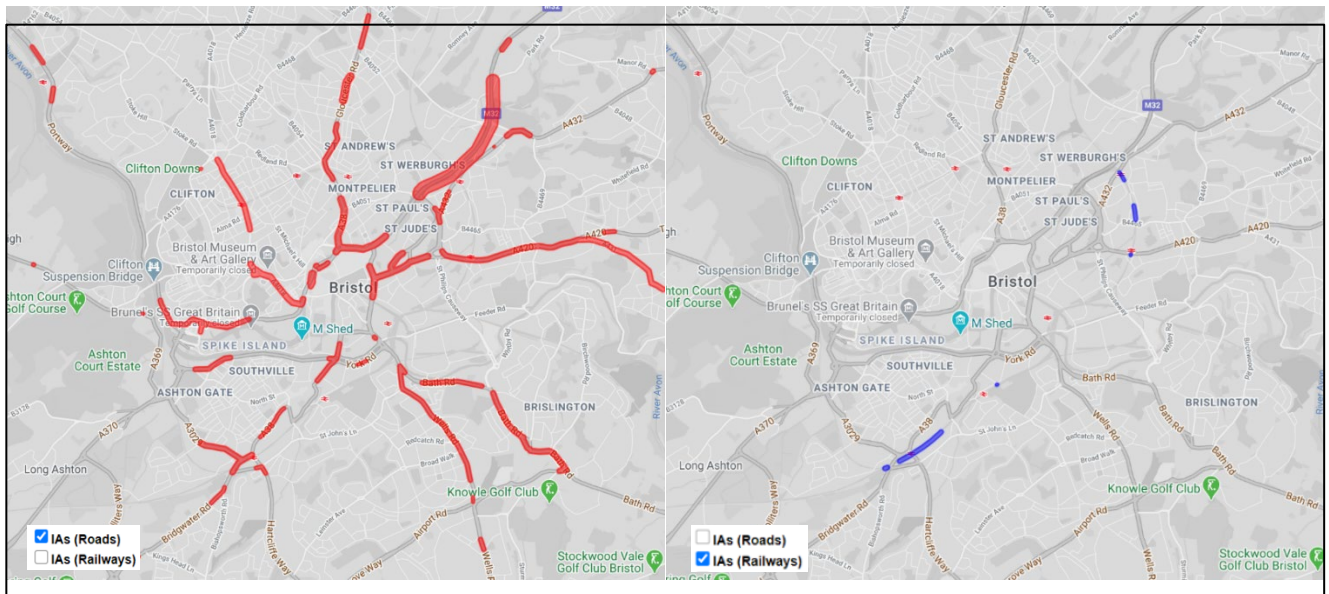


Figure 3.3: Defra's noise Important Areas



4. Air Quality and Human Health

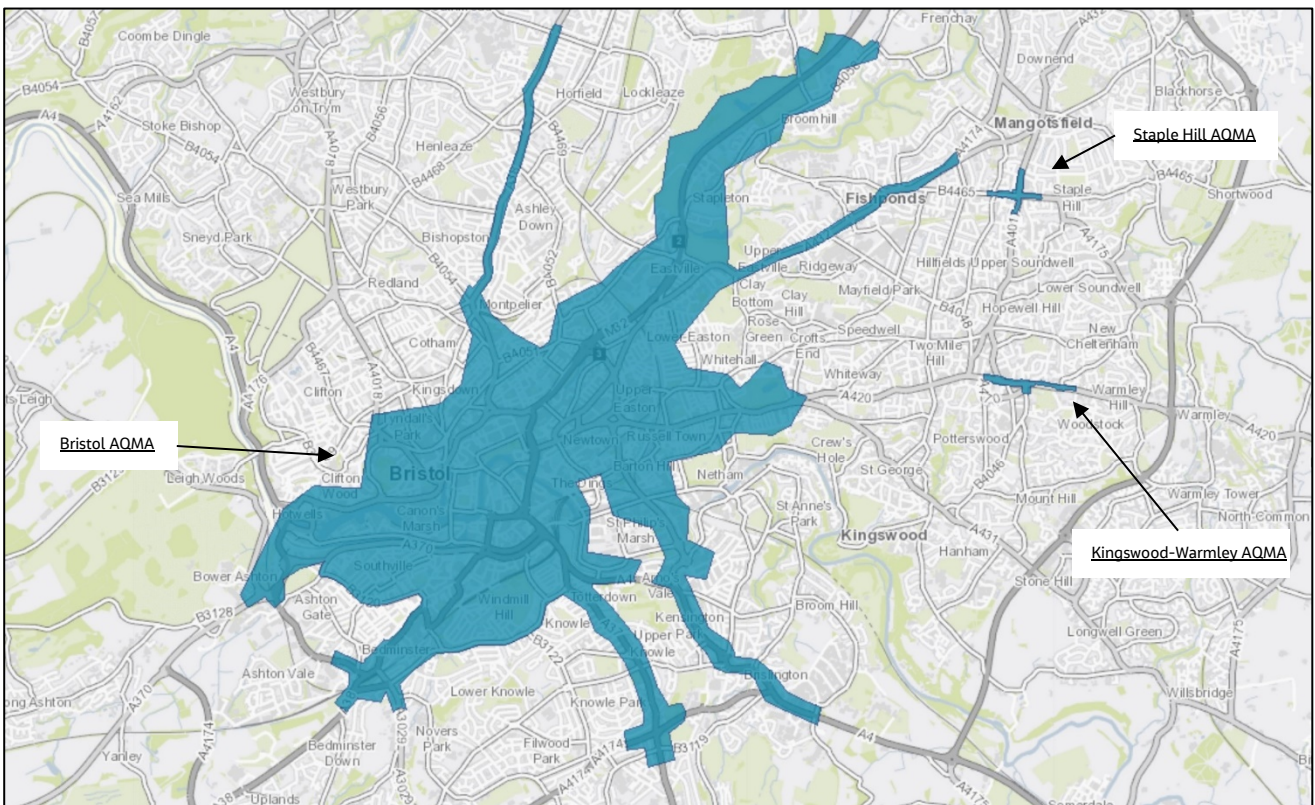
4.1 Baseline

The DMRB defines a sensitive air quality receptor as a location where “people might experience a change in local air quality, near affected roads”. This refers to locations of relevant exposure to the hourly and annual mean objective for NO₂, and the daily and annual mean objective for PM₁₀. Sensitive receptors in the context of the annual objectives are locations where people will be present for prolonged periods and include residential properties, schools, hospitals and care homes; this is important for young and elderly populations. The objectives do not apply to occupational uses such as shops and offices; or uses such as hotels or medical centres where the public would not be expected to be present over a full year. The land use within and surrounding the Study Area includes both commercial and residential land uses.

Air pollution has negative impacts on the health of people in Bristol, especially vulnerable members of the population. Evidence suggests that it can cause permanent lung damage in babies and young children and exacerbates lung and heart disease in older people. A 2017 report into the health effects of air pollution in Bristol concluded that around 300 premature deaths each year in the City of Bristol can be attributed to exposure to NO₂ and fine particulate matter (PM_{2.5}), with roughly an equal number attributable to both pollutants. This represents about 8.5% of deaths in the administrative area of Bristol being attributable to air pollution. This has an estimated cost to the NHS of £83m.

In 2001, an AQMA in Bristol was declared, covering the city centre and part of the main radial roads including the M32 for exceedances of the annual average NO₂ objectives of equal to or above 40µg/m³. The AQMA has been reviewed several times, most recently in 2011. Figure 4.1 illustrates the extents of the Bristol AQMA.

Figure 4-1: AQMA Locations



In 2010, Staple Hill AQMA and Kingswood - Warmley AQMA were declared within the administrative boundary of SGC for the exceedances of the annual average NO₂ objective of equal to or above 40µg/m³. Staple Hill AQMA, which was last amended in 2012, incorporates Broad Street A4175, High Street B4465, Victoria Street and

Soundwell Road A4017 crossroads. It extends along Broad Street to the junction with Seymour Road, along Soundwell Road to the road linking with Seymour Road and for distances of approximately 200m along High Street and approximately 170m along Victoria Street from the centre of the crossroads (refer to Figure 4.1).

Kingswood – Warmley AQMA (refer to Figure 3.1) incorporates the A420 road extending from the SGC / BCC boundary to the east along Two Mile Hill Road, Regent Street, High Street Kingswood, Hill Street, Deanery Road, High Street Warmley and London Road to the junction of Goldney Avenue; to the south along Hanham Road (up to and including The Folly); to the south-east along Tower Road North to the junction of Crown Gardens; and includes any properties that lie within the outlined boundary. Due to the extension of Kingswood AQMA along the A420 to Warmley following the 2014 Warmley Detailed Assessment, the AQMA was renamed from 'Kingswood AQMA' to the 'Kingswood-Warmley AQMA' in 2015.

In 2018, NO₂ concentrations were monitored at 131 sites in BCC. Forty six of these sites were in exceedance of the EU Limit Value. Air quality data for 2019 has now been released by BCC as part of their ongoing monitoring⁴. In 2019, NO₂ concentrations were monitored by diffusion tubes at 102 sites in BCC, 28 of these sites broke the 40 µg/m³ annual compliance limit⁵. In addition, there are also 7 automatic monitoring sites within BCC, one of which was over the 40 µg/m³ annual compliance limit in 2019 (located at Colston Avenue). Figure 4.2 shows the locations of the 2019 monitoring sites within BCC's administrative area and highlights the sites where monitored annual mean modelled NO₂ concentrations exceeded the EU Limit Value.

The monitoring indicates that exceedance locations were similar in 2018 and 2019, with several exceedances of the EU Limit Value measured, in particular in the City Centre as shown in Figure 4.2. The likely cause of the exceedances at these locations is a combination of the traffic mix (particularly diesel vehicles), road speed (i.e. slower speeds are generally accompanied by more frequent acceleration events) and presence of canyons (generally tall buildings on either side of the road which prevent pollutants from dispersing as effectively as they would in an open area).

Figure 4.3 shows the percentages of emissions attributed to each vehicle type in Bristol at all reportable roadside receptors. This shows that diesel cars are the most significant sources of vehicle derived NO_x emissions in Bristol. The vehicle type proportions are taken from the FBC Transport Modelling Reports (Appendix E to the FBC) and Euro standards and the fuel proportions are derived from Automatic Number Plate Recognition (ANPR) data collected around Bristol and described in the Air Quality Modelling Methodology Report (Appendix D to the FBC).

⁴ <https://www.bristol.gov.uk/documents/20182/32675/Bristol+City+Council+Air+Quality+Annual+Status+Report+2020.pdf/1cc35b4e-ca4f-412b-0b11-13afc31d9708>

⁵ <https://opendata.bristol.gov.uk/pages/air-quality-dashboard-new/air-quality-now#statistics>

Figure 4.2: NO₂ Monitoring within BCC– 2019 Annual NO₂ (Central area)

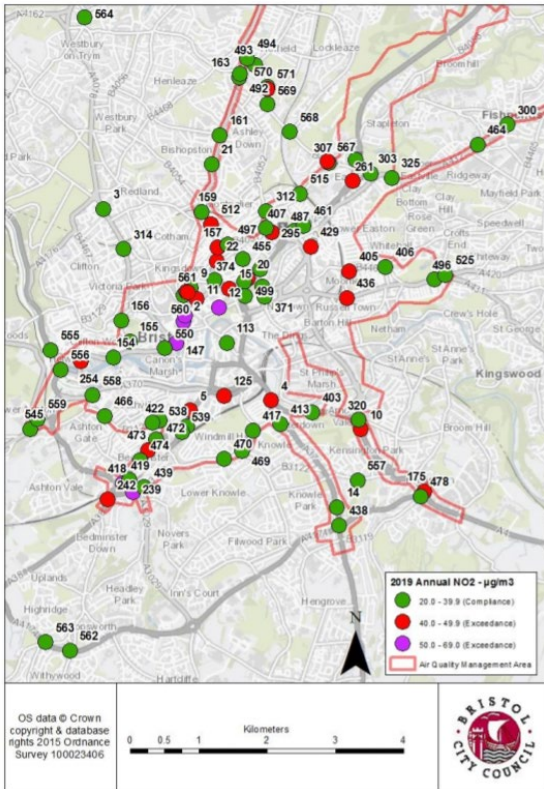
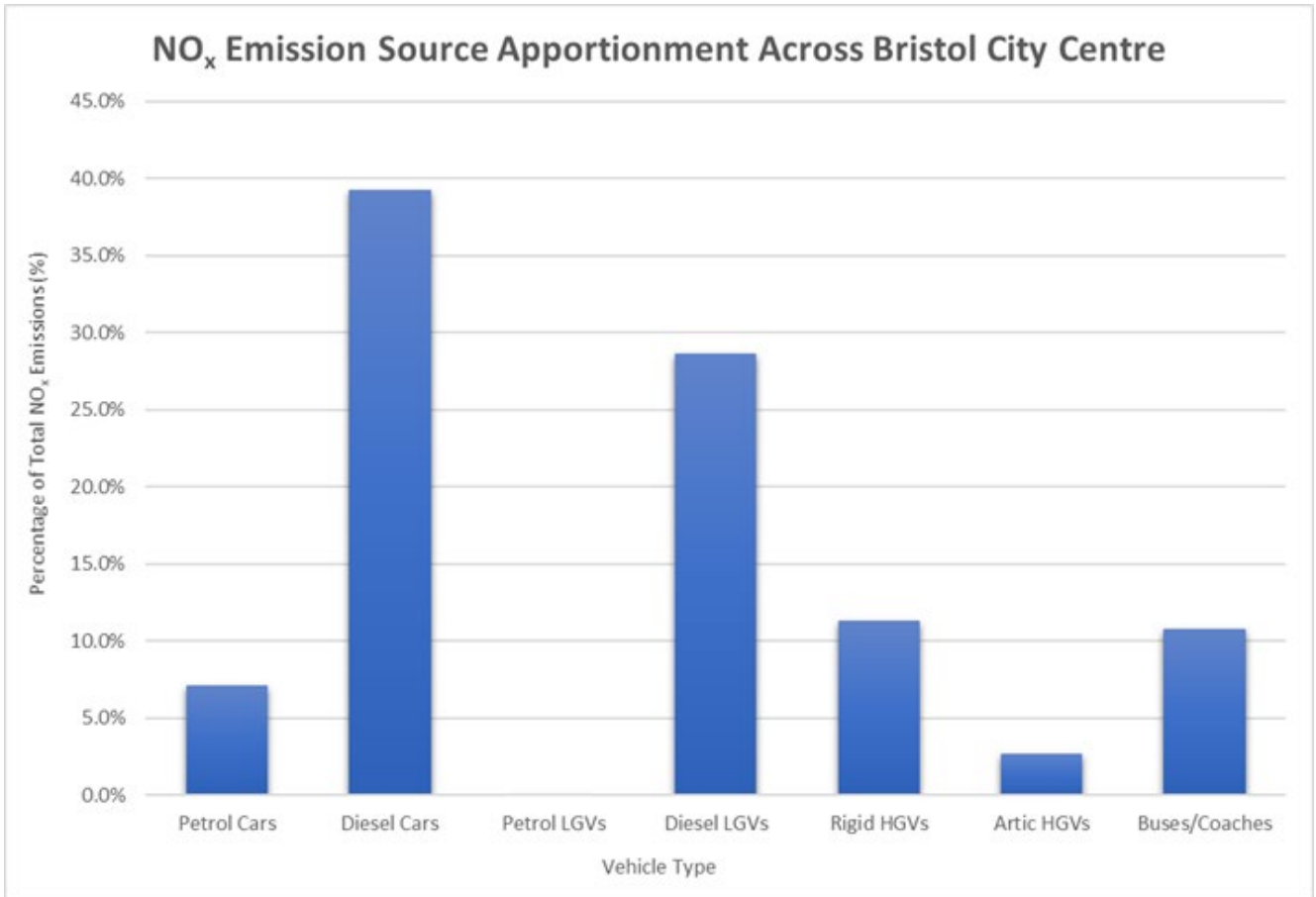


Figure 4.3: NO_x source apportionment by vehicle category across Bristol City Centre (%) – 2021 baseline.
 Source: Option Assessment Report, appended to the FBC.



4.2 Particulate Matter

There are Limit Values and Air Quality Objectives for particulate matter (PM), specifically PM₁₀ (40 µg/m³) and PM_{2.5} (25 µg/m³). Recent monitoring data within Bristol has demonstrated that PM emissions in Bristol have been under both Limit Values and Objectives for several years. Table 4-1 indicates that PM emissions are likely to reduce as a result of the Plan in 2021 and 2023 particularly.

Table 4-1: PM Annual Link Emissions

Scenario	Annual Link Emissions (tonnes / yr)	
	PM ₁₀	PM _{2.5}
	2021	
SSS Baseline (exc fast track measures)	56.4	32.0
Small CAZ D RB4 (inc. fast track measures and SSS)	55.0	30.8
	2023	
SSS Baseline (exc fast track measures)	55.8	31.0

Scenario	Annual Link Emissions (tonnes / yr)	
	PM ₁₀	PM _{2.5}
Small CAZ D RB4 (inc. fast track measures and SSS)	54.9	30.3
	2031	
SSS Baseline (exc fast track measures)	57.0	30.9
Small CAZ D RB4 (inc. fast track measures and SSS)	56.9	30.9

The impacts of PM are explored further in the Distributional and Equalities Impact Assessment, Appendix H.

4.3 Potential Impacts against Air Quality Objectives

Air Quality Modelling undertaken to inform the FBC indicated that implementation of the Small CAZ D RB4 (including SSS & fast track measures) scenario would have a large impact on air quality in 2021, when compared to the baseline scenario. With this scheme in place, there are 15 non-compliant receptors in 2021 and an overall predicted compliance year of 2023.

In 2023, the Small CAZ D leads to an improvement (change of $\leq -0.4 \mu\text{g}/\text{m}^3$) in annual mean NO₂ concentrations at 1,059 reportable receptors within Bristol and no change (change of between -0.3 and $0.3 \mu\text{g}/\text{m}^3$) at 333 receptors. The Small CAZ D is effective at improving NO₂ concentrations over much of the BCC local authority region, although the effects are smaller in some areas outside of the city centre because the CAZ itself covers only a small area. Annual mean NO₂ concentrations worsen (change of $\geq 0.4 \mu\text{g}/\text{m}^3$) at 7 reportable receptors within BCC in 2023.

Table 4-2 identifies 76 locations that show an increase of $0.4 \mu\text{g}/\text{m}^3$ of NO₂ in 2031. However, it should be noted that in the 2031 scenario, all of the modelled annual mean NO₂ concentrations are well below the EU limit values. Therefore, the increase in NO₂ levels would not create any locations of non-compliance with EU limit values. The CAZ is expected to have a very limited impact by 2031, due to the majority of vehicles being compliant irrespective of a CAZ being in place, and the increases in NO₂ levels are likely to be caused by redistribution of traffic across the network associated with the Fast Track Measures.

The 9 receptors predicted to have increased NO₂ levels in the 2021 scenario (see Table 4.2) are located on Lower Ashley Road, Easton Way and A4174 Callington Road. For the 2023 scenario, 7 receptors are predicted to have increased NO₂ levels, which are located at Lower Ashley Road and A37 Wells Road.

Table 4-2: Small CAZ D (inc. SSS and fast track measures) changes to annual mean NO₂ concentrations from equivalent baseline

	No. Reportable BCC Receptors		
	2021	2023	2031
Improvement ($\leq -0.4 \mu\text{g}/\text{m}^3$)	1,153	1,059	63
No Change (-0.3 to $0.3 \mu\text{g}/\text{m}^3$)	237	333	1,260

	No. Reportable BCC Receptors		
	2021	2023	2031
Disbenefits ($\geq 0.4 \mu\text{g}/\text{m}^3$)	9	7	76

4.3.1 Impacts on human health

Based on the results of the modelling, the Small CAZ D option is predicted improve NO₂ concentrations at 1,153 locations in 2021 and 1,059 locations in 2023 (see Table 4.2). This would result in reduced impacts of NO₂ levels on health at these locations.

However, this option would also result in disbenefits to NO₂ levels at 9 locations in 2021, 7 locations in 2023 and 76 locations in 2031, resulting in associated health disbenefits at these locations.

4.4 Assessment of the potential Impacts against Air Quality Directive

The primary objective of the CAP is to bring about compliance across Bristol in the shortest possible timeframe, and the key success factor is therefore the earliest year where all modelled annual mean NO₂ concentrations are below $40 \mu\text{g}/\text{m}^3$ (i.e. at PCM equivalent reportable receptors).

5. Cultural Heritage and Townscape

5.1 Baseline

Bristol contains the following heritage designations and assets, shown in Appendix A:

- 73 historic Registered Parks and Gardens
- 24 Scheduled Monuments,
- over 4,000 Listed Buildings;
- 33 Conservation Areas;
- 20 sites on the Heritage at Risk Register; and
- 516 locally valued buildings.

Vehicle emissions contain various pollutants that can damage buildings, including carbon dioxide (CO₂) and sulphur and nitrogen oxides, which all cause stone decay (van Grieken *et al.*, 1998). The deposition of fine particles rich in carbon blackens buildings. Enhanced atmospheric CO₂ can lead to increased carbonic acid concentrations in rainfall, which can degrade limestone, which many properties in Bristol and the south west of England are constructed from.

Deposition of sulphur dioxide and its oxidation to sulphuric acid can damage carbonate stones (Brimblecombe and Grossi, 2007), including the oolitic limestone used for most buildings in Bristol and the south west of England. Allen *et al* (2000) have also shown that NO₂ and SO₂ have a synergistic damaging impact on Bristol's oolitic limestone, whereby the NO₂ acts as a catalyst for the oxidation of SO₂ on stone surfaces. The stone degradation that results is exacerbated in wet and humid conditions. Synergisms between air pollution, acid rain and biological weathering could all become an increasingly important problem for stone decay (Thornbush and Viles, 2006).

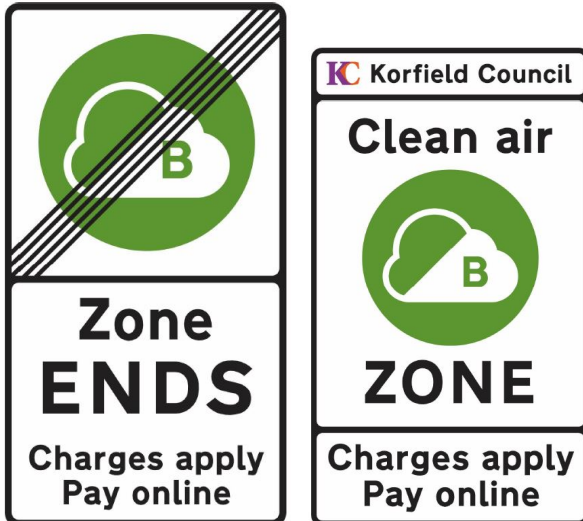
5.2 Potential Impacts

A reduction in the numbers of vehicles within the scheme boundary could reduce air pollution and therefore have a positive impact on the cultural heritage assets within the centre of Bristol (see Section 1.3.2). However, with the slight increase in traffic outside of the scheme boundary there is also potential for negative impacts on the cultural heritage (historic buildings) outside of Bristol City Centre via air pollution.

The magnitude of these impacts (positive and negative) can only be ascertained through the monitoring of historic buildings during implementation of the scheme. However, based on professional judgement, it is considered unlikely that any increase would result in notable impacts or significant negative effects on heritage assets, given almost all the changes on links showing increases are considered to be well within the normal day-to-day variation in traffic volumes.

Defra's CAZ Framework guidance, describes 'a minimum requirement for setting up a CAZ is to "have signs in place along major access routes to clearly delineate the zone" (Defra 2017). To ensure a national standard, the design of the CAZ symbol and traffic sign was produced centrally by Defra's Joint Air Quality Unit (JAQU), as shown in the Figure 5.1 examples.

Figure 5.1: CAZ signage examples provided by JAQU



For Bristol, it is proposed that most scheme boundary cordon points will have two entry and two exit signs, one of each on both sides of the carriageway. Posts would be required on both sides of the carriageway for the erection of one entry and one exit sign each way.

Unless placed sensitively, new signage could potentially affect important viewpoints in Bristol, including the visual setting of historic sites and buildings within the townscape. The historic feature that is the most sensitive to such visual impacts is the Clifton Suspension Bridge.

Clifton Suspension Bridge spans the Avon Gorge and River Avon, links Clifton in Bristol to Leigh Woods in North Somerset. The bridge is a Grade I listed structure based on an early design by Isambard Kingdom Brunel.

It is proposed that the bridge would have two entry signs, two exit signs and two enforcement signs (on either side of the road). It is also proposed that ANPR cameras are installed at both locations (also on either side of the road).

Signage should be designed and installed with viewpoints in mind, particularly near the Clifton Suspension Bridge. Where possible, the number of signs should be minimised to minimise impacts on the setting of these historic structures or any other heritage assets. The size of signs should also be minimised, whilst being fit for purpose.

6. Conclusions

The Small CAZ D Option is anticipated to reduce air pollution across Bristol city centre and the wider BCC / SGC administrative areas overall. Improvement in traffic congestion and associated anticipated reductions to existing air pollution have potential for positive impacts on a range of human receptors within the scheme area. Over the scheme as a whole, these benefits are anticipated to outweigh any disbenefits on air quality, noise and heritage receptors, based on the available data at this time. However, this Option also has potential to impact on the Bristol townscape through the introduction of new features as part of CAP implementation. It is recommended that any signage should be designed and installed with the historic townscape and important viewpoints in mind, particularly near Clifton Suspension Bridge, due to their historic importance and visual amenity value.

7. References

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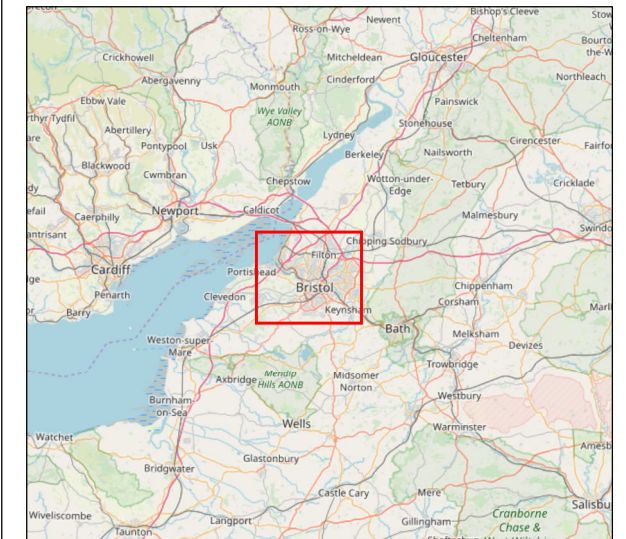
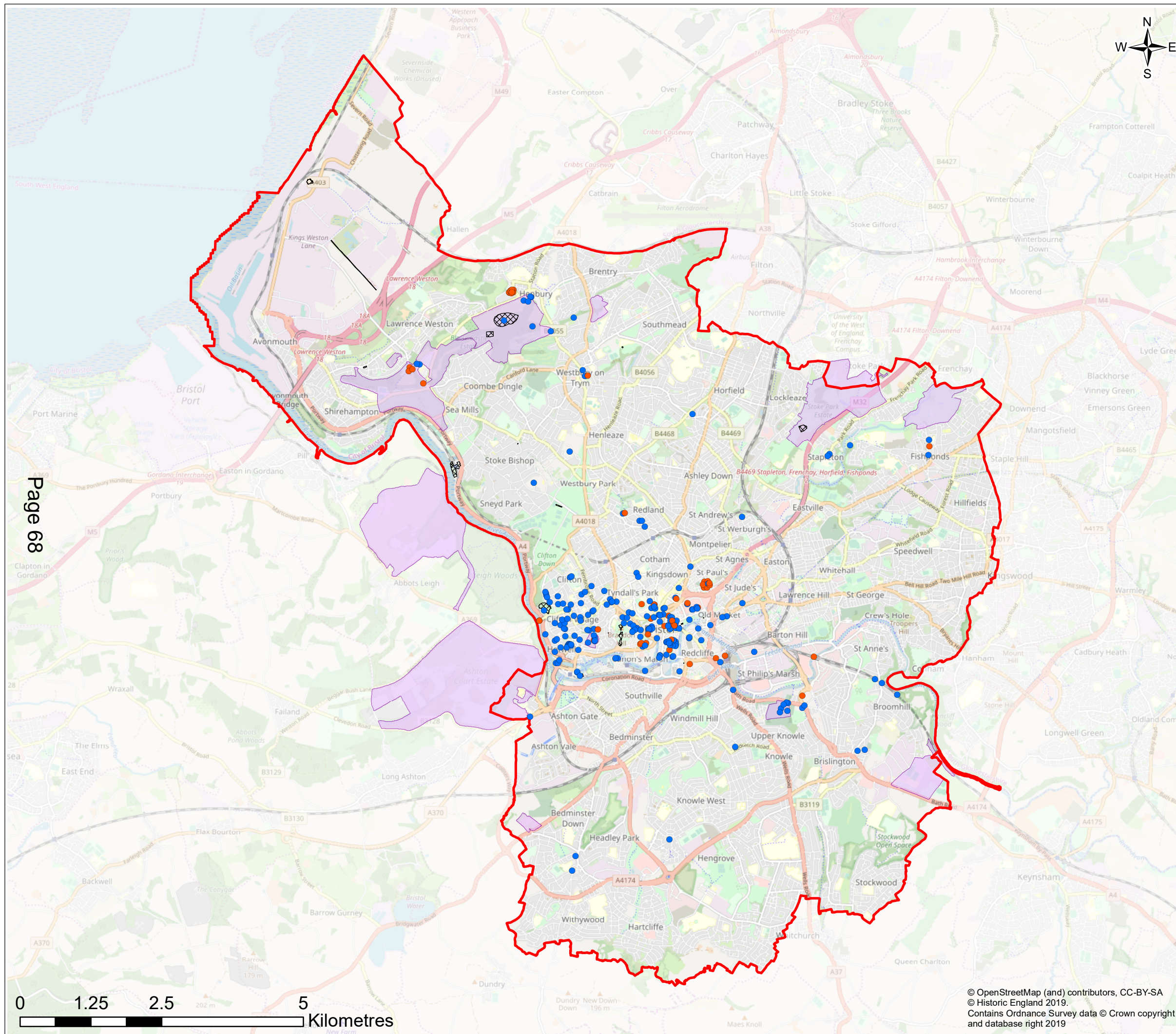
Appendix A. Archaeological & Heritage Assets

FIGURE A1



Legend

- Bristol City Council boundary
- Scheduled Monument
- Registered Park and Garden
- Listed Building**
- Grade I
- Grade II*



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Decision Pathway – Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 14 December 2021

TITLE	Urgent works to the Underfall Yard Sluices	
Ward(s)	Hotwells and Harbourside	
Author: Thomas Pawley	Job title: Principle Docks Engineer	
Cabinet lead: Mayor Marvin Rees	Executive Director lead: Stephen Peacock, Executive Director Growth and Regeneration	
Proposal origin: BCC Staff		
Decision maker: Cabinet Decision forum: Cabinet		
Purpose of Report:		
<ol style="list-style-type: none"> 1. To advise Cabinet on the condition of the Underfall Yard Sluices. 2. To inform Cabinet of the work which is currently being progressed. 3. To provide Cabinet of a cost estimate for the likely financial impact including seeking approval for the submission of a bid and if successful to accept and spend potential funding from the Environment Agency. 		
Evidence Base:		
<ol style="list-style-type: none"> 1. The sluices at Underfall Yard have been providing the City of Bristol with a means of regulating the water levels within the harbour since 1840. Due to the tidal nature of the River Avon and the high levels of water which flows downstream from the River Avon and other main water courses (inc. the River Frome), the sluices provide the city with a critical flood defence measure. 2. Some of the Underfall Yard Sluice infrastructure is over 100 years old. The last major body of works to the sluices was in the 1990s when the main sluice paddles were replaced following a failure. Since then, none of the other major components have been replaced and due to an historical lack of investment over many years they are now in a critical state. 3. The failure of the sluices would leave the Harbour Authority without the ability to control the harbour level, which could have the following worse case scenarios: <ol style="list-style-type: none"> 1) Sluice gates fail in an open position causing the harbour to lose its water causing the harbour walls to collapse, vessels to be out at risk and businesses affected. 2) Sluice gates fail in a closed position, causing the harbour authority to be unable to control the harbour level resulting in flooding. 4. There are two sets of sluices, plus an additional sluice. The two sets are the main sluice gates which are in 'A' Block by Cumberland Road and the emergency sluice gates on the harbour side. There is a further sluice in the New Cut for the deep sluice (No. 3). 5. The main sluices are: No. 1 & No. 2 which are used to control the harbour level, No. 3 (the deep sluice) which was previously used for dredging but use of this sluice ceased in 2000 when BCC removed the in-house dredging team and No. 4 which has not been operational for several years. 6. The emergency sluices are: No. 1 & No. 2, which are operational, and No. 4 which is currently not operational. For No. 3 there is a blanking plate instead of a sluice gate in front of the culvert, which restricts the flow of water when No. 3 main sluice is opened. It should be noted that if either main sluice No. 1 or No. 2 failed open, both emergency sluices No. 1 & No. 2 would need to be shut as the culverts (tunnels underneath Underfall Yard linking the Harbour to the New Cut) combine. 		

7. The actuator (device which controls the sluice gate) on main sluice No. 2 failed on the Tuesday 11th March, which left Bristol with only one operational sluice gate to control the harbour level. This was subsequently repaired in July, following a lengthy lead time for the required components to repair it. During this period, we only had main sluice No. 1 operational to control the harbour level. Maintenance work is also required on the actuator for main sluice gate No. 1, which would cause No. 1 to be out of action for a period of time.
8. The harbour has numerous aging assets which have not had sufficient investment over an extended period, which includes the Underfall Yard Sluices. These aging assets are having to deal with more common and extreme weather and flood events than ever before.
9. BCC commissioned an inspection report to look at the Underfall Yard Sluices which showed that the system requires an investment of over £0.5m to address various infrastructure issues.
10. The inspections carried out were visual and tactile examinations of what was accessible at the time. The culverts between the sluices were not inspected nor was the structural integrity of the gates examined, as thickness readings could not reliably be taken.
11. The report also did not investigate different solutions, and just looked at repairing what was currently in place. For example, it did not look at replacing the actuators on the main sluice gates, which are prone to overheating and becoming stuck, with a hydraulic system. Nor did it look at adding a new emergency sluice gate for No. 3 Sluice (the deep sluice), to provide more protection to the harbour.
12. It is therefore believed that the value of the works will exceed the estimate provided in the report.
13. Kaymac Marine are on contract to conduct a further inspection of the 8 off sluice gates and the 4 off culverts. This was conducted on the 16th-18th November 2021, with the report due early December 2021.
14. If, however, any work is required to the culverts, this would form part of a separate repair task. This is due to the current funding timeframe (see Point 17) and the complexity of repairing the culverts.
15. The BCC Flood Risk Team (Matthew Sugden) have been engaged with to explore the possibilities of funding through the Environment Agency (EA).
16. Initial estimates of grant eligibility from the EA are in the region of £0.3m to £0.6m.
17. Following a conversation with the EA on 22nd October we are advised that we could access Flood Defence Grant in Aid (FDGiA) this financial year. Receiving funding next financial year would however be more challenging as FDGiA funds have already been allocated for the next financial year.
18. The EA have initially advised us that they would support an application for funding, in the region of £0.3m. We are however in conversation with the EA in the hope to increase this amount.
19. Any funding received from the EA will need to be spent by July 2022. We are in discussions with the EA about this being extended, due to the complex nature of the works and short timescale.
20. BCC is currently in the process of gaining a full picture of the extent of the works and the costs associated with this. The value to repair all defects with the sluices though has been estimated to be in the region of £0.75m to £1.25m. This estimate will include a contingency sum should anything unforeseen works occur.
21. It should be noted that this does not take the culverts into consideration and assumes that the sluice paddles do not need replacing.
22. This will require BCC contribution. We are currently looking at capital funding and how funds can be prioritised for this work over current, less urgent, projects.
23. The current level of risk with the Underfall Yard Sluices is not tenable and urgent action is required.
24. Due to this we are going at risk and are beginning to progress the design work and procurement process.
25. We are currently liaising with KGAL Consulting Engineers Ltd to conduct a Hazard & Operability Analysis (HAZOP) on the Sluices and produce an optioneering report based on this.
26. We are additionally looking to get confirmation from the EA that any funding from them can be retrospectively granted and have had reassurance that for this work, we should be able to.

Cabinet Member / Officer Recommendations:

That Cabinet:

1. Note the position in relation to the condition and potential works required to the Underfall Yard sluices.
2. Approve the spend of up to £1.25m for works to the Underfall Yard sluices as outlined in this report.
3. Authorise the Executive Director Growth and Regeneration in consultation with the Mayor to submit a funding application to the Environment Agency for up to £1.25m.
4. Authorise the Executive Director, Growth and Regeneration, to accept and spend the funding to undertake works to the Underfall Yard sluices as outlined in this report, to include the procurement and award of contracts up to the value of the funding received and to include decisions above the key decision threshold.
5. Approve the reallocation of up to £0.7m Capital expenditure funding from the existing Highways capital budget.

Corporate Strategy alignment:

1. The floating harbour is a quintessential part of the city, of which the Underfall Yard sluices are one of the key components. Ensuring that the sluices are in their best possible condition is critical for us to deliver our corporate strategy.

City Benefits:

1. Significantly reduce the flood risk to the city and protect the harbour from losing water, which could cause the harbour walls to collapse.
2. Safeguard businesses and residents who depend on the harbour for their livelihood and accommodation.
3. Safeguard the council from reputational damage locally and nationally.
4. Mitigate the two worse case scenarios.

Consultation Details:

1. We are in engagement with the EA and BCC Flood Management Team.
2. We are in engagement with local suppliers to provide cost estimates for the required works.
3. We are in engagement with Kaymac Marine Ltd to conduct a further inspection of the 8 off sluice gates and the 4 off culverts.
4. We are in engagement with KGAL Consulting Engineers Ltd to conduct a HAZOP and produce an optioneering report.

Background Documents:

1. Underfall Yard MEICA Inspection Report. Mott Macdonald.
2. Underfall Sluices modelling. ARUP.

Revenue Cost	£0	Source of Revenue Funding	None
Capital Cost	Up to £1.25m	Source of Capital Funding	EA, BCC Capital 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:**

- 1) The docks sluices at Underfall Yard are not operating correctly and are in need of investment to repair and prevent potential flooding, damage to the dock's infrastructure and local businesses. A previous inspection suggested around £0.5m of investment was required, but the report wasn't a full detailed inspection, so current estimates suggest expenditure of between £0.75m and £1.25m. This includes a contingency allowance of £0.25m (20%).
- 2) An inspection is currently underway to determine the full extent of the work and costs, expected to be completed by 18th November 2021 and the team are already liaising with an engineering consultancy company on the design and engineering work requirements due to the urgency and risks involved – this work is funded from existing docks engineering budgets.
- 3) There is potential for Environment Agency (EA) funding to cover the total costs of the works estimated to be up to £1.25m using Flood Defence Grant in Aid (FDGIA) funding. Discussions are continuing with the Environment Agency to try and secure a higher level of funding, but the project will likely involve a contribution from the Council.
- 4) The balance of funding is expected to come from a combination of existing uncommitted Harbour capital expenditure budgets as well as a reprioritisation of existing Highway's capital expenditure budgets. Table 1 outlines the relevant budgets in Highways:

Table 1

Project - Reprioritisation	2021-22
Park St	£141,671
St Peters Rise	£320,849
Cumberland Road	£200,000
TOTAL	£662,520

- 5) The project will have a number of risks, including:
 - The report on the extent of the work and costs associated is still to be determined and completed, so full knowledge of the required expenditure is unknown.
 - The risk that unforeseen work and additional costs could be uncovered once work on the site commences.
 - The EA funding that has been identified is only for 2021-22 financial year and we are already over halfway through the year, so the timescales to utilise the funding is tight.
 - The risk of obtaining the specialist materials and parts needed to complete the project in the timescale.
 - Damage to the docks, surrounding infrastructure and businesses, if the sluice gates fail and flooding occurs.
 - Reputation damage to the Council, potential legal and insurance costs associated.
- 6) These risks will need to be managed closely by the Service. The issue on funding sources will need to be resolved and may require further Cabinet approval. Project delivery will also require strong contract management to ensure materials, timescales and funds are maximised leading to less risk of physical and reputational damage and the associated costs of this.

Finance Business Partner: Kayode Olagundoye, Interim Finance Business Partner, Growth and Regeneration, 16th November 2021.

2. Legal Advice: The submission of a bid for funding does not raise any specific legal implications. Legal Services will advise and assist in relation to the contractual arrangements for acceptance of the funding.

Legal Team Leader: Husinara Jones, Team Leader/Solicitor, 4th November 2021.

3. Implications on IT: We would need a Solution Architect involved as early as possible to ensure the new technology aligns with our internal systems and strategy. Where support is needed, IT Service Transition will need to be involved.

IT Team Leader: Iain Godding, Head of Enterprise Architecture, 22nd November 2021.

4. HR Advice: There are no HR implications evident.

HR Partner: Celia Williams, 4th November 2021.

EDM Sign-off	Stephen Peacock, Executive Director Growth and Regeneration	12 th October 2021
Cabinet Member sign-off	Mayor's Office	21 st October 2021
For Key Decisions - Mayor's Office sign-off	Mayor's Office	15 th November 2021

Appendix A – Further essential background / detail on the proposal 1. Underfall Yard MEICA Inspection Report. Mott Macdonald. 2. Underfall Sluices modelling. ARUP.	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 L – Procurement	No

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Project title	Underfall Sluices modelling	Job number	283134-00
cc	Dave Hunt; Matthew Sugden	File reference	TN001
Prepared by	Daniel van der Leer	Date	16 August 2021
Subject	Underfall Sluices modelling		

1 Introduction

The Underfall Sluices are located at the western end of the Floating Harbour by the Underfall Yard (Figure 1). Two of these sluices are fundamental for regulating the water level in the Floating Harbour. During normal flow conditions, operation of the sluices enables excess water in the Floating Harbour to discharge into the River Avon New Cut.

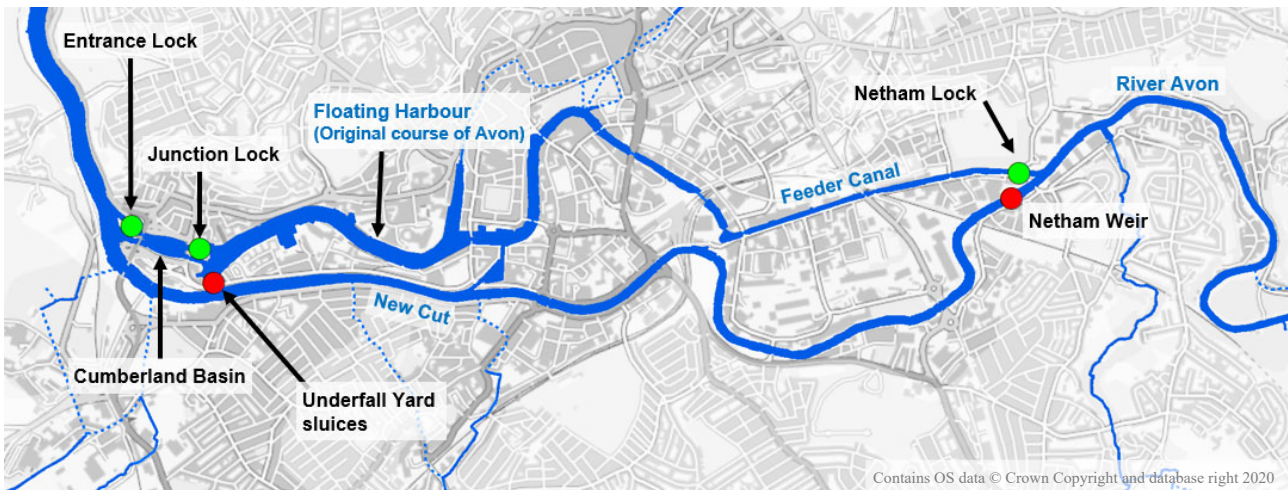


Figure 1: Location of Underfall sluices.

The number of operational sluices has reduced over the years, and at times the redundancy in the asset has been of major concern. As such, maintenance, repair and upgrade works have been prioritised for these assets.

Bristol City Council (BCC) aims to submit a bid for Flood Defence Grant in Aid (FDGiA) funding for the proposed works. To support this bid, Arup have been commissioned by BCC to undertake hydraulic modelling and analysis to determine the number of properties that would benefit from the proposed works.

This technical note presents an overview of the hydraulic modelling work and results.

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2 Hydraulic modelling

It was agreed with BCC that the hydraulic modelling should be undertaken using the Bristol Avon Flood Strategy baseline (Do Minimum option) model. The model is a linked 1d-2d model. The 1d component, which is based on Flood Modeller Pro, represents the watercourses such as the River Avon and River Frome and associated riverine structures plus some areas of floodplain upstream and downstream of Bristol. The 2d component, which is based on TUFLOW, represents floodplain areas within Bristol, the Floating Harbour and the Feeder Canal. The extents of the 1d and 2d components of the model are shown in Figure 1.

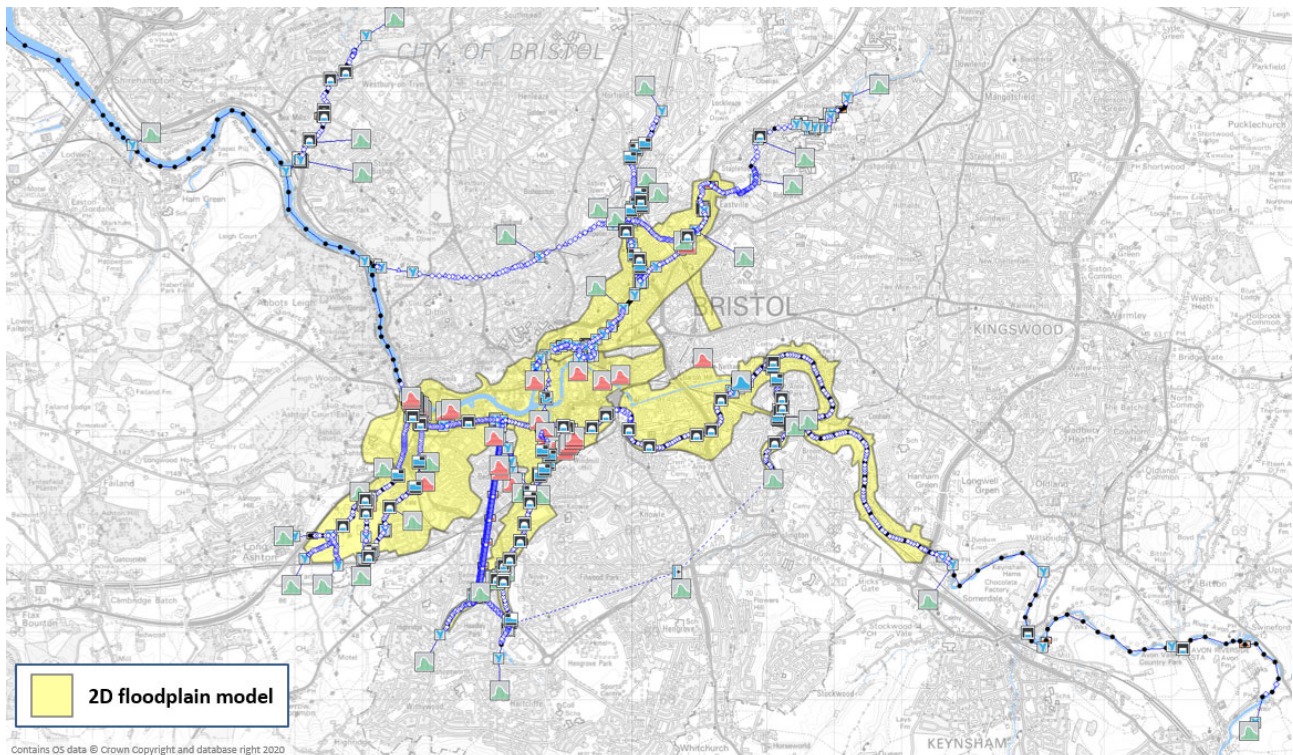


Figure 2: Extents of 1d model (node icons) and 2d model (yellow areas).

The baseline model includes the two currently operational Underfall sluices used to regulate water level in the Floating Harbour. The baseline model assumes these sluices are fully operational. The operation of these sluices in the baseline model is controlled automatically using the following logical rules:

1. If Floating Harbour water level is less than 6.20m AOD: Open the sluices.
2. If Floating Harbour water level is greater than 6.20m AOD and River Avon water level is less than 5.95m AOD: Open the sluices.
3. If Floating Harbour water level is greater than 6.20m AOD and River Avon water level is greater than 5.95m AOD: Close the sluices.

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The baseline model assumes Netham Lock, Entrance Lock and Junction Lock gates remain closed for the duration of all modelled flood events, regardless of whether they are fluvially or tidally dominant. This is considered to be a conservative assumption as it may be possible to operate these gates during a flood event to reduce water levels in the Floating Harbour.

Two scenarios were set up using the hydraulic model:

1. Underfall sluices failed closed, i.e. preventing any discharge between the Floating Harbour and the River Avon. It was agreed with BCC that this failure scenario should only be modelled for fluvially dominant events as this scenario would cause fluvial flows from the Feeder Canal and River Frome to become trapped in the Floating Harbour.
2. Underfall sluices failed open, i.e. allowing tidal ingress from the River Avon into the Floating Harbour. It was agreed with BCC that this failure scenario should only be modelled for tidally dominant events.

For both the above scenarios, it was agreed that the sluice failure should be assumed to occur from the start of the simulation (or as close to the start as practicable).

It was agreed with BCC that the above scenarios should be modelled for the 2030 climate change epoch as this incorporates a 10% increase in fluvial flows, which is consistent with the central climate change allowance for river flows for the '2020s' (which is applicable for all years from 2015 to 2039) based on current guidance¹.

Model simulations were run for each of the above two scenarios for the 1:20yr, 1:75yr and 1:100yr return periods. To ensure consistency, the simulations were run using the same version of the modelling software (Flood Modeller Pro and TUFLOW) as was used to undertake the baseline (Do Minimum option) modelling for the Bristol Avon Flood Strategy.

The baseline model results for the above return periods were taken from the Bristol Avon Flood Strategy to negate re-running the baseline model.

3 Model results

3.1 Flood extents

Flood extents have been created from the raw model results for the baseline scenario and for the two sluice failure scenarios (failed open and failed closed).

Flood maps comparing the baseline scenario to the sluices failed closed scenario for fluvial events are presented in Figures A1 to A3 in Appendix A. These show the failure of the sluices in a fluvial event would cause significant flooding around the Floating Harbour and the Victoria Street area and would significantly increase flooding from the Feeder Canal in the St Philips Marsh area and flooding from the Frome at Cabot Circus. The increase in flooding is due to fluvial flows entering the Floating Harbour via the Frome and Feeder Canal no longer being able to discharge into the River Avon at the Underfall Sluices, i.e. the flows becomes trapped in the Floating Harbour. As discussed in the previous chapter, the modelling assumes that the lock gates and flood gates remain closed throughout the flood event, which is a conservative assumption. The increase in water level

¹ Flood and coastal risk projects, schemes and strategies: climate change allowances, Environment Agency, July 2020.

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in the Floating Harbour is sufficient to overtop the area around the Floating Harbour and to increase the water levels in the River Frome.

Flood extents were also created for the baseline scenario and the sluices failed open scenario for tidal events. Review of these flood extents showed that failure of the sluices in this scenario would cause no increase in flood extent compared to the baseline for any of the three return periods tested. In some locations there is a marginal reduction in flood extent, most notably near Cumberland Close in the 1:100yr tidal event (Figure 3). Inspection of the model results show this is due to water in the Floating Harbour draining down before the peak of the tidal surge event, thereby creating capacity within the Floating Harbour to store flood water (Figure 4). Given this result, flood maps are only presented for fluvial events for baseline and sluices failed closed scenarios.

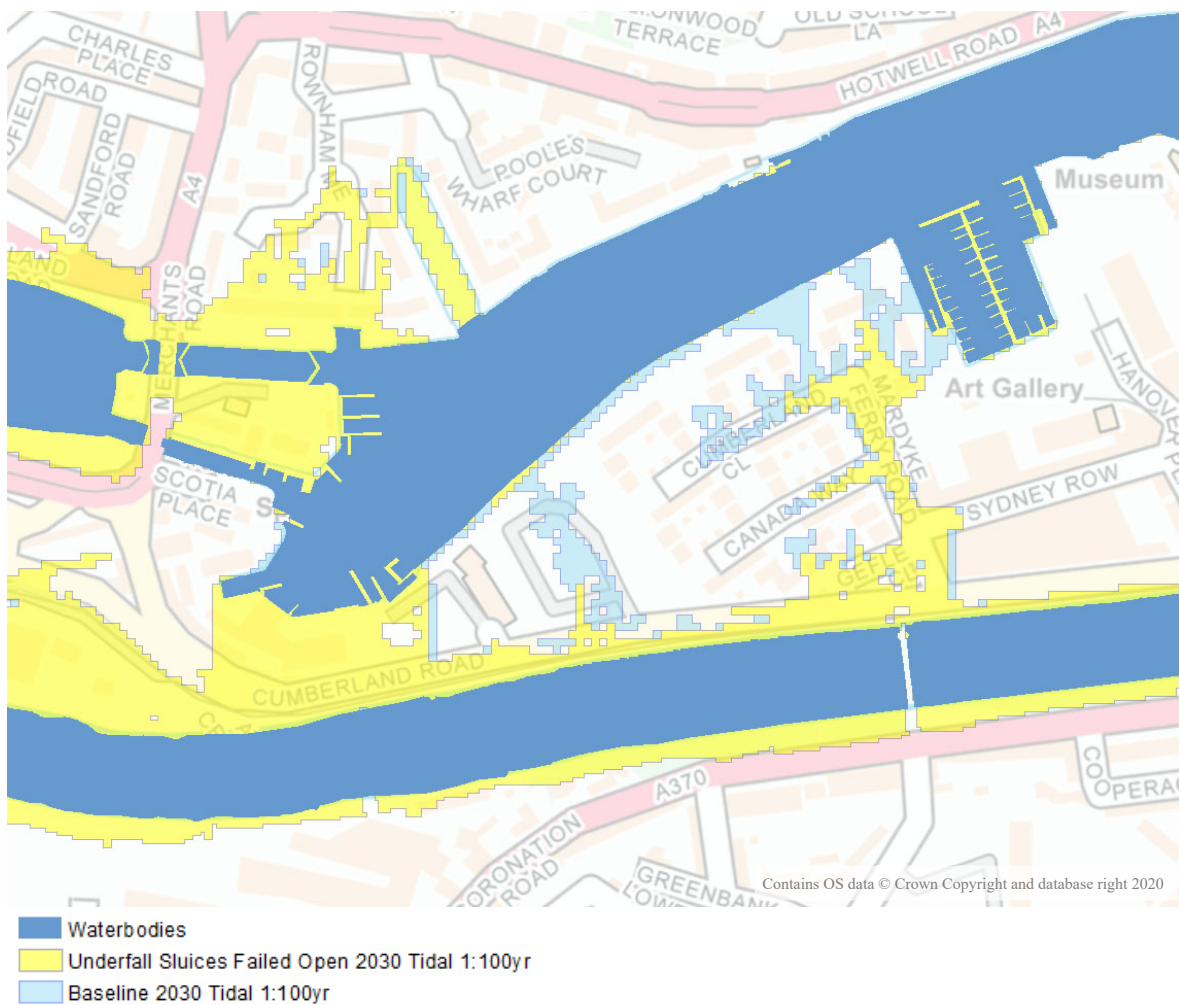


Figure 3: Baseline vs sluices failed open scenario for 2030 Tidal 1:100yr event. Note the yellow layer is on top of the light blue layer.

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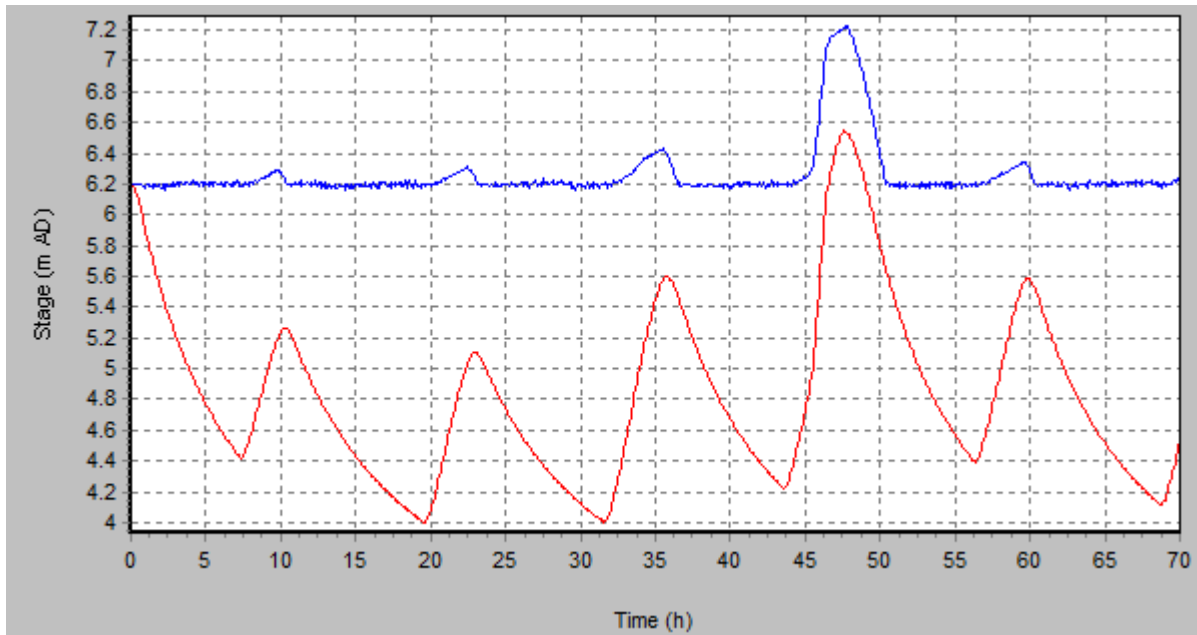


Figure 4: Water level vs time for the Floating Harbour for the 2030 Tidal 1:100yr event. Baseline (blue) vs Sluices failed open (red).

3.2 Property counts

Property counts have been undertaken for the baseline scenario and the sluices failed closed scenario for fluvial dominant events only. This is because the results show that the sluices failed open scenario, which was modelled for tidal events, would not increase flood extent compared to the baseline (see Section 3.1).

Property counts have been derived using the same property dataset and the same method as were used for the Bristol Avon Strategy property counts. The property dataset comprises building polygons from OS MasterMap data with additional attributes including those extracted from the National Receptor Database (NRD) points layer and assumed threshold levels. Assumed threshold levels are based on the average LIDAR level across the building footprint + an assumed 300mm threshold height. The property dataset includes one building polygon for each NRD property, therefore there are multiple duplicate polygons for buildings containing more than one property such as blocks of flats. The property dataset does not include any residential houseboats in the Floating Harbour.

Maximum water level grids were extracted from the raw model results. The 'Zonal Statistics as Table' ArcMap tool was then used to extract maximum water levels for each property based on the associated building polygon. A spreadsheet calculation was then set up to count the number of flooded properties, i.e. those where the maximum water level is greater than the assumed threshold level. Properties downstream of Entrance Lock were excluded from the property counts as the model is 1d only here and results may be inaccurate. This is not expected to influence the outcome of this assessment given the sluice failure scenarios have virtually no impact on peak river water levels here.

The property counts, which are only provided for fluvial dominant events, are presented in Table 1. These property counts are cumulative with return period, i.e. they correspond to the number of

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properties flooded for the given return period as opposed to the additional number of number of properties flooded compared to the previous return period. Outcome Measure 2 (OM2) values can be derived from these property counts. It is recommended that for OM2, the property counts corresponding to those having floor type *Not 'Upper or Possible Upper'* are used.

Table 1: Property counts for baseline and sluices failed closed for fluvial dominant events.




Type	Floor type	Baseline			Sluices failed closed			No. of properties benefiting		
		1:20y	1:75y	1:100y	1:20y	1:75y	1:100y	1:20y	1:75y	1:100y
Residential	Upper or Possible Upper	7	27	34	49	105	115	42	78	81
	Not 'Upper or Possible Upper'	16	95	110	112	220	244	96	125	134
	All	23	122	144	161	325	359	138	203	215
Non-Residential	Upper or Possible Upper	4	25	37	35	71	78	31	46	41
	Not 'Upper or Possible Upper'	119	240	272	337	511	545	218	271	273
	All	123	265	309	372	582	623	249	317	314
Total	Upper or Possible Upper	11	52	71	84	176	193	73	124	122
	Not 'Upper or Possible Upper'	135	335	382	449	731	789	314	396	407
	All	146	387	453	533	907	982	387	520	529

4 Summary and conclusions

Hydraulic modelling and analysis has been undertaken to determine the number of properties that would benefit from the maintenance, repair and upgrade works proposed for the Underfall Sluices. This is intended to be used by BCC to support their bid for FDGiA funding.

The modelling has shown the Underfall Sluices offer significant flood risk benefit for fluvially dominant events but no flood risk benefit for tidal events. Model results for fluvially dominant events have been presented in the form of flood extent maps and property counts that compare the impact of the sluices failed closed scenario to the baseline.

DOCUMENT CHECKING (not mandatory for File Note)

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Underfall Yard MEICA Inspection Report

24 May 2019

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Underfall Yard MEICA Inspection Report

24 May 2019

Issue and Revision Record

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1 Introduction

1.1 Terms

- MEICA Mechanical, Electrical, Instrumentation, Control and Automation
- HPU Hydraulic Power Unit

1.2 Description of structure

The Underfall Yard assets are used to manage the water level in the Floating Harbour. Figure 1 shows the arrangement of the assets. The location of the two Underfall Yard sluice rooms and the Harbour Master office are shown in Figure 2. There are four culverts which connect Underfall Yard to the Floating Harbour and to the New Cut. The third culvert is at a lower level than the others. Historically, culverts one, two, and four have been used for maintaining the harbour level and culvert three, the “deep sluice”, has been used for discharging dredged silt.

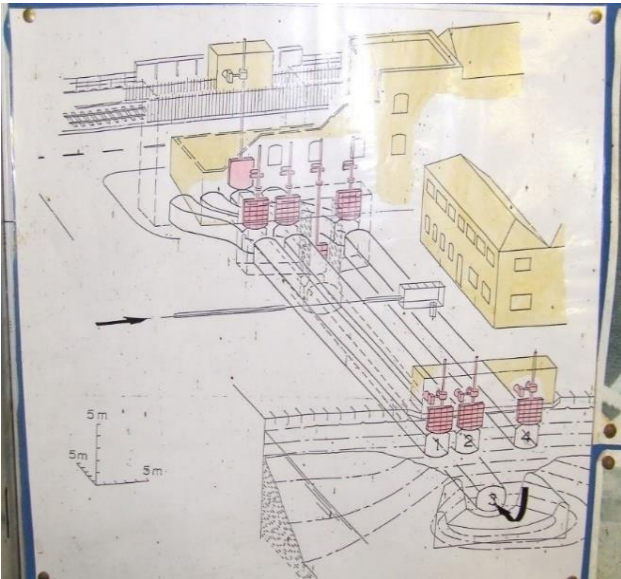
The four main sluice gates are located at the New Cut side of the culverts below the Underfall Yard building. It is understood that the gates were replaced in 1995 with spheroidal graphite iron like-for-like gates. The seal of the main sluice gates is formed when the gate is pressed against the wall by the water pressure on the harbour side. Here the gate is said to be in a “seated” position. When the water pressure on the New Cut side of the river is greater, the gates are pushed away from the wall and they are said to be in an “unseated position”. This occurs when the harbour is tide locked.

At the harbour side there are four emergency gates; gates 1, 2 and 4 are sluice gates and gate 3 is a blanking plate.

The four main sluice gates are operated by Rotork electric actuators. The main sluice gate actuators 1 and 2 were manufactured in 2009. The main sluice gate actuators 3 and 4 were manufactured in 1971. On the harbour side emergency sluice gates 1 and 2 are operated by a vertical action oil hydraulic cylinder. The HPU operates with one Duty pump which uses an 11kW motor. The emergency plate (sluice gate 3) however is operated using a chain block system, and emergency sluice gate 4 is operated by a hydraulic power unit and cylinder which is currently disconnected.

There is also an external sluice gate, located at the River Side, which was inaccessible and not covered within the scope of this survey.

Figure 1: Arrangement of the Assets at Underfall Yard



Source: Mott MacDonald survey, April 2019

Figure 2: Underfall Yard Location



Source: Bing Maps

2 Description of Site Investigation

The Inspections of Underfall Yard were undertaken on Wednesday 10th April 2019, and Wednesday 17th April 2019. The results of the survey may be found in the document: *WS1718-MEICA-SURV ISSUE B01 Underfall Yard Survey Results*.

The following assets were examined:

- 4 main Sluice Gates including 4 Rotork electrical actuators
- main sluice gate control panel
- 4 emergency sluice gates and HPU
- SCADA station

The methodology of the inspection and its associated risks may be found in the method statement *WS1718-MEICA-RAMS-ISSUE B01 Underfall Yard MEICA Inspection Method Statement*.

The inspections were visual and tactile examinations. Their objective was to gather data on the following (during or after analysis of the information gathered on the site visit):

- Whether there has been any significant deterioration of the structural strength of the gates and the operability of the MEICA equipment.
- The significance of any identified defects (i.e. are they critical for the assets operations?)
- The overall condition of the asset.
- Future maintenance activities which may be necessary for the structures.
- The global structural integrity relative to actual loads on the structure, considering observed damage or deterioration.
- An estimate of the remaining useful life of the structures.
- Order-of-magnitude estimates of probable costs for rehabilitation works.

The structural integrity of the gates could not be reliably evaluated, because thickness readings could not be taken. The reason for this was the ultrasonic thickness measurement tool could not take reliable measurements of the gates as they were made of cast iron.

3 Underfall Yard

3.1 Main Sluice Gates

Figure 3 shows the main sluice room in the Underfall Yard building. Varying levels of corrosion and marine growth were found on the main sluice gates during the inspection.

Figure 3: Underfall Yard Main Sluice Room



Source: MML Site visit 17th April 2019

3.1.1 Sluice Gate 1

Some minor corrosion was found at the top of the actuator rising stem of sluice gate one. This is shown in Figure 4. Some marine growth and zebra mussels were found at the base of the stem. This is shown in Figure 5. A significant amount of zebra mussels was found on the gates which increased towards the centre of the gate as shown in Figure 6.

Varying amounts of surface degradation was found on all gates. All bolts, rivets, and nuts appeared to be in good condition.

Figure 4: Corrosion on actuator rising stem - main sluice gate 1



Source: MML Site visit 17th April 2019

Figure 5: Zebra mussels and corrosion on actuator rising stem base - main sluice gate 1



Source: MML Site visit 17th April 2019

Figure 6: Corrosion and zebra mussels - main sluice gate 1



Source: MML Site visit 17th April 2019

3.1.2 Sluice Gate 2

Significant amounts of zebra mussels and marine growth were found on the main sluice gate no.2, which increased towards the centre of the gate as shown in Figure 7. Patches of surface corrosion were found at the bottom of all gate's flanges (Figure 8). All rivets, nuts and bolts were intact.

The guides appeared to have corroded to an undetermined depth; this is shown in Figure 9. The parts of the bronze seal on the side of the gate, which could be seen, were in good condition. A redundant corroded pole, which ran to the top of the chamber, is shown in Figure 10.

The actuator rising stem for the main sluice no.2 appears to be deflected. The operators informed the surveyors that the gate is over-driven in its closed position, which has resulted in the deflection of the stem. Some corrosion was also found on the actuator rising stem of sluice gate no.2. (Figure 11).

Figure 7: Corrosion and zebra mussels – main sluice gate 2



Source: MML Site visit 17th April 2019

Figure 8: Moderate corrosion on the bottom flange - main sluice gate 2



Source: MML Site visit 17th April 2019

Figure 9: Corroded gate and guide – main sluice gate 2



Source: MML Site visit 17th April 2019

Figure 10: Corroded pole – main sluice gate 2



Source: MML Site visit 17th April 2019

Figure 11 Corrosion at base of rising stem – main sluice gate 2



Source: MML Site visit 17th April 2019

3.1.3 Sluice Gate 3

No structural defects were found on the actuator shaft for main sluice gate no.3, however some surface corrosion was present on the shaft. The redundant poles behind the sluice gate were severely corroded and covered in hard silt. They may be seen in Figure 12. There were significant amounts of hard and soft silt lodged in the corners of the sluice gate compartments which increased towards the bottom of the gate. This may be seen in Figure 13. The gate was also covered in a large amount of marine growth and was significantly corroded in some areas. The condition of the gate may be seen in Figure 14.

A significant amount of corrosion was also found on the sluice gate guides as shown in Figure 15. The issues found on main sluice gate three may be due to the gate being operated infrequently. This is because emergency plate 3 is neither sealed nor operational, meaning that the culverts and chamber will eventually fill to the level of the Floating Harbour.

Figure 12: Corrosion on redundant poles– main sluice gate 3



Source: MML Site visit 17th April 2019

Figure 13: Siltation on gate – main sluice gate 3



Source: MML Site visit 17th April 2019

Figure 14: Condition of gate – main sluice gate 3

Source: MML Site visit 17th April 2019

Figure 15: Corrosion on guides– main sluice gate 3

Source: MML Site visit 17th April 2019

3.1.4 Sluice Gate 4

The redundant poles behind main sluice gate 4 were heavily corroded. The base of the actuator shaft was also corroded. They may be seen in Figure 16 and Figure 17 respectively. Hard silt deposits were found in the corner compartments of sluice gate 4. Otherwise the gate appeared to be in good condition.

Figure 16: Severely corroded pole – main sluice gate four

Source: MML Site visit 17th April 2019

Figure 17: Actuator shaft base - main sluice gate f4

Source: MML Site visit 17th April 2019

3.2 Emergency Sluice Gates

3.2.1 Sluice Gate 1

The sections of the structure surrounding emergency sluice gate 1 appeared to be in good condition. Below the water the diver found all the fixings were intact. Large amounts of marine growth, zebra mussels, and corrosion were found on the far left, far right and centre row compartments. A gap was found in the bronze seal, behind the gate, on either side of the HPU shaft; the total size was 750 mm. There was some moderate corrosion found in the top left compartment and on the flanges of the gate. A large amount of marine growth was also found on the bottom left compartment. As mentioned earlier a thickness reading could not be taken due to the material of the gate.

3.2.2 Sluice Gate 2

The side seal of emergency sluice gate 2 was covered in marine growth, so it could not be examined. Heavy marine growth was also found on the centre of the gate. The bronze seal was also discontinued and peeling off at the back of the gate.

3.2.3 Sluice Gate 3

Emergency blanking plate 3 was found to be hanging on an open hook with nothing preventing it from falling forwards. A gap of approximately 20mm was measured behind it and on the sides of the plate. A heavy amount of marine growth was found on the top right of the plate. The diver also reported that a concrete funnel like structure was found in front of the plate. A large possibly wooden beam, approximately 3m high and 500mm thick, was found obstructing the gate on the right-hand side. Finally, the plate handle was broken.

3.2.4 Sluice Gate 4

Emergency sluice gate 4 was covered in a large amount of marine growth. The seal was in good condition. Some debris was found on top of the sluice gate. Again, the issues with this gate may be due to its infrequency of operation; because it is not connected to the HPU.

4 Mechanical Inspection

4.1 Equipment Surveyed

A static inspection was undertaken on the following:

- emergency sluice HPU
- HPU shafts.
- emergency plate 3 chain block
- 4 Rotork electrical Actuators

4.2 Condition

4.2.1 Static

The main sluice gate Rotork actuators appeared to be in good condition, no defects were found apart from the bending of the rising stem of main sluice gate 2, which was mentioned in section 3.1. Actuator 4 also appeared to have seen little use in some time. It is worth noting that limited support and spares are available from the manufacturer for the “A-series” actuators (3 and 4) due to their age and obsolescence.

Figure 18: Actuator one – main sluice gate one



Source: MML Site visit 17th April 2019

Figure 19: Actuator two – main sluice gate two



Source: MML Site visit 17th April 2019

Figure 20: Actuator three – main sluice gate three



Source: MML Site visit 17th April 2019

Figure 21: Actuator four – main sluice gate four



Source: MML Site visit 17th April 2019

The HPU for the emergency sluices appeared to be in good condition. No functional defects were found although it was not connected to sluice gate 4 which was mentioned earlier. Various items were found around the area which should be cleared. Some debris was also found in the bund of the HPU which should be cleaned.

The support bar holding emergency blanking plate 3 appears to be permanently deformed under the sustained load. The Safe Working Load SWL was shown at the back and appears to be 5 tonnes for the chain block and 3 tonnes for the support bar this may be seen in Figure 22 and Figure 23. The bar showed signs of bending and failure may occur unexpectedly. No evidence was found that the lifting equipment had undergone a thorough examination under, the Lifting Operations and Lifting Equipment Regulations 1998, (LOLER) in a long time. The chain block itself appears to be in good condition. However, there is an open hook attached to the gate which is not secure, and there are no guide grooves on the wall of blanking plate 3, so there is nothing preventing the gate from detaching.

Figure 22: Chain block – emergency plate three



Source: MML Site visit 10th April 2019

Figure 23: Back of Chain block – emergency plate three



Source: MML Site visit 10th April 2019

4.2.2 Operational

Main sluices 1,2 and 3 were observed during operation. Main sluices 1 and 3 were operated without any issues. An observation regarding the deflection of main sluice 2 was earlier discussed, believed to be attributed to the over-driving of the gate.

Main sluice gate 3 was operated for a short time due to a large amount of leakage at the corresponding emergency blanking plate. Main sluice gate actuator 4 was not operated. This was because the risk of being unable to close the gate was identified due to the large build-up of silt which could have dislodged and prevented the gate from resealing. It is recommended that the culvert is scoured when emergency sluice gate four is connected to an HPU.

Main sluice gate 4 was not operated at the time of the inspection. As the emergency sluice 4 is not operational, there is an operator concern that lifting the main sluice would dislodge the silt in the culvert and prevent the main sluice from sealing, thus compromising the resilience of the Floating Harbour.

5 Electrical Inspection

5.1 Equipment Surveyed

The inspection survey covered the main sluices room, the emergency sluices room and the Harbour Master office yard.

The following assets were examined:

- level display
- SCADA station
- cables and cable glands
- level measuring instruments
- level instrument panel
- telemetry outstation panel
- radio communications station
- telemetry marshalling panel
- electrical distribution panels
- actuator isolators
- earthing lugs
- cable tray
- emergency sluice HPU
- emergency blanking plate 3 chain block system
- main sluice controls
- main sluice gate control panel
- HPU control panels
- isolator switch

5.2 Limit Switch Condition

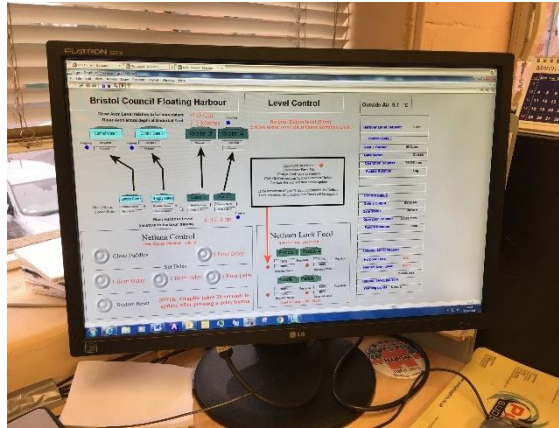
5.2.1 Static

Figure 24: Levels display panel



Source: MML Site visit 10th April 2019

Figure 25: Harbour Master office SCADA station



Source: MML Site visit 10th April 2019

The Harbour Master office has a panel with the level displays for the harbour float level and the River Avon level as shown in Figure 24. Following conversations with the operators on site it is understood that the harbour level displayed is measured in *cm* above ordnance datum (\pm cm AOD) and the river level is also measured in *cm* above ordnance datum (\pm cm AOD). The third level display indicates the level set point that sets the harbour's level in *cm* above or below the river's level according to the principles of harbour level control operation.

It was also understood that the operator has the facility to select the harbour level set point from the computer based SCADA station in the office as shown in Figure 25 above. Note that the exact principle of harbour level control is not fully understandable due to the limitations of the readily available review material.

Figure 26 below shows the harbour's level measuring instrument which is a pressure transducer guided through a PVC tube and located in the harbour master's yard next to the parking area. Figure 27 shows a panel where the instrument cable is wired to. It is believed to house the instrument controller. Access to the panel could not be obtained at the time of visit.

Figure 26: Harbour's level measuring instrument

Source: MML Site visit 10th April 2019

Figure 27: Harbour's level instrument panel

Source: MML Site visit 10th April 2019

Within the main sluices room there are four sluices driven by electrical Rotork actuators and the associated electrical panels for the control and monitoring of the sluices as well as Telemetry panels for the interface to the Harbour Master office and the Entrance lock operations station.

Actuators no.3 and no.4 are of the older version (manufactured in 1971) than actuators no.1 and no.2 (manufactured in 2009). It is recommended that the actuators no.3 and no.4 are replaced with newer actuator models to ensure serviceability and reliability of operation in future.

From the historical information the control principle of the main sluices is as follows:

- The normal harbour operating water level is 6.2m AOD +100mm. The harbour level set point is selected via a dial located on the main sluices control panel.
- If the harbour water level rises above the selected set-point level, then sluice no 1 opens in pre-programmed steps to allow water out of the harbour into the river.
- If the harbour water level keeps increasing, then the sluice gate opens further until the opened position limit switch is reached and stops. The system then waits and monitors the levels.
- When sluice no1 has reached its fully open position, then the sluice no2 opens in pre-programmed steps until it is fully open.
- When the harbour water level starts to drop then sluice no2 starts to close first.
- If the harbour water level drops below the pre-set level, both sluice gates close to stop water flowing out of the harbour into the river.
- Sluices no.1 and no.2 are set up as duty standby and the controller changes their rotation so that each sluice operates in similar working hours.

Figure 28 below shows the main sluice gate control panel which controls and monitors the operation of the main sluices. The panel also provides indication of the emergency sluices status

and the power supply to them. There is a level display for the harbour level displayed measured in cm above the level of the river Avon. The dial is used to manually set the setpoint for the level of the harbour above or below the river level according to the principle of harbour level control.

The main sluices control panel has signs of physical wear. The dial switch which controls the level of the harbour has a padlocked cover which is easily accessible with just a pin as the cover does not close firmly. This could trigger unwanted harbour levels when the area is accessed by unauthorised personnel. Signs should have been posted on the entrance to warn for authorised personnel access only. The lock should also be removed, and a new cover should be placed over the dial switch. The panel has a level display socket which is not used and covered with a piece of tape, therefore this could possibly reduce the ingress protection level of the panel. Additionally, not all indication LEDs are functional.

As part of the Telemetry and communications scheme there is a Seprol S250 Telemetry outpost unit and a radio communications station as shown in Figure 29 and Figure 30 respectively. It is noted that the details regarding the Telemetry system and communications network could not be obtained due to limitations of readily available material on site.

Figure 28: Main sluices main control panel



Source: MML Site visit 10th April 2019

Figure 29: Telemetry outpost



Source: MML Site visit 10th April 2019

Figure 30: Radio communications station



Source: MML Site visit 10th April 2019

Figure 31: Telemetry marshalling panel



Source: MML Site visit 10th April 2019

In various locations there are cable installations within the electrical and instrumentation cubicles that was not done in a neat manner, following good installation practice. Lengths of cable were left untidy and not securely fixed. Examples can be seen in Figure 30, Figure 31, and Figure 34. This increases the possibility of the cables being damaged during any intrusive work therefore the installation should be revisited and rectified.

Moderate corrosion on some electrical panels was noted. In future the corrosion could affect the operation and integrity of the internal components and cabling. It is recommended that remedial works are carried out on these panels to prevent further corrosion or the other option is to replace these panels.

Figure 32: Corrosion on electrical distribution panels



Source: MML Site visit 10th April 2019

Figure 33: Corrosion on electrical distribution panels



Source: MML Site visit 10th April 2019

Figure 34: Corrosion on actuators isolators



Source: MML Site visit 10th April 2019

Figure 35: Corrosion on actuators isolators



Source: MML Site visit 10th April 2019

Figure 36: Actuator No.2 cable glands

Source: MML Site visit 10th April 2019

Figure 37: Actuator No.1 with cable glands

Source: MML Site visit 10th April 2019

Figure 34 and Figure 35 above show the actuator isolators, and Figure 36 and Figure 37 show the cable termination and glands on the sluice actuators number 2 and number 1 respectively. There are two glands which appear to be a modified installation not appropriately sized for the cable termination and covered with a piece of green and yellow insulation tape to provide insulation and cable fixing. It is recommended that these cable glands should be replaced with appropriately sized glands to ensure secure cable termination at the actuators.

There are cables and earthing lugs covered in paint as shown in Figure 38 following cable installation. This is not considered to be good practice as it will possibly cover any cable insulation defects and make them difficult to detect. Also, the painting of the cable terminals could reduce the cable conductance. In Figure 38 it can be seen that some parts of the cable conduits are deteriorated and should be restored locally to enhance the conduit protection.

Figure 38: Painted cables and earthing lugs



Source: MML Site visit 10th April 2019

The building housing the emergency sluices in Figure 39 is in Underfall Yard adjacent to the parking area. This building houses the control panel for the operation of the HPU and the sluices, the HPU and electrical distribution panels.

Figure 39: Emergency sluices building



Source: MML Site visit 10th April 2019

Figure 40: Emergency sluices control panel



Source: MML Site visit 10th April 2019

The HPU unit and the motor shown in Figure 41 and Figure 42 are in good condition and the associated cables appear in good condition with regards to the cable terminations and insulation.

Figure 41: Emergency sluices HPU



Source: MML Site visit 10th April 2019

Figure 42: HPU motor



Source: MML Site visit 10th April 2019

The electrical isolator and the distribution panel within Underfall Yard shown in Figure 43 and Figure 44 are both fairly corroded. In future this could possibly have a negative impact on the normal operation and integrity of the internal components and cabling. therefore these panels need to be replaced.

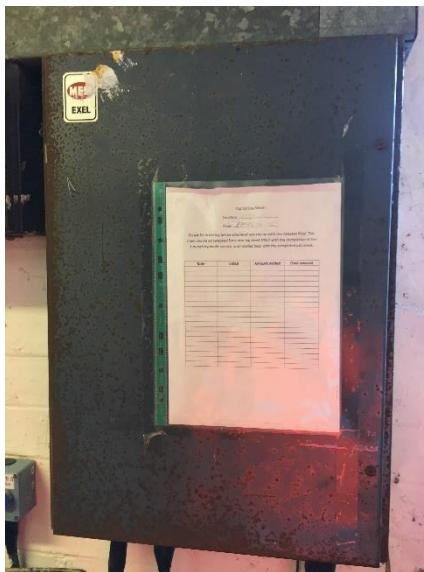
Additionally, the bracket which supports the sluice gate number one limit switches are heavily corroded, as can be seen from Figure 45, and needs to be replaced to ensure secure support of the switches in the future.

Figure 43: Corroded local isolator



Source: MML Site visit 10th April 2019

Figure 44: Corroded electrical distribution panel



Source: MML Site visit 10th April 2019

Figure 45: Corroded Limit switch bracket

Source: MML Site visit 10th April 2019

Figure 46: Limit switch cabling

Source: MML Site visit 10th April 2019

Examples of unsupported cables can be seen in Figure 47 where the cables of the limit switches are not securely fixed on the wallside via cable trunking. All unsupported cable installations should be rectified utilising appropriate cable trunking to provide cable protection.

Figure 48 shows a cable trunking which is not supported and securely fixed on the wallside with cables hanging and exposed. Dirt covering the opening for the cable through the floor at the cable trunking was obstructing to observe whether the opening has been sealed with the appropriate foam sealant to prevent vermin intrusion. However it appears that the sealant was not applied. This shall be further investigated and sealant to be applied in case it was not done previously.

Figure 49 shows a free earthing lug not fixed in place. It is not confirmed where the earthing lug was connected to; however, a free earthing lug could compromise the installation bonding and personnel safety. Therefore, it shall be checked whether it forms parts of an active circuit and reconnected back in place as required.

Figure 47: Unsupported cables

Source: MML Site visit 10th April 2019

Figure 48: Unsupported cable trunking

Source: MML Site visit 10th April 2019

Figure 49: Broken earthing lug

Source: MML Site visit 10th April 2019

On several sections of cable tray, shown in figures Figure 50 and Figure 51 it appears that there is no earth bonding conductors between the cable tray sections. Additional bonding may be required to provide an equipotential bonding system. This shall be further investigated and any

installation required to be by a competent electrical subcontractor. Installation and the continuity tests shall be in accordance to the BS7671 wiring regulations.

Figure 50: Cable trays



Source: MML Site visit 10th April 2019

Figure 51: Cable trays



Source: MML Site visit 10th April 2019

5.2.2 Operational

No issues were identified in the operation of the sluice gates other than those highlighted in section 4.2.2, which concern the mechanical operation.

6 Risks associated with failure

The main mechanical risks are most likely to cause the failure of the assets are:

- the deflected shaft of main sluice gate 2
- the corroded guides of the main sluice gates
- the severely corroded poles behind main sluice gates 1, 2 and 4.
- the broken seals on emergency sluice gates 1 and 2
- the open hook and circular section lifting beam supporting blanking plate 3
- emergency sluice gate 4

If the above are left unrectified these are the likely risks which may occur. The deflected shaft may buckle leading to an inability to close the gate. The corroded guides would also increase the difficulty of operation and reduce the load bearing capacity of the gates becoming another possible cause of a structural failure. Worse yet the guides could be damaged which meaning the gates could not be operated. The severely corroded poles could collapse and cause damage to the gate. The broken seals could increase the volume of leakage leading to increased wear, a lower load bearing capacity of the gates and eventual damage. Emergency blanking plate 3 can easily become dislodged, increasing the hydrostatic load on main sluice gate 3 and damaging the asset if a better system is not put in place. It is also a statutory obligation to ensure that the lifting arrangements for the plate comply with LOLER. Finally, emergency sluice gate 4 should be connected to a hydraulic actuation system to allow it to be operated. This will in turn allow main sluice gate 4 to be operated and reduce the burden and wear placed on emergency sluice gates 1 and 2.

The main electrical risks identified are:

- **Panel corrosion:** There are several electrical panels which show moderate to fair corrosion. In the long term this could possibly have a negative impact on the normal operation and integrity of the earthing system and internal components therefore these panels need to be rectified or replaced.
- **Unsupported cables:** In several locations there are cable installations which are not securely clipped or installed on a cable trunking system and this potentially could lead to cable damaging when any nearby activities happen. These installations should be rectified to follow good installation practice and ensure the security of the cables.
- **Earthing and bonding:** It has been highlighted that some cable tray installations have no equipotential bonding, and this may give rise to a potential electricity hazard. This shall be further investigated by a suitably qualified electrician and rectified. There was an occasion of a free earthing conductor located at the installation in the emergency sluice room which needs to be investigated and if is still in use shall be rectified. Inspection and test methods shall be in accordance to the BS7671 wiring regulations.

7 Recommendations

7.1 Mechanical Recommendations

To ensure the sluice gates meet their design life it is recommended that they are regularly maintained. Maintenance plans for the equipment would typically involve:

- Regular minor maintenance (approximately every six months).
 - Inspection of the gates recording the material condition and the level of biological growth and degradation making sure no damage has occurred.
 - Operation of all moving parts making sure they function correctly.
 - Operation of the hydraulic power unit and seek for any lack of pressure or leakage in the system.
 - Reporting of any excessive or wide spread leakages if any and remedial measures should be carried out.
- Regular major maintenance (annually).
 - Repair or replacement of any small maintenance free components.
 - Lubrication of the moving parts like the HPU shafts and gear boxes.
 - Checking of tightness of all coupling bolts of gear box and line shaft. If required, they may be tightened.
 - All debris, sediments and any foreign material shall be cleared off the sluice gates and their frames.
- Repair or replacement of maintenance free components for example bearings, hydraulic fluid lines, etc. (Approximately every five to seven years).
 - Checking for condition of painting of all components and remove rust or marine growth wherever noticed and repaint after proper cleaning as per painting schedule.
- Replacement of major mechanical components for example hydraulic cylinders, hydraulic oil, etc. (Approximately every ten years).
 - Replace hydraulic oil and components, as per manufacturer recommendation and painting schedule.

It is also recommended that all emergency sluice gates are transitioned to a hydraulic actuation system.

7.2 Electrical Recommendations

- As described in detail in section 5.2.1 the main sluice gate control panel has signs of physical wear and needs to be repaired. The dial level switch cover, functional LEDs which are not functional and seal slots which are not in use all need to be repaired or replaced.
- Panels with moderate to fair corrosion should be scheduled for replacement to ensure secure operation in the long term.
- Replacement of main sluice gate actuators 3 and 4 to ensure future reliability.
- Warning signs to be installed on the entrances of both the emergency sluices room and main sluices room to warn for authorised personnel access only.
- Lock to be removed and dial switch cover to be replaced.

- Bad practice installation of cables which have been identified need to be revisited and rectified to follow good installation practice and cable protection, including cable installations within the electrical and instrumentation cubicles.
- Provision of an enclosure to store the relevant electrical installation drawings. Further investigation into Telemetry and communications system to establish the as built system in use which could not be obtained due to limitations of readily available material on site.
- Cable glands on actuators which are not appropriately sized should be replaced with appropriately sized glands to ensure secure cable termination.
- Painted over cable terminations and equipotential bonding should be inspected and tested in accordance to the procedures by BS7671 wiring regulation to ensure conductors integrity and good continuity of electrical path.
- Painted cable conduits should be further inspected for physical wear and restored where damage is detected in the appropriate manner to ensure cable good cable insulation.
- Frequent inspection schedules to be set in place for the installation inspection in terms of good cable insulation, security and integrity.
- Replacement of heavily rusted limit switch brackets.
- Apply appropriate foam sealant in through floor openings for cables as required.
- Provision of additional equipotential bonding as required following further investigation on cable tray sections which are bonded in between them. Carry out inspection on free earthing conductors and fix in place. Installation and tests shall be carried by a competent electrical sub-contractor.
- Frequent inspection schedules to be set in place for the inspection of the limit switches installation in terms of good cable terminations, corroded terminals and lugs, secure fixing, integrity and good condition of support brackets. Any defects found should be scheduled for replacement.

7.3 Useful Life of Structure

Assuming the sluice gates were replaced in 1995 they should have a design life of at least 50 years. Therefore, a reasonable estimate of their remaining operational life would be approximately 10-26 more years depending on the frequency of their use and the level of maintenance given. However, the guides are far older and will require immediate investigation and possible replacement.

The HPU is expected to operate for approximately 25 years from its installation date which is currently unknown. However, various components within the HPU would require changing, after a shorter period, as part of their regular maintenance of the HPU. Section 7.1 gives more details of this.

The Rotork actuators have a design life of approximately 15- 20 years assuming actuators one and two were installed in 2009 they are expected to have an operational life of 5 - 15 years depending on number of uses and the level of maintenance given. The older actuators operating main sluice 3 and 4 should be immediately investigated to confirm they are still operational.

7.4 Additional Future Maintenance

It is recommended that the wear on the guides is monitored and recorded regularly. Monitoring of any water leakage is also recommended. This will allow more predictive, as opposed to reactive, asset management strategies.

8 Cost of Works

8.1 Repairs and Replacements

The recommended repairs and replacements with some associated costs include:

- Blast cleaning of the corroded surfaces to preparation grade Sa 2.5 as specified in ISO 8501-1:2007 (order of magnitude £10k).
- Replacement of all main sluice gate guides (order of magnitude £300k).
- Application of a corrosion protection system selected in accordance with BS EN ISO 12944-5:2007 (order of magnitude £5k).
- Cleaning of marine growth and investigation of seals on the side of the gates (order of magnitude £3k).
- Scouring of silt in main sluice chamber (order of magnitude £3k, if done by divers).
- Thorough examination of chain block and beam (order of magnitude £500)
- Redesign and installation of certified lifting arrangements for emergency blanking plate 3 (order of magnitude £10k)
- Removal of debris obstructing emergency blanking plate 3.
- Upgrade of emergency blanking plate 3 and emergency sluice gate 4 to allow hydraulic actuation (order of magnitude £10k)
- Investigation and removal of debris obstructing sluice gate 3 (order of magnitude £10k).
- Investigation of main sluice gate actuators 3 and 4 (order of magnitude £2k)
- Replacement of emergency sluice gate 1 and 2 bronze sealing (order of magnitude £100k).
- Adjustment of main sluice gate 2 Rotork actuator (order of magnitude £1k). Main sluices control panel repairs to ensure security, ingress protection and functionality (order of magnitude £300)
- Rearrange unsupported cables to provide protection by means of burying them or mounting on cable trays (order of magnitude £3k)
- Replacement of corroded panels including installation (order of magnitude £10k)
- Installation of warning signs to BS EN ISO 7010:2012+ A5:2015 (order of magnitude £300)
- Replacement of cable glands on actuators and the corroded brackets for the limit switches (order of magnitude £500)
- Investigation into operation of main sluice actuators no.3 and no.4 (order of magnitude £2k)
- Inspection and installation work of electrical subcontractor on the equipotential bonding and electrical tests as per BS7671 wiring regulations (order of magnitude £5k)

8.2 Cost of Upgrades to Required Standards

The equipment is relatively recent and does not require upgrading.

8.3 Cost Benefit Analysis

8.3.1 Make no changes

- Cost – No cost.
- Benefit- with the current condition of the gates and equipment, failure of the Underfall assets are likely. This is due to the risks highlighted in the section 5.2.2. This is not an option as there

are several issues which must be addressed immediately. For example, LOLER compliance of the lifting accessories for emergency blanking plate 3 is a statutory obligation. However, this has not been met.

8.3.2 Repair Significant Defects

This option involves the replacement of the deflected actuator shaft of main sluice gate 2; the replacement of the corroded main sluice gate guides; the replacement of all critically corroded poles in the main sluice gate chambers; a redesign and replacement of the lifting accessories for emergency plate 3, to a more permanent solution, to ensure compliance with LOLER; a the removal of the debris in front of emergency plate 3; the connection of the emergency sluice gate 4 to the HPU; and an investigation into the operation of main sluice gate actuators 3 and 4.

- The priority works recommended from an electrical perspective are the replacing of the main sluices actuators no.3 and no.4; the inspection of the existing equipotential bonding systems due to corrosion and paint on cable lugs and testing; an investigation of the requirements for additional equipotential bonding; and the repairs or replacements of the corroded electrical panels and isolators. Cost – order of magnitude £400k.
- Benefit- These repairs and replacements would enable the Underfall Yard assets to continue operating for another 10-15 years, given appropriate maintenance regime is applied.

8.3.3 Repair all Defects

This option involves completing all recommended repairs and replacements.

- Cost – Order of magnitude £500k.
- Benefit- Ensures the gates are kept in good condition and will likely reach the end of their specified design life, and may surpass it, assuming future maintenance is undertaken.

Urgent works to the Underfall Yard Sluices Risk Register

Negative Risks that offer a threat to Urgent works to the Underfall Yard Sluices and its Aims (Aim - Reduce Level of Risk)

Ref	Risk Description	Key Causes	Key Consequence	Status Open / Closed	Strategic Theme	Risk Category	Risk Owner	Key Mitigations	Direction of travel	Current Risk Level			Monetary Impact of Risk £k	Risk Tolerance			
										Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating	Date
1	The budget allocated if not sufficient to resolve all works.	The cost of repair is higher than anticipated.	Changes will need to be prioritised and part of the system will be more prone to failure.	Open			BCC	Quotes are being investigated now to ensure we have an up to date understanding of total cost.		3	3	9		2	3	6	
2	Works reveal higher costs issues thn originally specified.	Inspection report did not inspect everything and thus may have missed something. Additionally the state of the infrastructure could have deteriorated since the inspection.	Costs will increase. Changes will need to be prioritised and not everything may be repaired.	Open			BCC	Further inspection of the sluices planned. Contignecy to be built into the project. Docks engineering budget to be allocated to support priority repairs which can no longer be supported by the project.		3	3	9		3	3	9	
3	Spend can not be delivered as prescribed.	Delays in specifying works or getting works on contract.	Spend will need to move to a later year. Potential loss of EA funding for that year.	Open			BCC	Ensure work is specified and on contract as soon as possible by liaisng with contractors as early as possible.		3	3	9	Up to £1,250k (EA funding)	3	3	9	
4	Delay in getting approval for the work	Project takes longer than expected to get approval	Project will move to next financial year but would cause BCC to miss out on EA funding for this year.	Open			BCC	BCC & EA in constant conversation.		2	3	6	Up to £1,250k (EA funding)	1	3	3	
5	Delay in getting EA funding	EA funding will need to go via the EA's National Assurance Group as the total project cost exceeds £500k	This could delay the work	Open			BCC	Local EA colleagues will support BCC to make sure process is as quick as possible.		3	3	9	Up to £1,250k (EA funding)	2	3	6	

Equality Impact Assessment [version 2.9]



Title: Urgent works to the Underfall Yard Sluices	
<input type="checkbox"/> Policy <input type="checkbox"/> Strategy <input checked="" 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: Growth and Regeneration	Lead Officer name: Thomas Pawley
Service Area: Natural and Marine Environment	Lead Officer role: Principle Docks Engineer

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.

Repair the sluices and their associated equipment at Underfall Yard, following the findings in the Underfall Yard MEICA Inspection Report.
--

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: This will have an impact on anyone who lives, works or uses the floating harbour and surrounding areas.		

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 equality impact from the proposal to repair the Underfall Yard sluices. The defects are not accessible to anyone other than the Harbour/Dock Staff and we do not anticipate any significant disruption or lack of accessibility 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: 18/10/2021	Date: 18 October 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: Urgent works to the Underfall Yard Sluices				
Report author: Thomas Pawley				
Anticipated date of key decision: ASAP				
Summary of proposals: Repair the sluices at Underfall Yard, following the findings in the Underfall Yard MEICA Inspection Report				
Will the proposal impact on...	Yes/No	+ive or -ive	If Yes...	
			Briefly describe impact	Briefly describe Mitigation measures
Emission of Climate Changing Gases?	No			
Bristol's resilience to the effects of climate change?	Yes	+ive	The Underfall Yard sluices form part of our flood defence. Thus, ensuring their operation is critical in preventing flooding to properties around the harbour.	Repair works should be carried out on the sluices.
Consumption of non-renewable resources?	Yes	-ive	The proposed repair works will require the consumption of non-renewable resources.	New components will be sourced only as required. The nature of the works means that there are few to no alternative options available in terms of sourcing different materials.
Production, recycling or disposal of waste	Yes	-ive	Replacement of existing components will require their removal and disposal.	Removed components will be recycled wherever possible in line with best practice for site waste disposal.
The appearance of the city?	Yes	+ive	The Underfall Sluices are critical to floating harbour. Failure of these could have a major impact on the appearance of the city.	Repair work should be carried out on the sluices.
Pollution to land, water, or air?	No			
Wildlife and habitats?	No			
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 to ensure that the Underfall Yard Sluices remain operational. Failure of the sluices could have a major negative impact on the appearance of the city and its resilience to flood				
The proposals include the following measures to mitigate the impacts. Repair the sluices & associated equipment.				

The net effects of the proposals are to ensure that the Underfall Yard Sluices are repaired and continue to operate for a significant length of time with minimal issues.

Checklist completed by:

Name:	Thomas Pawley
Dept.:	Docks Engineering
Extension:	+447920274220
Date:	4 th October 2021
Verified by Environmental Performance Team	Daniel Shelton 08.11.2021

Decision Pathway – Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 14 December 2021

TITLE	Temple Island Update
Ward(s)	Windmill Hill, Lawrence Hill, Southville and Central
Author: James Anderson	Job title: Head of Capital Projects
Cabinet lead: Mayor Rees	Executive Director lead: Stephen Peacock, Executive Director Growth and Regeneration
Proposal origin: BCC Staff	
Decision maker: Cabinet Member Decision forum: Cabinet	
Purpose of Report	
<p>To seek approval for the Council to forward fund certain elements of the Enabling Works and associated costs for Temple Island, which are to be funded from the Economic Delivery Fund (EDF) grant, approval for which has already been given in principle by WECA, but which requires minor changes in the original approval and a further decision of the WoE Joint Committee.</p>	
Evidence Base:	
<ol style="list-style-type: none"> 1. Temple Island is one of Temple Quarter’s key development sites, a key gateway location and has the potential to open up north-south-east-west accessibility across the area. The site is due to be redeveloped by Legal & General. Work is underway by Bristol City Council (BCC) to deliver a series of Enabling Works on the island, including groundwater remediation, utilities reinforcement, repairs to river walls, structural fill placed across the site and improvements to A4/Bath Rd access road. 2. A Change Request was submitted to WECA in July 2021 to confirm the scope for the enabling works and to de-risk the Temple Island site. An approval Decision Notice was issued soon after. In order to ratify the decision and allow release of the Grant Offer Letter (GOL) the WECA Joint Committee was due to confirm approval on 15 October 2021. Due to the cancellation of the meeting, the Decision Notice has not been ratified and therefore WECA have not been able to provide the Temple Island project with the GOL. Without it, the project cannot continue to procure works or services beyond the £2m that was agreed in Cabinet February 2020. 3. WECA have notified the project that the next WECA Joint Committee meeting will be on 17 December 2021 and so the GOL would not be released and therefore funds available until then. This decision will ensure continuity of delivery even if the Joint Committee decision is delayed until January 2021. It is anticipated that the GOL will be released after the Joint Committee meeting on 17 December 2021. 4. This request is for the Council to approve Capital Spend at risk for the following tasks on the project between October 2021 and February 2022 to the value of £1.4m: <ul style="list-style-type: none"> • Remediation investigations to support the remediation of the site; • Lawyers to complete the L&G Agreement; • Strategic Partner to take the enabling works through RIBA 2-3 design stages; • Internal BCC fees for project management, finance, legal and procurement support; • A new contract for river wall repairs to be procured; • A4 Bath Rd wall surveys to inform the structural assessment study; • A small proportion for risk/inflation. 	

Cabinet Member / Officer Recommendations:

That Cabinet:

1. Authorises additional funding of up to £1.4m to enable the works set out in the report to be progressed. To be temporarily funded from capital contingency.
2. Notes that the additional funding will be met by the Council until such time that WECA agrees a grant offer letter.
3. Notes that a decision may be taken in December by the WECA Joint Committee.
4. Authorise the Executive Director Growth and Regeneration in consultation with S151 officer, monitoring officer and the Mayor to enter into all contracts required for the delivery of this work. For the avoidance of doubt, including contracts with a value of over £0.5m.

Corporate Strategy alignment:

The proposals align with a number of corporate priorities, including:

- Develop a diverse economy that offers opportunity to all;
- Deliver 2,000 homes, of which 800 are affordable, built in Bristol each year by 2020;
- Develop an inclusive economy that offers opportunity to all and makes quality work experience and apprenticeships available to every young person, and;
- Reduce social and economic isolation and help to connect people to people, people to jobs and people to opportunities.

City Benefits:

Significant city benefits are anticipated to accrue through the redevelopment of the University Campus, Station redevelopment and development of the Temple Island site. Overall the Temple Quarter regeneration programme is anticipated to deliver 22,000 new jobs, over 10,000 new homes and an economic uplift to the local economy in the region of £1.6billion per annum from 2041.

The enabling works alone will deliver 270 gross annual new jobs and £16m of net GVA to the West of England economy two years after construction start and can be got underway within months.

Consultation Details:

Council officers have consulted with the Delegated Authority group and the Statutory Authorities.

Background Documents:

November 2017, July 2019, February 2020, October 2020 and March 2021 Cabinet Reports (which can be accessed via the following weblink: <https://democracy.bristol.gov.uk/mgChooseDocPack.aspx?ID=3685>)

Revenue Cost	£	Source of Revenue Funding	
Capital Cost	£1.4m	Source of Capital Funding	Capital contingency
One off cost <input type="checkbox"/>	Ongoing cost <input type="checkbox"/>	Saving Proposal <input type="checkbox"/>	Income generation proposal <input type="checkbox"/>

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

1. Finance Advice: The report is seeking approval to spend up to £1.4m at risk from the £32m awarded to the TI project from the WECA EDF fund. The funding will cover a combination of initial remediation investigations, Legal costs, project management and project support costs, river wall repairs and A4 Bath Road wall surveys, and a small contingency. Cabinet has to date approved £2.5m towards both the feasibility work as well as to enable the Council to continue to progress the legal agreements and commence delivery of the Council's obligations prior to receiving formal agreement of the funding source.
2. If endorsed this will need to be temporarily funded from the capital contingency, recognising some risk of reversion if this scheme does not proceed and the risks that utilisation of the capital contingency could reduce the flexibility to deal with financial risks associated with other schemes and new pressures that require capital investment during the medium term. To mitigate the risk, WECA have issued a conditional/holding letter, pending the approval of the grant at its next Joint Committee meeting.
3. If Cabinet approve, this additional funding will bring the total committed spend to £3.9m funded at risk, which will all be reimbursed once the grant is awarded, and the Council submits claims for expenditure already committed.
4. It is anticipated that approval will be granted by WECA as all pre-approval conditions have been met, and all that is required is for a Joint Committee meeting to convene to approve the change request submitted by the Council in July 2021. It is anticipated that Joint Committee will ratify the decision on 17th December 2021.

Finance Business Partner: Kayode Olagundoye, Interim Finance Business Partner, Growth and Regeneration, 19 November

2021.		
2. Legal Advice: There are no direct legal implications arising from this report, Legal advice is being provided in relation to some aspects of the works to be funded.		
Legal Team Leader: Nancy Rollason, Head of Legal Services, 19 November 2021		
3. Implications on IT: We would need a Solution Architect involved as early as possible to ensure the new technology aligns with our internal systems and strategy. Where support is needed, IT Service Transition will need to be involved		
IT Team Leader: Iain Godding, Head of Enterprise Architecture, 30 November 2021		
4. HR Advice: There are no HR implications evident.		
HR Partner: Celia Williams, HR Business Partner, 22 November 2021		
EDM Sign-off	Stephen Peacock	1 December 2021
Cabinet Member sign-off	Mayor	6 December 2021
For Key Decisions - Mayor's Office sign-off	Mayor's Office	15 November 2021

Appendix A – Further essential background / detail on the proposal A1: Conditional Grant Offer Letter - DRAFT A2: Decision Notices July 2021	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 L – Procurement	NO

**CONDITIONAL OFFER OF FUNDING FROM THE WEST OF ENGLAND COMBINED
AUTHORITY.**

PROJECT NAME: TEMPLE ISLAND ENABLING WORKS – FULL BUSINESS CASE

PROJECT REFERENCE: EDF W

THIS GRANT OFFER LETTER IS DATED 06 JULY 2021

PARTIES

- (1) **WEST OF ENGLAND COMBINED AUTHORITY (Accountable Body)**
- (2) **BRISTOL CITY COUNCIL (Grant Recipient – ‘You’)**

In this Grant Offer Letter:

- a. Reference to any statute or legislation shall include any statutory extension or modification, amendment or re-enactment of such statutes and include all instruments, orders, bye laws and regulations for the time being made, issued or given thereunder or deriving validity therefrom, and all other legislation of the United Kingdom government.
- b. Reference to any clause, sub-clause, paragraph, sub-paragraph or schedule without further designation shall be construed as a reference to the clause, sub-clause, paragraph, sub-paragraph or schedule to this Grant Offer Letter so numbered.
- c. A reference to this Grant Offer Letter (or any provision of it) or any other document shall be construed as a reference to this Grant Offer Letter, that provision or that document as it is in force for the time being and as amended, varied or supplemented from time to time in accordance with its terms, or with the agreement of the relevant parties.
- d. A reference to working day means a day (other than a Saturday, a Sunday or a public holiday in the United Kingdom) on which banks in the United Kingdom are ordinarily open.
- e. Reference to ‘including’ shall be construed so as not to limit the generality of any words or expressions in connection with which it is used.
- f. Where the consent approval or agreement of the Accountable Body is required pursuant to the terms of this Grant Offer Letter, it shall not be construed as having been given unless provided in writing.
- g. The Schedules to the Grant Offer Letter and the Annexures included to these terms and conditions have the same force and effect as it expressly set out in the body of this Grant Offer Letter.
- h. The headings in this Grant Offer Letter will not affect its interpretation.
- i. At the absolute discretion of the Accountable Body any of the Schedules or Annexures annexed to this Grant Offer Letter may change from time to time

Definitions

In this Grant Offer Letter the following words and phrases will have the following meanings:

Accountable Body means the West of England Combined Authority and Local Enterprise Partnership. The terms Us, We and Our should be taken to mean the Accountable Body.

Accountable Officer means your Section 151 Officer in the position of Service Director, Finance, currently held by Denise Murray. WECA's Accountable Officer is our Director of Investment & Corporate Services (Section 73 Officer), the post currently held by Malcolm Coe.

Auditor's Report means the report in the form at Annex B.

Bribery Act means the Bribery Act 2010 and any subordinate legislation made under that Act from time to time together with any guidance or codes of practice issued by the relevant government department concerning the legislation.

Change means a change in the Project requiring the amendment of this Grant Offer Letter. Changes include:

- a) Increases in Grant.
- b) Changes to the Milestones, including the Expected Date of Achievement.
- c) Changes to the nature, scale and scope of the Outputs detailed in Annex
- d) Changes so as to make the detail of this letter describing the Project inaccurate. (For example a change to the nature of the activity requiring a reassessment against subsidy control legislation. Further examples are given in clause 11)

Claim and Statement of Use of Funds means the document in the form at Annex A.

Eligible Expenditure means cumulative expenditure against the Eligible Costs and meeting in full the requirements of this Grant Offer Letter on delivery of the Project as detailed in clause 2 and is defined as capital costs to deliver the Project. Eligible Expenditure includes that which can be defined as incurred under generally accepted accounting practices, but in time all Eligible Expenditure must be defrayed.

Eligible Costs means the types of costs as detailed in clause 2.1 against which Grant can be used and cumulatively making up Eligible Expenditure but shall not exceed £32,000,000. All eligible costs must be capital costs.

Expected Dates of Achievement means the anticipated date for the achievement of the milestones described herein, such dates to be realistic and based properly on the details and facts known to the Grant Recipient at the time of the issuance of this letter.

Financial year means the period between the 1 April of one year and up to the 31 March of the next calendar year.

Full Business Case means the document approved for funding by the West of England Combined Authority Committee on 06 July 2021.

Grant means the sum of £32,000,000 (Thirty-two million pounds only) to be paid to the Grant Recipient in accordance with this Grant Offer Letter.

Highlight Report and Change Request Form means the document attached at Annex C.

Match Funding means any funding from sources other than this Grant that are to be applied to Eligible Expenditure of the Project as set out in the Full Business Case.

Maximum Sum means the maximum sum of Grant that is made available under this Grant Offer Letter.

Milestones mean the key project delivery achievements detailed on clause 10.

Outputs means the Milestones.

Period of Support has the meaning given to it in clause 6.

Pre-Conditions means the pre-conditions to payment of any Grant as set out in Schedule 1 (Pre-conditions to Funding).

Prohibited Act means:

- (a) offering, giving or agreeing to give to any servant of the Accountable Body any gift or consideration of any kind as an inducement or reward for:
 - (i) doing or not doing (or for having done or not having done) any act in relation to the obtaining or performance of this Grant Offer Letter or any other contract with the Accountable Body; or
 - (ii) showing or not showing favour or disfavour to any person in relation to this Grant Offer Letter or any other contract with the Accountable Body.
- (b) entering into this Grant Offer Letter or any other contract with the Accountable Body or where a commission has been paid or has been agreed to be paid by the Grant Recipient or on its behalf, or to its knowledge, unless before the relevant contract is entered into particulars of any such commission and of the terms and conditions of any such contract for the payment thereof have been disclosed in writing to the Accountable Body; or
- (c) committing any offence:
 - (i) under the Bribery Act;
 - (ii) under legislation creating offences in respect of fraudulent acts; or
 - (iii) at common law in respect of fraudulent acts in relation to this Grant Offer Letter or any other contract with the Accountable Body; or
 - (iv) defrauding or attempting to defraud or conspiring to defraud the Accountable Body.

Project means the scope of activities described in the Full Business Case and in this Grant Offer Letter for which funding is sought and summarised as Temple Island Enabling Works for Bristol City Council.

Project Start means when any action is taken to implement the project.

TCA means the EU-UK Trade and Cooperation Agreement.

Total Project Expenditure means the full capital sum expended on delivery of the project as assessed at practical completion or at the end of the Period of Support whichever period is shorter.

1. The Project.

1.1 In appraising the Project and determining the merits of providing the Grant for it, the WECA Committee and the Accountable Body have relied upon the Full Business Case approved for funding on 06 July 2021. The Grant is offered in support of delivery of the Project described in the Full Business Case.

1.2 This Grant Offer Letter is also based on the detail provided in the Full Business Case. Errors, omissions or any other inaccuracies in the Full Business Case that are apparent to the Grant Recipient should be notified to the Accountable Body before this Grant Offer Letter is accepted. Any such notifications shall be considered under clause 11. For the purposes of this clause, We reserve the right to refer the revised project back to the WECA Committee for reconsideration in accordance with clause 11.

1.3 No disclaimers or other statements that precludes the right of any person to rely upon the contents of the Full Business Case, or has similar effect, shall apply with respect to the Accountable Body or affect Our right to enforce any provision of this Grant Offer Letter.

2. Eligible Expenditure and Costs

2.1 All Eligible Expenditure must be against Eligible Costs as defined in the table below and be in accordance with the definition of Eligible Costs:

Cost Heading	Total projected eligible expenditure	Amount projected to be claimed
Site Remediation	£7,625,000	£7,625,000
Plot 12 access improvements	£1,200,000	£1,200,000
Utilities reinforcement and infrastructure	£5,040,420	£5,040,420
Structural Fill	£1,440,000	£1,440,000
Riverwall Repairs	£1,035,701	£1,035,701
Haul Road	£220,000	£220,000
Monitor – Fees	£3,651,205	£3,651,205
Inflation	£243,476	£243,476
Risk and Contingency	£11,544,198	£11,544,198
Total	£32,000,000	£32,000,000

3. Pre-conditions of the payment of Grant

3.1 Any pre-conditions of Grant are set out in Schedule 1. Subject to clause 3.2 the Accountable Body will not be required to pay any Grant to the Grant Recipient unless it is satisfied that the Pre-Conditions have been met.

3.2 The Accountable Body may, in its absolute discretion, and on such terms as it may specify, agree to pay any of the Grant to the Grant Recipient before the Pre-Conditions have been satisfied, but if We do so, this will not prejudice Our right to refuse to pay any further Grant until the Pre-Conditions are met or to exercise its right to require Economic Development Fund repayment of any Grant paid to You.

4. Subsidy Control

4.1 No liability is accepted, or warranty given by the Accountable Body in relation to this aspect and any recovery action required relating to it under clauses 14 will be met by the Grant Recipient in full.

5. Grant Payable

5.1 Subject to the full terms and conditions of this Grant Offer Letter:

6.1.1 The Maximum Sum of Grant available under this offer is £32,000,000 (Thirty-two million pounds only). The Accountable Body will not pay Grant to the Grant Recipient in excess of the Maximum Sum.

6.1.2 The total Grant payable to the Grant Recipient will be the lesser of the above figure or the Total Project Expenditure less the full Match Funding available for the project as set out in the Full Business Case and notified to the Accountable Body to meet the pre-conditions above.

6.1.3 The Accountable Body is not obligated to meet any claims for grant should there be insufficient funding available to it from relevant government allocations. This offer is made in good faith that sufficient funding will be received by Us to make full payment of Grant up to the Maximum Sum. We will notify the Grant Recipient in writing as soon as practicable if We become aware that We will not be able to meet claims up to the Maximum Sum.

5.2 This offer is made to the Grant Recipient only; the Accountable Body accepts no obligations or liabilities to any third parties. Grant will only be paid to You.

5.3 It is the responsibility of the Grant Recipient to ensure the compliance of this Grant Offer Letter with the conditions of any other funding that You receive. The Accountable Body accepts no liability for any loss or withdrawal of any other external funding to You as a result of Us making payments under this Grant Offer Letter.

6. Period of Support.

6.1 Unless otherwise agreed, Grant is available to meet Eligible Expenditure incurred in the financial year 2019/20 – 2023/24 only. Costs eligible to be claimed from 01 April 2019. The Accountable Body is not obligated to pay Grant for Eligible Expenditure incurred outside of this Period of Support.

7. Maximum value of Grant that will be paid in each financial year of the Period of Support.

7.1 The table below gives the maximum value of Grant that, unless otherwise agreed at the discretion of the Accountable Body, will be paid against Eligible Costs incurred in any defined financial year within the Period of Support:

Financial Year	Maximum value of Grant that will be paid
2019/2020	£412,000
2020/2021	£591,000
2021/2022	£5,471,000
2022/2023	£18,463,000
2023/2024	£7,063,000

8. Payments and How to claim funding

- 8.1 Payments will be made by the Accountable Body to the Grant Recipient quarterly (or any shorter period agreed by Us) and in arrears of Eligible Expenditure.
- 8.2 By the 30th July, 30th October, 30th of January and 30th April in any financial year in which Grant is to be claimed, the Grant Recipient's Accountable Officer should supply a Claim and Statement of Use of Funds (substantially in the form given at Annex A) to the Accountable Body.
- 8.3 Claims can be submitted electronically and must be received into the email address: claims@westofengland-ca.gov.uk. Where a claim is submitted electronically it must be clearly authorised by the Grant Recipients Accountable Officer.
- 8.4 Other than at the request of the Accountable Body, there is no obligation to submit a hard copy claim form. Hard copy claim forms should be submitted using the details given in Annex A.
- 8.5 Payments of funding will be made to the Grant Recipient by the Accountable Body within 30 days of receiving a fully completed and valid Claim and Statement of Use of Funds.
- 8.6 The Accountable Body may at its discretion withhold payment of claims until such time as the reporting requirements set out in clauses 15 of this Grant Offer Letter are met to Our satisfaction.
- 8.7 Payments will be made by BACS. The Grant Recipient will be required to ensure that all necessary documentation and processes to enable these payments to be made are completed. Such documents necessary will be provided by the Accountable Body.

9. Records and Audit

- 9.1 Unless otherwise agreed, the final Claim and Statement of Use of Funds in each financial year for which Grant is claimed should be accompanied by:

a. an Auditor's Report substantially in the form of Annex B

The Auditor's Report can be provided by a suitable internal audit team or external auditor including any independent auditor retained by the Grant Recipient; and

b. a summary of Total Project Expenditure by the Eligible Costs detailed in clauses 2.2 above, along with a reconciliation of how those costs have been met against the expected sources of funding presented in the Full Business Case.

- 9.2 The Grant Recipient undertakes to keep evidence by way of a schedule of works completed to date, expenditure supported by architects or contract administrator's certificates, receipts and such other evidence that the Accountable Officer and the Accountable Body may agree appropriate must be maintained by the Grant Recipient to substantiate their Claim and Statement of Use of Funds.
- 9.3 The Accountable Body retains the right to request submission of any evidence or access to (for it or its appointed auditors) evidence to enable a review or audit to be conducted at any point in time. We shall give the Grant Recipient notice of at least 15 working days should it require the submission of or access to audit this evidence.
- 9.4 The Grant Recipient shall keep separate, accurate and up-to-date accounts and records of the receipt and expenditure of the Grant monies received by it.
- 9.5 The Grant Recipient shall comply and facilitate the Accountable Body's compliance with all statutory requirements as regards accounts, audit or examination of accounts, annual reports and annual returns applicable to itself and Us.
- 9.6 The Grant Recipient shall on request provide the Accountable Body with such further information, explanations and documents as We may reasonably require in order for it to establish that the Grant has been used properly in accordance with this Grant Offer Letter.
- 9.7 The Grant Recipient shall permit any person authorised by the Accountable Body such reasonable access to its employees, agents, premises, facilities and records, for the purpose of discussing, monitoring and evaluating Your fulfilment of the conditions of this Grant Offer Letter and shall, if so required, provide appropriate oral or written explanations from them.
- 9.8 The Grant Recipient shall permit any person authorised by the Accountable Body for the purpose to visit You once every quarter to monitor the delivery of the Project. Where, in its reasonable opinion, We consider that additional visits are necessary to monitor the Project, We shall be entitled to authorise any person to make such visits on its behalf.

10. Milestones

- 10.1 As set out in the Full Business Case, the Project has the following key milestones:

Number	Milestone	Expected Date of Achievement
1	Haul Road Design and specification agreed	Mar 2021
2	Riverwall Repairs Design and specification agreed	May 2021
3	Utilities reinforcement and infrastructure Design of works complete	Jul 2021
4	Riverwall Repairs Works procured	Jul 2021
5	Plot 12 access improvements Design of works complete	Aug 2021
6	Utilities reinforcement and infrastructure Works procured	Oct 2021

7	Site Remediation Remedial works implementation plan complete	Dec 2021
8	Site Remediation Planning application for remediation works submitted	Jan 2022
9	Site Remediation Procurement of remedial works package complete	Feb 2022
10	Plot 12 access improvements Works procured	Feb 2022
11	Structural Fill Design and specification agreed	Mar 2022
12	Structural Fill Works procured	Jun 2022
13	Riverwall Repairs Works completed / handover	Jun 2022
14	Structural Fill Works completed / handover	Aug 2022
15	Plot 12 access improvements Works completed/handover	Jan 2023
16	Utilities reinforcement and infrastructure Works completed / handover	Aug 2023
17	Site Remediation Remedial works completed/handover	Nov 2023

11. Changes to the Project

- 11.1 Changes to this Grant Offer Letter, including the sections on Grant Payable, Period of Support and Milestones, should be requested through the Change Request Form at Annex C. All Changes requested in this manner will be considered by the Accountable Body in accordance with its published governance processes.
- 11.2 The Accountable Body will only amend this letter in accordance with the decisions of the Joint Committee.
- 11.3 All other Changes to the project should be reported to the Accountable Body. Such Changes will include:
- i. A change sufficient to require a reassessment of the subsidy control position of the Project.
 - ii. A change in the focus of the Project, from a specific sector to another, or from a particular intended use to another.
 - iii. Any change in the scale of the project or to the location of the works.
 - iv. Any change in the legal status or identity of the Grant Recipient.
 - v. A change resulting in a 5% or more variance in the value of any of the defined Eligible Costs and the addition or deletion of any Eligible Costs.
- 11.4 The Grant Recipient is advised to speak to the Accountable Body to determine whether a change to the project requires amendment to this letter before implementing it.
- 11.5 No Changes to the terms of this Grant Offer Letter, including the sections on Milestones and Grant Payable are agreed or should be interpreted as having been agreed by the Accountable Body unless they are made in writing.

11.6 Changes to the Project and the terms of this Grant Offer Letter will be notified to the Grant Recipients Accountable Officer by means of a decision notice, issued as soon as practicable following the meeting of the WECA Committee at which the requested change received approval.

12. Expiration of this offer

12.1 If no Project Start has been achieved on the Project by March 2022 (the **First Expiry Date**) the availability of the Grant will automatically end, and the Accountable Body will have no obligation to make payments under this Grant Offer Letter.

12.2 Notwithstanding clause 12.1, if no Project Start has been achieved on the Project by the First Expiry Date, the Accountable Body reserves the right to agree an extended expiration date (the **Second Expiry Date**). In deciding on whether to agree a Second Expiry Date, We will take advice from the WECA Committee in accordance with its published governance processes.

12.3 The Accountable Body accepts no liability to make any payments against any costs incurred, eligible or otherwise, on Projects that do not proceed where the offer of the Grant is withdrawn in accordance with these clauses 12.

13. Withdrawal or amendment of offer due to under performance

13.1 The Grant Recipient shall report progress on delivery of the Project via the Highlight Report process described below.

13.2 If progress with delivery of the Project is not in accordance with the Milestones the Accountable Body may amend or withdraw this Grant Offer Letter.

13.3 Any such intended amendment or withdrawal under these clauses will be notified to and discussed with the Grant Recipient. The Grant Recipient will have the right to make representations to the WECA Committee in response to such notification.

13.4 If the Grant is withdrawn pursuant to these clauses the Grant will no longer be available to the Grant Recipient. Without prejudice to the Accountable Body's other rights and remedies, We may at Our discretion require repayment of all or part of any Grant paid at the time any withdrawal is made under these clauses.

14. Recovery and Withholding of grant.

14.1 The Accountable Body's intention is that the Grant will be paid to the Grant Recipient in full. However, without prejudice to Our other rights and remedies, We may at Our discretion withhold or suspend payment of the Grant and/or require repayment of all or part of the Grant if:

- i. The Grant Recipient uses the Grant for purposes other than those for which they have been awarded;
- ii. The delivery of the Project does not start within 3 months of the First Expiry Date and the Recipient has failed to provide the Accountable Body with a reasonable explanation for the delay;

- iii. The Accountable Body considers that the Recipient has not made satisfactory progress with the delivery of the Project;
- iv. The Outputs once completed are not approved by the Accountable Body;
- v. The Grant Recipient is, in the reasonable opinion of the Accountable Body, delivering the Project in a negligent manner;
- vi. The Grant Recipient obtains duplicate funding from a third party for the Project;
- vii. The Grant Recipient obtains funding from a third party which, in the reasonable opinion of the Accountable Body, undertakes activities that are likely to bring the reputation of the Project or Us into disrepute;
- viii. The Grant Recipient provides the Accountable Body with any materially misleading or inaccurate information;
- ix. The Grant Recipient commits or committed a Prohibited Act;
- x. There is a change of control of the Grant Recipient;
- xi. Any provision of this Grant Offer Letter is or becomes, for any reason, invalid, unlawful, unenforceable, terminated, disputed or ceases to be effective or to have full force and effect;
- xii. Any member of the governing body, employee or volunteer of the Grant Recipient has (a) acted dishonestly or negligently at any time and directly or indirectly to the detriment of the Project or (b) taken any actions which, in the reasonable opinion of the Accountable Body, bring or are likely to bring Our name or reputation into disrepute;
- xiii. The Grant Recipient ceases to operate for any reason, or it passes a resolution (or any court of competent jurisdiction makes an order) that it be wound up or dissolved (other than for the purpose of a bona fide and solvent reconstruction or amalgamation);
- xiv. The Grant Recipient becomes insolvent, or it is declared bankrupt, or it is placed into receivership, administration or liquidation, or a petition has been presented for its winding up, or it enters into any arrangement or composition for the benefit of its creditors, or it is unable to pay its debts as they fall due;
- xv. A decision by any UK Court or UK Tribunal or any determination as a result of arbitration proceedings under the TCA requiring any Grant paid to be recovered by reason of subsidy control legislation or where the Accountable Body is required to repay the Grant; or
- xvi. The Grant Recipient fails to comply with any of the terms and conditions set out in this Grant Offer Letter and fails to rectify any such failure within 30 days of receiving written notice detailing the failure.
- xviii. The Grant Recipient disposes of any assets purchased with the benefit of grant within 5 years of the date of this letter.

- 14.2 The Accountable Body may vary or withhold any or all of the payments and/or require repayment of Grant already paid, together with interest from the date of payment, if We are required to do so as a result of a decision by any UK Court or UK Tribunal or determination as a result of arbitration proceedings under the TCA which requires any Grant paid to be recovered by reason of subsidy control legislation or where We are required to repay the Grant.
- 14.3 Wherever under the Grant Offer Letter any sum of money is recoverable from or payable by the Grant Recipient (including any sum that You are liable to pay to the Accountable Body in respect of any breach of the Grant Offer Letter), We may unilaterally deduct that sum from any sum then due, or which at any later time may become due to You under the Grant Offer Letter or under any other agreement or contract with Us.
- 14.4 The Grant Recipient shall make any payments due to the Accountable Body without any deduction whether by way of set-off, counterclaim, discount, abatement or otherwise.
- 14.5 Should the Grant Recipient be subject to financial or other difficulties which are capable of having a material impact on its effective delivery of the Project or compliance with this Grant Offer Letter it will notify the Accountable Body as soon as possible so that, if possible, and without creating any legal obligation, We will have an opportunity to provide assistance in resolving the problem or to take action to protect Us and the Grant monies paid.

15. Monitoring of Delivery, Outputs and Evaluation

- 15.1 The Grant Recipient will provide to the Accountable Body the Highlight Report (in the form set out in Annex C) as and when requested by Us in order to meet Our cycle of relevant meetings. Such dates will be notified to You in a timely manner.
- 15.2 The Grant Recipient will provide to the Accountable Body the monitoring and evaluation information set out in the Project's Full Business Case and/or any separate agreed evaluation plan.
- 15.3 The Grant Recipient will participate in any other reasonable monitoring and evaluation that the Accountable Body is required to complete or that We deem necessary.

16. Media and Publicity

- 16.1 The Accountable Body is required to publish on its website details of the schemes that it has funded and to keep information on progress and delivery of those schemes up-to-date. The information provided to Us by the Grant Recipient will be used for these purposes.
- 16.2 It is a requirement that the West of England Combined Authority & Local Enterprise Partnership (LEP) and HM Government are properly recognised in all media and marketing activity relating to projects for which grants have been made.
- 16.3 The Grant Recipient shall not publish any material referring to the Project or the Accountable Body without Our prior written agreement. You shall acknowledge Our support in any materials that refer to the Project and in any written or spoken public presentations about the Project. Such acknowledgements (where appropriate or as requested by Us) shall include Our current name and logo (or any future name or logo adopted by Us) using the templates We provide.

16.4 For this grant You shall also:

16.4.1 Include in all published marketing materials (including digital but excluding social media) the combined WECA/LEP/HM Government logo that We will make available to You and the following wording:

“Funded by the West of England Combined Authority & Local Enterprise Partnership through the Economic Development Fund, administered by the West of England Combined Authority.”

16.4.2 Inform comms@westofengland-ca.gov.uk of any media activity/press releases, ideally giving two weeks’ notice of key announcements. Press releases will need to include this wording:

“Funded by the West of England Combined Authority & Local Enterprise Partnership through the Economic Development Fund, administered by the West of England Combined Authority.”

16.5 In using the Accountable Body’s name and logo, the Grant Recipient shall comply with all reasonable branding guidelines and will make a request via the WECA and LEP Office for up to date official logos for use in your publicity material.

16.6 The Grant Recipient agrees to participate in and co-operate with promotional activities relating to the Project that may be instigated and/or organised by the Accountable Body. These will include ensuring that Our branding is used on any site hoardings or display boards at the project site and the use of government branding and logos that We will make available to you for these purposes.

16.7 The Accountable Body may acknowledge the Grant Recipient's involvement in the Project as appropriate without prior notice.

16.8 The Grant Recipient shall comply with all reasonable requests from the Accountable Body to facilitate visits, provide reports, statistics, photographs and case studies that will assist Us in Our promotional activities relating to the Project.

16.9 You shall include @WoEnglandCA in any tweets.

17 Compliance

17.1 It remains the responsibility of the Grant Recipient to ensure that the subsidy control commitments under the TCA or such subsidy control regulations as are implemented in the UK from time to time are adhered to and that all necessary records and evidence are kept. Failure to comply with subsidy control commitments under the TCA or such subsidy control regulations as are implemented in the UK from time to time could result in recovery of some or all of any public funding paid to You.

17.2 The Grant Recipient shall (and shall procure that any staff involved in connection with the activities in connection with the Project shall) comply with any notification requirements under the General Data Protection Regulation (GDPR - Regulation (EU) 2016/679) and both parties to this Grant Offer Letter will duly observe all their obligations under the GDPR which arise in connection with the Grant Offer Letter.

- 17.3 The Grant Recipient shall not unlawfully discriminate within the meaning and scope of any law, enactment, order, or regulation relating to discrimination (whether in race, gender, religion, disability, sexual orientation, age or otherwise) in employment.
- 17.4 The Grant Recipient shall take all reasonable steps to secure the observance of clause 17.3 by all servants, employees or agents of Yours and all suppliers and sub-contractors engaged on the Project.
- 17.5 The Grant Recipient shall (and shall use its reasonable endeavours to procure that staff shall) at all times comply with the provisions of the Human Rights Act 1998 in the performance of this Project as if the Grant Recipient were a public body (as defined in the Human Rights Act 1998).
- 17.6 The Grant Recipient shall undertake, or refrain from undertaking, such acts as the Accountable Body requests so as to enable Us to comply with Our obligations under the Human Rights Act 1998.
- 17.7 The Grant Recipient warrants, undertakes and agrees that:
- i. it has all necessary resources and expertise to deliver the Project (assuming due receipt of the Grant);
 - ii. it has not committed, nor shall it commit, any Prohibited Act;
 - iii. it shall at all times comply with all relevant legislation and all applicable codes of practice and other similar codes or recommendations, and shall notify the Accountable Body immediately of any significant departure from such legislation, codes or recommendations;
 - iv. it shall comply with the requirements of the Health and Safety at Work etc. Act 1974 and any other acts, orders, regulations and codes of practice relating to health and safety, which may apply to employees and other persons working on the Project;
 - v. it has and shall keep in place adequate procedures for dealing with any conflicts of interest;
 - vi. it has and shall keep in place systems to deal with the prevention of fraud and/or administrative malfunction;
 - vii. all financial and other information concerning the Recipient which has been disclosed to the Accountable Body is to the best of its knowledge and belief, true and accurate;
 - viii. it is not subject to any contractual or other restriction imposed by its own or any other organisation's rules or regulations or otherwise which may prevent or materially impede it from meeting its obligations in connection with the Grant;
 - ix. it is not aware of anything in its own affairs, which it has not disclosed to the Accountable Body or any of the Accountable Body's advisers, which might reasonably have influenced the decision of the Accountable Body to make the Grant on the terms contained in this Grant Offer Letter;
 - x. it will comply with the Equality Act 2010;

- xi. it will comply with all public procurement law; and
- xii. since the date of its last accounts there has been no material change in its financial position or prospects.

18 Confidentiality

- 18.1 Subject to the Freedom of Information clauses, each party shall during the term of this Grant Offer Letter and thereafter keep secret and confidential all intellectual property rights or know-how or other business, technical or commercial information disclosed to it as a result of the Grant Offer Letter and shall not disclose the same to any person save to the extent necessary to perform its obligations in accordance with the terms of this Grant Offer Letter.
- 18.2 The obligation of confidentiality contained in this clause shall not apply or shall cease to apply to any intellectual property rights, know-how or other business, technical or commercial information which:
- i. at the time of its disclosure by the disclosing party is already in the public domain or which subsequently enters the public domain other than by breach of the terms of this Grant Offer Letter by the receiving party;
 - ii. is already known to the receiving party as evidenced by written records at the time of its disclosure by the disclosing party and was not otherwise acquired by the receiving party from the disclosing party under any obligations of confidence; or
 - iii. is at any time after the date of this Grant Offer Letter acquired by the receiving party from a third party having the right to disclose the same to the receiving party without breach of the obligations owed by that party to the disclosing party.

19 Freedom of Information

- 19.1 As a public body we are subject to the Freedom of Information Act 2000. Any information being held by us is potentially disclosable under this Act, and all requests will be dealt with under legislative timescales.
- 19.2 A number of exemptions on disclosure of information are available under the FOI Act but many of these are subject to the public interest test. We will seek the view of the Grant Recipient or any related Third Party individual or organisation who may be affected by the disclosure of information by us to assess any harm that may arise to them were the information to be disclosed. In consultation with the Grant Recipient or Third Party, we will form a view as to whether the information should be disclosed.
- 19.3 All FOI responses produced by us can be appealed to the Information Commissioners Office (ICO) who may rule that the information should be disclosed.
- 19.4 The Grant Recipient or other related Third Party organisations who receive FOI requests where the information requested may harm our position should seek our views on whether any disclosure would harm our interests.

20 Limitation of Liability

20.1 The Accountable Body accepts no liability for any consequences, whether direct or indirect, that may come about from the Grant Recipient running the Project, the use of the Grant or from withdrawal of the Grant. You shall indemnify and hold harmless Us and Our employees, agents, officers or sub-contractors with respect to all claims, demands, actions, costs, expenses, losses, damages and all other liabilities arising from or incurred by reason of Your actions and/or omissions in relation to the Project or the non-fulfilment Your obligations this Grant Offer Letter or Your obligations to third parties.

20.2 The Accountable Body's liability under this Grant Offer Letter is limited to the payment of the Grant.

21 Assignment.

The Grant Recipient may not, without the prior written consent of the Accountable Body, assign, transfer, sub-contract, or in any other way make over to any third party the benefit and/or the burden of this Grant Offer Letter or, except as contemplated as part of the Project, transfer or pay to any other person any part of the Grant.

22 Novation

With the consent of the Grant Recipient, the Accountable Body may novate its obligations, duties and rights under this Grant Offer Letter to another Local Government Authority or appropriate party.

23 Waiver

No failure or delay by either You or Us to exercise any right or remedy under this Grant Offer Letter shall be construed as a waiver of any other right or remedy.

24 Notices

All notices and other communications in relation to this Grant Offer Letter shall be in writing and shall be deemed to have been duly given if personally delivered, mailed or emailed to the Grant Recipient's Accountable Officer. If personally delivered all such communications shall be deemed to have been given when received (except that if received on a non-working day or after 5.00 pm on any working day they shall be deemed received on the next working day) and if mailed all such communications shall be deemed to have been given and received on the second working day following such mailing. If emailed communications will be deemed given and received on the date that a read receipt message is received, or the date the message is sent supported by generally accepted records to support the date of sending.

25 Dispute Resolution

25.1 In the event of any complaint or dispute (which does not relate to the Accountable Body's right to withhold funds or terminate this Grant Offer Letter) arising between the parties to this Grant Offer Letter in relation to this Grant Offer Letter the matter should first be referred for resolution to the Chief Executive of the Accountable Body or any other individual nominated by Us.

25.2 In the absence of agreement under clause 25.1, the parties may seek to resolve the matter through mediation under the CEDR Model Mediation Procedure (or such other appropriate dispute resolution model as is agreed by both parties). Unless otherwise agreed, the parties shall bear the costs and expenses of the mediation equally.

26 No Partnership or Agency

This Grant Offer Letter shall not create any partnership or joint venture between the Accountable Body and the Grant Recipient, nor any relationship of principal and agent, nor authorise any party to make or enter into any commitments for or on behalf of the other party.

27 Contracts (Rights Of Third Parties) Act 1999

This Grant Offer Letter does not and is not intended to confer any contractual benefit on any person pursuant to the terms of the Contracts (Rights of Third Parties) Act 1999.

28 Governing Law

This Grant Offer Letter shall be governed by and construed in accordance with the law of England and the parties irrevocably submit to the exclusive jurisdiction of the English courts.

29 Acceptance of offer

29.1 This offer of the Grant is valid until 17 December 2021. To accept the terms and conditions of this Grant Offer Letter the Grant Recipient should sign, date and return the Grant Offer Letter to the Accountable Body at the address below.

F.a.o. Director of Investment and Corporate Services, West of England Combined Authority, 3 Rivergate, Temple Way, Bristol BS1 6EW.

29.2 The Accountable Body can withdraw the offer of the Grant in full with no further obligation to comply with the terms of this Grant Offer Letter if We do not receive this Grant Offer Letter signed and dated Grant Recipient before the date detailed in clause 29.1.

Yours sincerely



.....

Malcolm Coe, Director of Investment and Corporate Services.

Authorised Signatory on behalf of the West of England Combined Authority

Acceptance:

I have read carefully this Grant Offer Letter, including its Schedules and Annexes, and accept the offer of funding on the conditions set out in it.

Signed: Date:

Print Name:

Position within applicant:

On behalf of: Bristol City Council

SCHEDULE 1- PRE-CONDITIONS FOR GRANT

- 1 The Grant Recipient having confirmed and provided evidence to the Accountable Body that the Grant Recipient has (and continues to have) sufficient funding including match funding (whether from its own resources or otherwise) to complete the Project.
- 2 The grant offer is conditional on approval of a Project change request at Joint Committee on 28th January 2022. No funding is eligible to be claimed until the change request is approved.

ANNEX A - Claim and Statement of Use of Funds

Claims and Statement of Use of Funds should be submitted by letter and substantially in the form below.
PLEASE MAKE SURE YOU ADD YOUR CORPORATE HEADER AND ANY OTHER PERTINENT INFORMATION
TO THE CLAIM AND STATEMENT OF USE OF FUNDS:

Applicants Accountable Officer Name and Address

Director of Investment and Corporate Services
West of England Combined Authority
3 Rivergate, Temple Way
BRISTOL
BS1 6EW

Dear

Ref: **ADD PROJECT NAME AND REFERENCE**

In accordance with the Grant Offer Letter for the above scheme dated **xx/xx/xxxx**, I provide below the detail required in order to claim funding.

The period of this claim is **from date to date**, the eligible costs being claimed were incurred between these dates.

Project Detail	Value
Total Project Cost (value of the project)	
Maximum Sum of Grant offered by WECA	
Value of all other funding for the Project Costs (<i>Match funding</i>)	

This Claim Period (exclusive to this claim)	
Project Expenditure incurred	
Value of all other funding applied to these Project costs (<i>Match funding</i>)	
Value of Grant claimed	

All Claim Periods (cumulative of all claims)	
Project Expenditure incurred	
Project Expenditure defrayed	
Total value of all other funding applied to meet these Project costs. (<i>Match funding</i>)	
Value of Grant claimed and paid to date	
Remaining value of Grant to be claimed	

I confirm that all the costs against which Grant is claimed are eligible and have been properly incurred and have been or will be defrayed and therefore claim the sum of **£xxxxx** to be released as Grant by the Accountable Body to *Grant Recipient Name*.

The Highlight Report for this Project was last updated on xx/xx/xxxx and submitted to You on xx/xx/xxxx. I confirm that the Highlight Report is correct and that the narrative and all projections for future spend and grant claim amounts contained therein are up-to-date and represent a reasonable and deliverable profile for this Project.

Yours sincerely

Accountable Officer

ANNEX B - Auditors Report

The Auditors report should be written on headed paper, dated and addressed to You and the Accountable Body. The report should be substantially in the following form but please add any other relevant detail or wording that is required to describe the audit process and its findings. The aim of the Audit is to ensure that the Grant Recipient has complied with the terms and conditions of this grant offer letter.

1. We have examined the enclosed Claims and Statement of Use of Funds from [the applicant] for the period from [date] to [date]. These claims have been prepared by and are the sole responsibility of the applicants Accountable Officer.

2. We have carried out a high level of assurance assignment by selecting a representative sample of expenditure items accounting for at least 10% of the grant funding claimed as reported in the Claim and Statement of Use of Funds submitted by the applicant for the previous year and performed the following tests:
 - a. [Name of Accountant] has selected a random sample of eligible expenditure incurred, as reported on the Claims, and traced them to invoices or other supporting documentation and evidence of payment to check that they have been properly incurred in accordance with the terms and conditions of the applicants Grant Offer Letter;

 - b. [Name of Accountant] confirms the arithmetical accuracy of the schedules relating to the Claims and agreed them to the appropriate supporting documentation. [Name of Accountant] has also checked whether the grant claimed by the applicant has been calculated in accordance with the terms and conditions of the Applicants Grant Offer Letter including that the Claims have been submitted in support of eligible expenditure.

 - c. [Name of Accountant] confirms that other sources of project funding excluding this offer of Local Growth Fund have been secured and incurred or defrayed by the applicant on the project as per their Claims.

 - d. [Name of Accountant] confirms the applicant has maintained adequate records to enable us to report on this claim and has made available all evidence that was used to prepare to Claims made in the period [date] to [date].

Statement of any errors and reservations/exceptions.

3. <These, if any, should be clearly stated here in bullet points.>

Based on the examination as above and subject to the possible financial effect of any reservations or qualifications set out in paragraph 3, [Name of Accountant] report that based on the findings, in [Name of Accountant's firm] opinion the Claims for grant payment meet the conditions of the applicants Grant Offer Letter dated [date].

Our report is prepared solely for the confidential use of the applicant and the West of England Combined Authority or any UK central government department and solely for the purpose of verifying the grant claimed.

It may not be relied upon by the applicant or the West of England Combined Authority or any UK central government department for any other purpose whatsoever. Our report must not be recited or referred to in whole or in part in any other published document without our written permission except where disclosure is required as a result of a statutory obligation. Our report must not be made available, copied or recited to any other party without our express written permission in every case except that the applicant or the West of England Combined Authority or any UK central government department may disclose the report where it has a statutory obligation to do so. Other than to the applicant and West of England Combined Authority or any UK central government department [Name of Accountant] do not have any duty to any other party to whom this report may be disclosed.

The engagement to report on the grant claim is separate from, and unrelated to, the audit of the annual financial statements of the applicant and that the report relates only to the matters specified and that it does not extend to the grant recipient's annual financial statements taken as a whole.

Name and signature of the reporting accountant.

Date of the report.

Name for enquiries

ANNEX C - Highlight Report and Change Request Form

SCHEME / PROJECT NAME :

KEY FORECAST OUTCOMES: *Net additional jobs (excluding construction jobs) and GVA derived directly from the intervention and time period over which these will be produced/ Other linked to Grant Offer Letter*

1. MILESTONE COMPLETION DATES	Baseline (Offer Letter)	Last Reported	Current
<i>Include 10 or so key milestones such as below including those from offer letter</i>	<i>mm/yy</i>		
<i>Outline Design and Programme Entry Approval</i>			
<i>Detailed Design</i>			
<i>Secure statutory powers/CPO/Planning Consent</i>			
<i>Full Business Case Approval/Offer letter signed</i>			
<i>Procurement</i>			
<i>Construction Start on Site</i>			
<i>Construction Practical/Substantial Completion</i>			
<i>Operational</i>			
<i>Revenue projects define as appropriate</i>			

2. KEY ACTIVITIES AND ISSUES THIS REPORTING PERIOD (mmm-mmm/yy)
Review tasks reported as planned last period

3. ACTIVITIES FOR THE NEXT REPORTING PERIOD (mmm- mmm/yy)

Activity	Forecast Completion Date

4. Top 3 Current Project Risks

Risk	RAG rating	Mitigation	Mitigated RAG rating

--	--	--	--

5. SCHEME COST – TOTAL BUDGET £.....m *Split cost between funders below*

Eg EDF £5m

6. ELIGIBLE COST BREAKDOWN BY CATEGORY (£000s)

Cost heading*1	Current Total Forecast Expenditure	LGF, EDF, RIF or Revolving Infrastructure Fund				
		Current Forecast	Last Reported	Baseline	Variance (current to baseline)	% Change in Expenditure* (from current to baseline)
Total*2						

*1 Changes of 5% or more against any of the Eligible Cost Headings and the addition or deletion of cost headings should be explained in Section 8 of the Highlight Report.

*2 In addition, any changes in total expenditure not previously reported should be explained in section 8 of the Highlight Report. Changes beyond the thresholds stated in table of tolerances below should be raised via the 'Change request form'.

6a. SCHEME COST BY QUARTER 17/18 & 18/19 (£000s)

Scheme cost	15/16	16/17	17/18 Q1 (Apr-Jun)	17/18 Q2 (Jul-Sep)	17/18 Q3 (Oct-Dec)	17/18 Q4 (Jan-Mar)	17/18 Total	18/19 Q1 (Apr-Jun)	18/19 Q2 (Jul-Sep)	18/19 Q3 (Oct-Dec)	18/19 Q4 (Jan-Mar)	18/19 Total	19/20	20/21	Total
LGF or EDF (Current)							-					-			-
Private Match CAPITAL							-					-			-
Private Match REVENUE							-					-			-
Public Match CAPITAL							-					-			-
Public Match REVENUE							-					-			-
Match Total	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Total	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-

EDF or LGF spend only															
Last Reported							-						-		-
Baseline							-						-		-
Variance (Current to Baseline)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-

Instructions: Double click on the table and edit in excel. Once edit completed, click in a blank area of the Word document to exit table.

NB: 'Total' rows and columns contain auto sum formulas.

NB: If layout of table becomes skewed, select table, right click, select 'Format Object', select 'Size' tab, click 'Reset' then 'Ok'

NB: Please do not create links from excel table that refer to other files.

7. GENERAL COMMENTARY ON SCHEME

8. CHANGES REQUESTED, REASON FOR CHANGE AND IMPACT

Please describe change here for:

- any changes in total cost (table 6)
- any change in cost category above 5% (table 6)
- any change in milestones (table 1) from last reported
- spend that needs to be re-profiled across financial years
- changes to scale, nature, focus, location and scope of the scheme
- changes in outputs and benefits of the scheme

For such changes that require approval by the LEP Board/SLB (see table of tolerances below) a change request form must be completed which will inform the Investment Board in making recommendations to the LEP Board/SLB.

9. Confirmation of subsidy control position

Please confirm:

- either that your subsidy control position as stated at OBC/FBC stage remains unchanged. If there are changes to the subsidy control position please complete section 8 above.
- or that you have not received more than £344,600 of aid in the last 3 years and that you have signed a declaration under TCA 3.2 (4)

10. COMMENTS FROM TECHNICAL ASSESSMENT / INDEPENDENT REVIEW

11. ACTION REQUIRED FROM ACCOUNTABLE BODY

Scheme Senior Responsible Owner:

Project Manager:

Guidance on Form Completion:

Milestones in Box 1 above can be amended to suit Project/Scheme. Once an offer letter has been issued milestones in the Highlight Report should mirror those included in the offer letter.

Rows can be added to tables but no other adjustments to format should be made

Page 1 (Items 1-5) of this report should be considered public and may be reported to the West of England Joint Committee or WECA Committee

Pages 1-6 to be reported to Investment Panel/Chief Executives

Items in italics for guidance only. Delete/amend to suit project.

Risk rating key:

Risk Rating		Probability		
		Low	Medium	High
Impact	Low	Green	Green	Amber
	Medium	Green	Amber	Red
	High	Amber	Red	Red

Reporting and seeking approval for changes

Category	Scale	Action
Cost	Cost increases.	Describe in Highlight Report and complete Change Request
Time	<i>Slippage of approved schemes less than 3 months which can be contained within financial years</i>	Describe in Highlight Report
	<i>Slippage of approved schemes over 3 months and /or those which spend need to be re-profiled across financial years</i>	Also Complete Change Request
Scope	<i>Up to 20% change in value of Quality as percentage of project value and/or 20% change in one or more metrics of Benefits and or material change to the scope of the scheme</i>	Describe in Highlight Report
	<i>Over 20% change up to a maximum of 30% change in value of Quality as percentage of project value and/or 30% change in one or more metrics of Benefits and or fundamental change to scope of scheme</i>	Also Complete Change Request

All changes will require approval from the West of England Joint Committee or WECA Committee

Baseline ‘Completion Milestone Dates’ in Section 1

Schemes are generally baselined at the point an OBC is approved and then again when an offer letter is put in place. Other re-baselining is actioned following Joint Committee/WECA Committee approval alongside a change request.

RAG rating of highlight reports:

For reporting to the Investment Panel/Chief Executives, a RAG rating is attributed to schemes based on the information provided in the quarterly Highlight Reports as follows:

Green	<i>No change, or change(s) reported which when compared to the position last reported fall below those considered necessary for a change request. For example, delays of less than 3 months to milestones which are not reported or considered to impact on completion; minor change(s) to cost categories or profile of match funding of up to 5%; small changes in outputs of up to 5% not impacting on outcomes. These changes are expected to have a minimal or no immediate effect on the project.</i>
Amber	<i>Change(s) reported fall below the level requiring the completion of a change request relating to cost/spend profile and milestones, compared to the position last reported. Reported change(s) will have material effect on the project and/or have potential to escalate to red rating and/or require significant resource(s)/mitigation action(s) to manage. For example, delays of up to 3 months to milestones which are reported or considered to impact on completion, moderate change to spend profile within year without slippage of expenditure into subsequent financial years; up to 20% change in one or more metrics of benefits and material change to the scope of the scheme. This includes cumulative impacts in terms of a number of smaller changes.</i>
Red	<i>Change reported above the level requiring a change request in relation to cost, spend profile and milestones, including re-profile of LGF/EDF/RIF spend across financial years; significant cost increases (over either 20% or £2m) and slippage in milestones with a delay of over 3 months to completion. This includes cumulative change impacts which in aggregate exceed the approval limits. Reported change will likely move the project back in terms of budget, spend or timeline, or will materially affect quality or scope.</i>

SCHEME / PROJECT NAME :

ORIGINATION DATE:

REFERENCE:

AUTHOR:

CHANGE CATEGORY:

Please select one or more, as appropriate, from list below: [Please do not amend the categories listed below]

This change request relates to:

- **Cost:** change request relating to eligible cost headings, total cost.
- **Spend profile:** change request relating to spend profile.
- **Time:** change request relating to delivery timeframe, including change in milestone dates.
- **Scope:** change request relating to scale, nature, focus and scope of scheme.
- **Quality:** change request relating to anticipated outputs and impacts/benefits.
- **Match:** change request relating to amount of match funding secured.
- **Other**

DESCRIPTION AND CAUSE OF CHANGE:

Please provide a detailed description of the change(s). Please explain the reasons necessitating the change(s) eg if there is delay to the achievement of a milestone why has this occurred.

CONSEQUENCE OF THE CHANGE (including overall cost, spend profile, milestones, scope, benefits):

Describe in detail the consequence(s) of the proposed change(s), particularly in relation to overall cost, spend profile, milestones, scope and benefits. Please clearly present the difference between the current and proposed position. See examples below, use as applicable.

	17/18 Eg LGF	18/19 Eg LGF	Total Eg LGF	Total Match Funding	Jobs/Benefits
Current					
Proposed					

Key milestones	baseline milestones (OBC/FBC)	Proposed change	Delay (by months)
HR reporting milestones	mm/yyyy	mm/yyyy	No. of months

More generally, consider impacts in relation to, for example, technical specification, strategic, end user/beneficiary, stakeholder, quality of deliverables, resources, etc.

Please provide any proposal(s) for mitigation of any adverse consequences.

Consider the potential benefits/dis-benefits of the proposed change.

..

ALTERNATIVE OPTIONS:

Please provide up to three alternatives that could be implemented instead of the proposed change. For each alternative, identify areas likely to be impacted by the change, and the potential benefits and adverse effects for each. State the reason(s) for rejection of each alternative option.

PROPOSED OPTION:

Describe the proposed option and justify why this proposed change(s) should be implemented.

Explain the impact if the proposed change is not implemented.

Consider any risks arising from the proposed change(s) and how will these be mitigated going forwards.

FUTURE MITIGATION AND LEARNING POINTS:

Describe future preventative actions and learning points that will be implemented to reduce the likelihood and/or impact of the proposed or other related change(s).

VIEWS OF ACCOUNTABLE BODY:

--

One Front Door - Record of Decision Form

Scheme: EDF W Temple Island Enabling Works

Promoter: Bristol City Council

Decision Ref: IP730

Issued: 6 July 2021

For Consideration: Resolution of conditions

Considered by: Joint Committee (for Full Business Case)

Date: 9 October 2020

Decision or Recommendation: Conditional approval of the Full Business Case

Conditions: Council to provide detailed information on the works specification and cost. Monitoring and Evaluation Plan to be provided

Comment: All conditions now met and scheme fully approved

Funding: EDF funding £32m profiled £9.08m to 20/21, £21m 21/22, £1.24m 22/23, £335k 23/24 and £330k 24/25

To be further considered by (if appropriate) and date: Change Request to be considered at October Joint Committee

Further action and timescales: Regular Highlight Reports to be provided.

If you require any additional information about this decision or wish to make a further representation please contact:

Pete Davis
West of England Combined Authority and LEP
pete.davis@westofengland-ca.gov.uk
07436 600566

Appendix D -Risk register

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
		WECA Joint Committee cancelled so WECA unable to approve July 2021 Change Request and therefore not able to provide us with Grant offer Letter	The project would need to pause our contracts with professional services and delay commissioning the first set of Enabling Works (EW1 remediation investigations and EW6 riverwall repairs) planned this winter.	Open		Project Management	Temple Island project manager	As this is EDF, the project asks that Cabinet approves for the Council to cashflow the project from October 2021 to February 2022 in order for the project to avoid needing to pause the project and stand the suppliers down.	Positive	5	3	15	5	1	5	17/11/21	
TI-50	Temple Island - planning risk, should developer fail to secure planning approval	Breach of planning policy	BCC may become responsible for some design development costs	Open		Property	Temple Island project manager	Early engagement with Planning and Highways, facilitated through new JDT. Thorough due diligence with statutory authorities. Cap liability of abortive costs	Positive	3	5	15	2	5	10	26/02/21	
TI-138	Temple Island - programme risk, detailed design cannot be developed to a level required by services companies and third parties.	The internal access road is currently the proposed method of distributing services within the site.	If the services installations are not coordinated between the parties, time and costs implications may materialise due to abortive works.	Open		Project Management	Temple Island project manager	BCC to engage Strategic Partner and Developer's technical teams to develop a coordinated services installation programme that links to the masterplan.	Positive	3	5	15	2	4	8	16/08/21	

TI-89	Temple Island - quality risk, the site not 100% free of contaminates at the handover, thus not meeting Developer's expectations.	The site will only be remediated in line with the requirements of the Contaminated Land Officer and the Environment Agency. It is impossible to make the site 100% contaminates free. Legal agreements between BCC and the developer dependant, if further materials, that could be considered hazardous or likely to pose a risk to the future proposed development be encountered during any future ground investigation and/ or works on site, would have to be removed prior to handover to the developer.	Significant impact on cost and programme to BCC, scale not known/easily quantifiable.	Open		Project Management	Temple Island project manager	The condition of the land at handover needs to be agreed between the client and the developer.	Positive	3	4	12		2	4	8	16/08/21
TI-04	Temple Island - programme risk, Uncertain District Heating requirements.	Lack of sufficient information relating to district heating requirements, including temporary position, permanent facility, borehole locations, site compound and future connections.	Abortive design and construction works, additional cost.	Open		Project Management	Temple Island project manager	Meetings with BCC's District Heating team have been established in order to drive progress on the matter, fully plan for and future proof the scheme for the DH requirements.	Positive	3	4	12		2	3	6	16/08/21
TI-143	Temple Island - programme risk, Lease conditions requiring all services to be live on handover	Current requirement stipulated in the leasing schedule requires all services to be installed prior to take over. This is highly unlikely as utilities provides such as WPD may not engage with developer or BCC until full scope of design has been developed. Furthermore there may be phasing of installation of services as significant construction activity in presence of live services could compromise work completed or create residual health and safety risk to personnel on site.	Likely to impact programme and cost.	Open		Project Management	Temple Island project manager	BCC to review lease conditions and scope requirements with L&G during design development phase.		4	4	16		4	3	12	16/08/21

Equality Impact Assessment [version 2.9]



Title: Temple Quarter Update	
<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: <i>Growth and Regeneration</i>	Lead Officer name: John Smith
Service Area: Economy of Place – Temple Quarter	Lead Officer role: Director – Economy of Place

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 paper to Cabinet in October follows on from the one provided in March. It provides an update on various elements of the Temple Quarter regeneration programme, namely:

- To seek approval to request funding from WECA to maintain momentum in delivering key elements of the programme whilst anticipating that funds may ultimately be forthcoming from other sources
- The creation of a development brief to guide the redevelopment of the Mead Street industrial area
- To seek approval for the commissioning of a citywide employment land strategy, necessary to enable regeneration of the Temple Quarter area to progress in a managed and co-ordinated manner
- The development and implementation of a communications and engagement strategy for the programme
- The delivery of enabling works on the Temple Island site and the disposal of it to Legal and General.

The Temple Quarter development framework will form the basis for the regeneration of the Temple Quarter area.

1.2 Who will the proposal have the potential to affect?

<input type="checkbox"/> Bristol City Council workforce	<input 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]
--	------------------------------------	-----------------

Whilst we have not identified any significant negative impact of the Temple Quarter development framework we are aware of existing disparities and issues for people in Bristol based on their protected and other relevant characteristics which we will aim to mitigate where possible through our overall approach, which will become clearer as each element of the development framework is progressed. An individual EQIA will be completed for each project delivered in Temple Quarter identify the proposed equality impact and associated mitigation.

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
2011 Census data on ethnicity citywide	77.9% White British; 16.0% Black, Asian and minority ethnicity
2011 Census data on gender citywide	49.8% male; 50.2% female
2011 Census data on proportion of population with a long-term illness or disability citywide	16.7% of citywide population have a long-term illness or disability
2017 mid-year population estimates	670 people lived in the area covered by the development framework
Quality of Life 2020-21 — Open Data Bristol	The Bristol Quality of Life Survey highlights a number of disparities for Bristol citizens based on where they live, as well as their characteristics and circumstances which are relevant to Temple Quarter regeneration. For example:

Quality of Life Indicator	% for whom inaccessible public transport prevents them from leaving their home when they want to
Characteristic	% Percentage
16 to 24 years	8.4
50 years and older	7.8
65 years and older	8.9
Female	10.3
Male	7.5
Disabled	16.4
Black Asian & Minority Ethnic	9.9
White Minority Ethnic	10.0
White British	8.6
Asian/Asian British	10.3
Black/Black British	5.5
Mixed Ethnicity	11.8
White	8.8
Lesbian Gay or Bisexual	12.9
No Religion or Faith	9.0
Christian Religion	8.3
Other Religions	12.7
Carer	10.4
Full Time Carer	14.2
Part Time Carer	9.3
Single Parent	7.6
Two Parent	7.5
Parent (all)	7.6
No Qualifications	8.8
Non-Degree Qualified	10.1
Degree Qualified	8.6
Rented (Council)	13.4
Rented (HA)	9.3
Rented (Private)	11.2
Owner Occupier	7.9
Most Deprived	18.8

10%	
Bristol Average	9.1
	<i>Source: Quality of Life in Bristol 2020-21</i>

Quality of Life Indicator	% satisfied overall with their current accommodation
Characteristic	% Percentage
16 to 24 years	80.6
50 years and older	88.8
65 years and older	92.0
Female	88.1
Male	85.6
Disabled	76.0
Black Asian & Minority Ethnic	76.8
White Minority Ethnic	82.7
White British	89.0
Asian/Asian British	82.2
Black/Black British	56.7
Mixed Ethnicity	82.9
White	88.2
Lesbian Gay or Bisexual	85.5
No Religion or Faith	87.1
Christian Religion	88.8
Other Religions	74.6
Carer	81.4
Full Time Carer	68.5
Part Time Carer	85.6
Single Parent	69.8
Two Parent	90.2
Parent (all)	87.7
No Qualifications	84.9
Non-Degree Qualified	84.1
Degree Qualified	88.3
Rented (Council)	59.5
Rented (HA)	79.2
Rented (Private)	76.2
Owner Occupier	93.1
Most Deprived 10%	68.0
Bristol Average	86.9
	<i>Source: Quality of Life in Bristol 2020-21</i>

Additional comments:

The scale of the Temple Quarter regeneration programme – in matters such as the number of new jobs, it being a key public transport hub and gateway location for the city centre and it becoming a location to visit and dwell in –

suggest there will be impacts spread over a wide geography, certainly Bristol-wide and further afield.

In addition, the Temple Quarter development framework proposes a large number of interventions to deliver jobs and homes growth targets. The nature, geographic scope and scale of impacts will differ according to the nature of intervention proposed.

In this context it appears prudent to consider the scale of impact at city wide and local level.

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 type="checkbox"/> Marriage and Civil Partnership | <input 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.

We do not have accurate citywide diversity data for some characteristics where this has not been included in statutory reporting historically. E.g. for the purposes of this report we refer to other sources of data e.g. that Bristol reflects national statistics where 6% of the population is reported as being lesbian, gay or bisexual.

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 key public sector partners bringing forward the Temple Quarter regeneration programme are committed to engaging with businesses, residents and wider city stakeholders, with an approach that enables city communities to help shape proposals effectively and in a timely way.

The March paper to Cabinet committed to:

- Holding public engagement on the emerging development framework in Summer 2021
- Network Rail leading on ensuring commuters, local communities and stakeholders are well informed of upcoming changes to Temple Meads station
- Prioritising opportunities for conversations and workshops with local businesses, community organisations, local residents on the development of plans for St Philip's Marsh, Mead Street and Temple Gate, as well as providing opportunities for city-wide engagement on the same
- For the areas around Temple Meads station, engaging with local businesses, transport organisations and city stakeholders in Summer 2021 followed by wider consultation on designs later in the year and into 2022
- Providing feedback from the consultation on the character appraisal at Silverthorne lane and next steps on whether a consultation area will be designated

- Providing information, engagement and consultation close to where people live and work to enable as many as possible to get involved.

Engagement Activity March – Autumn 2021:

Since then the following has taken place:

- **March 2021** – Roundtables with St Philip’s Marsh businesses
- **May onwards** – Network Rail led engagement with communities, local communities and stakeholders on upcoming changes to Temple Meads Station and Bristol East Junction upgrade works.
- **May and July 2021** – meetings with TQ Accessibility Advisory Group (TQAAG) including discussions on access to Bristol Temple Meads and plans for new station entrances
- **August 2021** – prioritising engagement with businesses in Mead Street, Temple Gate and St Philip’s – a business bulletin supported by an Economic Development survey to identify aspirations of businesses in the area and update on plans for the area. One to one sessions with Economic Development officers have been offered to businesses in these areas and have been taken up by a number of organisations
- **September 2021** – heritage arts project with St Philip’s businesses to promote their businesses and linked public art trail as part of Open Doors Day 10/11 September

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.

Engagement Late 2021/Early 2022:

Subject to funding being approved, we are proposing the following:

- A citywide engagement on the draft Development Framework in late 2021/early 2022. This will be digitally based and where possible will include face-to-face events, conversations, and activities (this remains under review depending on Covid infection rates and restrictions).
- Use an interactive digital consultation platform with information about the main character areas including interactive maps where people can post feedback and comments.
- The engagement will be supported by a cultural engagement programme commissioned by the council’s Culture team that will:
 - Use creative activations including drop in and mobile hubs to engage stakeholders with the draft Development Framework; and
 - Generate an evidence base of local views that inform the development of a cultural engagement plan that will sit alongside the Development Framework acting as a guide for developers ensuring a consistent, long term public art vision for Temple Quarter and St Philip’s Marsh.
- Work with locality-based community organisations in areas within and neighbouring the regeneration area to facilitate conversations
- Drop-in hub within the regeneration area where people can find out more about the Development Framework and contribute their views. The Hub could also be used for arts and heritage activities and displays related to the area and future plans.

Plans for engagement have been and will continue to be informed by analysis of the effectiveness of engagement work done to date, to capture successes and what worked less well and to consider and identify groups that have proved harder to reach.

It is anticipated that engagement will take place as interventions identified by the development framework are taken forward, with early work undertaken as part of each project to identify potential negative impacts on groups with protected characteristics and enable them to engage fully in scheme development.

Consultations with equalities groups will also form part of the planning process. In addition, the council and its partners will consult with equalities groups during the detailed design of new transport schemes, space

improvements and developments. Individual transport schemes are required to undertake EQIAs as part of the Council's quality assurance strategy

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)

The impact of the Temple Quarter development framework – adverse or beneficial – will become clearer as each element of the development framework is progressed. Efforts are being made now to develop a more robust and evidence-based view of potential impacts. Regular meetings of the TQ accessibility advisory group have been set up to understand better the needs of disabled people; direct, ongoing contact has been started with businesses in the area; a range of community groups are being invited to briefing sessions on proposals; and equalities information covering the topics highlighted in section 2.2 of this appendix is being captured when individuals and businesses are communicating with the Temple Quarter team.

At this early stage, we are of the view that two aspects present the greatest risk of creating adverse impacts, both featuring similar effects on the same groups:

- Transport and access improvements, which will deliver long term benefits overall but may have negative impact in the short term.
- Construction of new developments, similarly, offering long term benefit but short-term negative impacts (notwithstanding that construction may create new employment opportunities).

Both create the potential for disruption to established access routes, less certainty around accessibility and might give rise to new hazards to be negotiated. This has the potential to affect most significantly disability and pregnancy/maternity groups, and – potentially – age indirectly.

Care is also needed to avoid reinforcing any patterns of exclusion from jobs opportunities, should they exist in sectors likely to employ people in the Temple Quarter area via new development. Such an outcome would have the potential to affect all groups with protected characteristics.

New development may lead to change in the make-up of the business base in certain locations in Temple Quarter. BCC Economic Development is seeking to engage directly with local businesses in each area to understand them better. The team will monitor the potential for impacts on any groups with protected characteristics as part of this activity.

PROTECTED CHARACTERISTICS

Age: Young People	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	Impact to be monitored.
Mitigations:	Initial data from consultation and equalities questionnaires to be analysed.
Age: Older People	Does your analysis indicate a disproportionate impact? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	Works may have impact on accessibility.
Mitigations:	Access needs to be considered at the earliest possible stage in planning of works.

Disability	Does your analysis indicate a disproportionate impact? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	Works may have impact on accessibility.
Mitigations:	Access needs to be considered at the earliest possible stage in planning of works.
Sex	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	Impact to be monitored.
Mitigations:	Initial data from consultation and equalities questionnaires to be analysed.
Sexual orientation	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	Impact to be monitored.
Mitigations:	Initial data from consultation and equalities questionnaires to be analysed.
Pregnancy / Maternity	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	Impact to be monitored.
Mitigations:	Initial data from consultation and equalities questionnaires to be analysed.
Gender reassignment	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	Impact to be monitored.
Mitigations:	Initial data from consultation and equalities questionnaires to be analysed.
Race	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	Impact to be monitored.
Mitigations:	Initial data from consultation and equalities questionnaires to be analysed.
Religion or Belief	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	Impact to be monitored.
Mitigations:	Initial data from consultation and equalities questionnaires to be analysed.
Marriage & civil partnership	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	Impact to be monitored.
Mitigations:	Initial data from consultation and equalities questionnaires to be analysed.
OTHER RELEVANT CHARACTERISTICS	
Socio-Economic (deprivation)	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	Impact to be monitored.
Mitigations:	Initial data from consultation and equalities questionnaires to be analysed.
Carers	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	Impact to be monitored.
Mitigations:	Initial data from consultation and equalities questionnaires to be analysed.
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:	Impact to be monitored.
Mitigations:	Initial data from consultation and equalities questionnaires to be analysed.

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

Measures will be taken to mitigate the negative impacts of any change.

Whilst disruption may be inevitable given the scale of development proposed, it can be mitigated through early engagement with and the involvement of protected groups in scheme development, from design through to delivery. The emerging engagement strategy for Temple Quarter will seek to address this.

Efforts will be made to:

- Enable work experience opportunities
- Link people to potential employers
- Support skills development
- Explore developing an on-site skills academy within Temple Quarter to enable people to gain skills locally which can then be put to use in the locality.

Public sector employers engaged in delivering the framework, including Bristol City Council, will recruit in line with their equalities duties, and will be able to shape the actions of their contractors via contractual requirements.

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:

Works in the area could inhibit access for disabled and older people. The needs of these groups are being factored into planning of works at the earliest possible stage.

Consultation activity is being undertaken currently; findings will be used to inform understanding of potential for negative impacts.

An individual EQIA will be completed for each project delivered in Temple Quarter. The project specific EQIA's will identify the negative impacts and how they can be mitigated or justified

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

Consultation activity is being undertaken currently; findings will be used to inform the opportunities we may have to promote the duty.

An individual EQIA will be completed for each project delivered in Temple Quarter. The project specific EQIA's will identify the positive impacts.

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
Complete an EQIA for each individual project delivered within Temple Quarter	JDT Programme Director	Ongoing
Equalities issues identified by consultation to be reviewed on regular basis	JDT Programme Director	Ongoing

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.

It is too early in scheme development to define specific actions of each element of the emerging Temple Quarter Development Framework, but it is envisaged that application of the principles of diversity and inclusion outlined above will generate benefit for all groups with protected characteristics.

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: <i>John Smith, Director – Economy of Place</i>
Date: 24 September 2021	Date: 24 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.

Eco Impact Checklist

Title of report: Temple Quarter update

Report author: John Smith, Director – Economy of Place

Anticipated date of key decision: 5 October 2021

Summary of proposals:

The paper to Cabinet in October follows on from the one provided in March. It provides an update on various elements of the Temple Quarter regeneration programme, namely:

- To seek approval to request funding from WECA to maintain momentum in delivering key elements of the programme whilst anticipating that funds may ultimately be forthcoming from other sources
- The creation of a development brief to guide the redevelopment of the Mead Street industrial area
- To seek approval for the commissioning of a citywide employment land strategy, necessary to enable regeneration of the Temple Quarter area to progress in a managed and co-ordinated manner
- The development and implementation of a communications and engagement strategy for the programme
- The delivery of enabling works on the Temple Island site and the disposal of it to Legal and General.

The Temple Quarter development framework will found the basis for the regeneration of the Temple Quarter area, shown on the map below.



Temple Quarter presents a major regeneration opportunity of national significance, having the capacity to deliver 22000 new jobs, 10000 new homes and an economic uplift to the

local economy of £1.6billion per annum when fully built out.

Temple Quarter will make a substantial contribution to inclusive and sustainable growth in the city, through consideration and management of:

- Economic factors – by working with developments coming forward to attract inward and local investment, create new employment opportunities at a range of levels and skills requirements, develop a skills academy on site and encourage local business growth
- Physical factors - by improving access to the area and jobs, ensuring proposals coming forward connect community to city and reduce severance, overcome physical and perceived barriers, and leveraging contributions to create these improvements.
- Social – by ensuring people are informed on city developments coming forward, engaged on city issues linking to physical environment, upskilled in planning, design & development, and ensuring ownership, engagement and employment in temporary projects intended to bring jobs and activity to the area in advance of more permanent developments coming forward.

Future growth and regeneration of the area will also be grounded in considerations of environmental sustainability, with projects actively supporting the city’s targets for achieving carbon neutrality by 2030. A sustainability assessment has been prepared in the drafting of the Temple Quarter development framework and, albeit it has specific relevance to the Temple Meads element of the document, the principles and analysis is pertinent to the overall area. The potential for negative impacts arising from construction works, use of materials and travel will be monitored and mitigated wherever possible.

The framework itself is a relatively high level document, proposing a direction of travel for the development of the area, and the detail of specific developments within it and programmes proposed will be consulted on and evolve with time. Consequently the assessment provided below can only be high level in 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	Overall positive in that it should lead to a reduction in emissions	New buildings, increased population, increased journeys and footfall will be balanced by high sustainability standards for buildings, employment & leisure opportunities provided locally, greater public transport capacity, new pedestrian & cycle access and measures to reduce dependency on the car.	Sustainability assessment identifies the following: <ul style="list-style-type: none"> • Ensuring whole lifecycle carbon management is an integral part of decision making and design processes • Facilitating connection to the emerging Bristol district heat network • Setting embodied and operational energy related policies that are over and above current national standards • Encouraging sustainable lifestyle choices.
Bristol's resilience	Yes	Positive	Increasing population	Sustainability assessment

to the effects of climate change?		overall	and developing in areas at risk of flooding will be counterbalanced by new flood defence measures, with efforts made to include these as part of new developments, that will enhance the city's overall flood defence infrastructure, as well as new green spaces, new access routes for pedestrians and cyclists and jobs and services available locally to meet local need.	identifies the following: <ul style="list-style-type: none"> • Optimising massing and orientation to improve microclimate, protect against temperature extremes and enhance performance of sustainable systems • Incorporating flood defences and resilient infrastructure zones within the design to protect the development from water in the event of flooding – advice to be sought from the climate change team regarding future climate risks • Adopting green infrastructure wherever possible throughout the developments, including SUDS to reduce the local risk of flooding • Taking a holistic approach to reviewing the effect on adjacent areas of flood defence schemes • Setting water conservation related policies that are over and above current national standards • Looking for opportunities to divert re-usable forms of waste water.
Consumption of non-renewable resources?	Yes	Negative overall	The scope for this and potential to mitigate it needs to be explored further, and is likely to be on both a programme and individual project basis. Large amounts of construction do offer the potential for the scale of consumption and associated mitigation to be significant.	The sustainability assessment notes Bristol's use of the UN Sustainable Development Goals. Goal no. 12 calls for responsible consumption and production. The assessment calls on negative impacts to be reduced as far as possible, and integrated approaches adopted to ensure maximisation of cross benefits across the 17 goals. This approach is likely to form an important part of sustainability strategy/ies for the Temple Quarter programme.
Production, recycling or disposal of waste	Yes	Positive overall	The scope for this and potential to mitigate it needs to be explored further, and is likely to be on both a	Sustainability assessment identifies the following: <ul style="list-style-type: none"> • Adopting of circular economy principles throughout development

			programme and individual project basis.	<p>lifecycle (including construction and operation), e.g. consideration of the suitability of waste take-back centres</p> <ul style="list-style-type: none"> • Understanding and accommodating the current and future requirements of the local waste operating company in relation to improved re-use/recycling and reduction of waste to landfill • Providing designs that facilitate space for storage of segregated waste, to encourage appropriate re-use and recycling. <p>A site waste management plan will be put in place where construction activities take place.</p>
The appearance of the city?	Yes	Positive	Impact is expected to be significantly positive – the Temple Quarter regeneration programme will drive the development of vacant sites, provide much needed improvements to circulation and accessibility within Temple Meads Station and enable easier wayfinding.	
Pollution to land, water, or air?	Yes	Positive in that it should lead to a reduction in pollution	The scope for this and potential to mitigate it needs to be explored further, and is likely to be on both a programme and individual project basis.	<p>The sustainability assessment notes Bristol's use of the UN Sustainable Development Goals. A number appear to be pertinent:</p> <ul style="list-style-type: none"> • Goal no. 6 calls for clean water and sanitation • Goal no. 12 calls for responsible consumption and production • Goal no. 14 covers life below water • Goal no. 15 covers life on land. <p>The assessment calls on negative impacts to be reduced as far as possible, and integrated approaches</p>

				<p>adopted to ensure maximisation of cross benefits across the 17 goals. Consequently negative potential impacts will be assessed at project level and appropriate mitigation measures put in place.</p> <p>This approach is likely to form an important part of sustainability strategy/ies for the Temple Quarter programme.</p>
Wildlife and habitats?	Yes	Potentially positive	The scope for this and potential to mitigate it needs to be explored further, and is likely to be on both a programme and individual project basis.	<p>The sustainability assessment identifies the following:</p> <ul style="list-style-type: none"> • Setting a biodiversity net gain target • Seeking opportunities for small “pocket parks”, which would improve public realm, provide permeable surfacing for water attenuation, new trees, planning and benches • New planting should be selected to increase wildlife value such as diversity of fruiting season, invertebrate support, growth form and planting that offers shelter and nest building opportunity • Watercourses will need to be considered and protected • Seek a CEEQUAL assessment – an international rating and awards scheme for engineering and infrastructure projects. <p>The Temple Quarter programme team will work closely with the Bristol City Council ecological emergency project manager and seek to enable alignment with the city’s ecological emergency plan.</p>
Consulted with:				
Summary of impacts and Mitigation - <u>to go into the main Cabinet/ Council Report</u>				
The significant impacts of this proposal are potentially very wide-ranging given the scale of the Temple Quarter regeneration programme, associated targets and geographical coverage. It is too early in the life of the programme to be specific about what these				

impacts may be, however given the scale of the re-development it is likely that the use of non-renewable resources will be significant throughout the programme lifecycle. There will also need to be careful scoping of the potential increased flood risk associated with specific areas of the development to ensure that mitigation actions are appropriate and deliver co-benefits. It is critical therefore that ecological and environmental impact is considered fully as it evolves. This – and the need for resource to support it – will be factored into the work-programming and delivery of the programme as it moves forward.

The aim of the programme at all stages of its development and implementation – including extensive consultation and public engagement to be undertaken particularly over the next year but on an ongoing basis throughout its life – will be to have a positive ecological and environmental impact. It is expected that the programme will make a positive contribution to the delivery of Bristol’s goal to be a carbon neutral city by 2030.

Checklist completed by:

Name:	Jack Allan
Dept.:	BCC Economic Development, on behalf of the Temple Quarter programme team
Extension:	07827 896608
Date:	22 September 2021
Verified by Environmental Performance Team	Daniel Shelton 23 September 2021

Decision Pathway – Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 14 December 2021

TITLE	Disposal of Land (We Can Make)		
Ward(s)	Filwood and Knowle		
Author: Bryony Stevens	Job title: Enabling Manager		
Cabinet lead: Cllr Tom Renhard, Cabinet Members for 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: For Cabinet to approve:-			
<ol style="list-style-type: none"> 1. The disposal of Bristol City Council (BCC) under-utilised garden micro-sites for the roll out of a further 14 We Can Make homes at less than market valuation. 2. To delegate the decision as to specific disposals of micro-sites to the Executive Director Growth and Regeneration in consultation with the Section 151 Officer and the Cabinet Member for Housing Delivery and Homes. 			
Evidence Base:			
<ol style="list-style-type: none"> 1. We Can Make (WCM) aims to empower people in low-density high disadvantage estates to deliver their own affordable homes at 'point of need'. The project has been developed in Knowle West as the pilot neighbourhood by Knowle West Media Centre (KWMC). Knowle West Media Centre has incorporated a not-for-profit entity 'We Can Make' Community Interest Company (CIC), to facilitate this. BCC has been supportive of the We Can Make initiative thus far and agreed in principle to work with We Can Make on a pilot scheme of 16 units, for which We Can Make secured initial funding for pre-development work. EDM agreed in Jan 2021 that work could continue on the first two micro sites pending Secretary of State permission for the disposals, which was subsequently granted. 2. The Project is unique in that it creates additional opportunities for development of affordable housing by engaging with existing BCC tenants and creating micro sites on land that was previously part of the back gardens of Council tenanted homes. This has been achieved through a long process of research and community engagement with local people in Knowle West by the community anchor organisation Knowle West Media Centre. Without the community engagement and intervention by We Can Make the sites would not come forward for development. The scheme responds to the specific housing issues arising in the area and the lack of diversity in the types of housing stock available-for example the lack of smaller units for people to downsize or for smaller households. The additional affordable homes developed on the micro-sites provide opportunities for households to secure more appropriate housing and relieve overcrowding while enabling support networks to remain in place. 3. The valuation report undertaken to support the application to the Secretary of State valued an example plot 			

at £23,500 but concluded that the development of affordable housing on micro units in back gardens in Knowle West is unlikely to happen without the sale of land at a discount. In practice it is only through the scheme itself that the Council is able to obtain vacant possession of gardens for affordable housing development at scale. The report concluded that as the properties and gardens involved will be broadly similar in type, location, size and value, similar sums can be expected at today's values where the scheme is rolled out more widely, albeit individual valuations will be required in due course. On this basis the pilot scheme of 16 properties could reasonably be expected to equate to a disposal at a discount in the region of £320,000.

4. The initiative offers social value by creating additional affordable homes and empowering the local community to be involved in meeting housing needs and providing community support. The Council Tenant has the first nomination right over the newly built micro home in accordance with BCC HomeChoice allocations scheme. All applicants for the first and subsequent lettings to the micro homes will be made according to the BCC allocation criteria, within the framework of a Local Lettings Plan to ensure that the scheme both benefits local people and does not allow for discrimination. The front garden of the Council's property (the host home) is also improved. The new home is built using factory produced prefabricated panels that will be manufactured in Knowle West, so creating employment opportunities locally, as well as modern sustainable homes. It is intended that the approach can also be applied on void properties, by dividing off the land for the micro-plot prior to reletting by BCC. The proposed development of a WCM home in the garden will be made clear when the void is advertised on HomeChoice.
5. The Council will dispose of the micro plots to WCM on a long lease at an under valuation, in order to enable delivery of new affordable homes. The completed new build affordable housing units will be held and managed by the We Can Make CIC to ensure affordable homes in perpetuity.
6. BCC applied to the Secretary of State for permission for the principle of the scheme and to clarify that land currently included within an existing tenanted property could legally be disposed of in this way. See Appendix A. Secretary of State permission has now been granted.
7. The sites for development for further roll out of the project are not yet selected. WCM will identify potential sites through community engagement and they are then considered through the decision-taking framework agreed between BCC and WCM. BCC will approve the host tenant and the site's suitability for the scheme.
8. We Can Make will seek BCC Affordable Housing grant to subsidise delivery of these homes. The approvals being sought in this report do not negate the need for WCM to bid for funding in accordance with BCC AHFP policy and do not pre-empt the decision making on funding allocation.
9. Planning permission has been granted on the first two WCM plots namely in the rear gardens of Council tenanted properties at 139 Novers Lane and 2 Belstone Walk and the land transfer has been completed. Works have commenced on these first two sites and completions are expected early in 2022.
10. The 16 unit pilot will be reviewed prior to any further roll out of the scheme on BCC land. This will comprise:
 - a. Interviews with host BCC tenants and WCM tenants to assess satisfaction with the scheme;
 - b. Findings of WCM consultation with neighbours/local community following roll out of 14 units to gauge satisfaction/support for the initiative;
 - c. Review of EQIA and assessment of equalities impacts to be carried out jointly by BCC and WCM;
 - d. BCC Assessment of value for money/social value and sustainability of the scheme.
11. Following the review of the 16 unit pilot the decision as to whether there should be any further disposals of BCC sites for the We Can Make scheme should be taken by Executive Director, Growth and Regeneration in consultation with the Section 151 Officer and the Cabinet Member for Housing Delivery and Homes.

12. Where We Can Make seek to develop affordable housing on Council owned sites that are not garden micro-sites created through community engagement, the disposal will follow the Council's Community Led Housing Land Disposal Policy as agreed by Cabinet in February 2020 (Appendix A).

Cabinet Member / Officer Recommendations:

1. That Cabinet notes the decision taking framework for selection of appropriate micro-sites and host households and the review process.
2. Cabinet approves the disposal of up to 14 plots of land to We Can Make for the delivery of further WCM units with delegation of authority to the Executive Director, Growth and Regeneration in consultation with the Section 151 Officer and the Cabinet Member for Housing Delivery and Homes for the individual disposals of BCC land to WCM at less than market value.
3. Cabinet delegates authority to review the pilot scheme, decide on the merits of and approve any further disposals of micro sites for We Can Make to the Executive Director, Growth and Regeneration in consultation with the Section 151 Officer and the Cabinet Member for Housing Delivery and Homes.

Corporate Strategy alignment:

1. Support delivery of the Fair & Inclusive Key Commitment: ensuring that affordable new homes are delivered in Bristol.
2. Taking an 'asset-based community development' approach by working with communities and partners to transfer assets and power to local people so they have more involvement.
3. Support the delivery of the Empowering and Caring Key Commitments: Prioritise community development and enable people to support their community.
4. Support delivery of the Fair and Inclusive Key Commitment: Help develop balanced communities which are inclusive and avoid negative impacts from gentrification.
5. Support delivery of the Well Connected Key Commitment: Reduce social and economic isolation and help connect people to people, people to jobs and people to opportunity.

City Benefits:

The project provides a method for increasing supply of land for development of affordable housing and provides a model of housing development that has potential to be of benefit to the whole city. It provides local employment /training opportunities in manufacture of MMC units and the method of construction has benefits for tackling the climate emergency.

Consultation Details:

Knowle West Media Centre has undertaken a range of consultation events with local residents, community groups, stakeholders and members to ensure their project delivers homes that meet local need.

Background Documents:; Report to EDM Jan 2021 Appendix A; Report to Housing Delivery Board July 2021 Appendix A.

Revenue Cost	£0	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:

There is no direct financial implication as sites have not been selected. When the sites are selected, then value of land needs to be verified by qualified surveyors to determine financial impact.

The scheme will have a financial impact on both the HRA and the General Fund. The impact on the HRA, will potentially be a reduction in the right to buy receipts, as detaching of plots from individual properties will result in a

lower valuation in the remain values of those properties.
 Whilst the impact on the general fund will be a loss on disposal as the asset will transfer to the Community Interest Company at nominal value. This will be reflected on the balance sheet.

Grant Application
 The £95,000 per home funding request from KWMC would be subject to separate BCC Affordable Housing grant application. The grant conditions need to be met and there is risk that application may not be successful.

Finance Business Partner: Aisha Bapu Finance Manager 18th October 2021

2. Legal Advice:
 Secretary of State consent has been obtained for this project on the basis that it is outside the scope of the General Disposal Consents contained in the Housing Act 1985

Legal Team Leader: Andrew Jones, Team Leader, 30 September 2021

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

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

4. HR Advice: There are no HR implications evident.

HR Partner: Celia Williams, HR Business Partner – Growth and Regeneration 1st November 2021

EDM Sign-off	Stephen Peacock, Executive Director Growth and Regeneration	6 October 2021
Cabinet Member sign-off	Councillor Renhard, Cabinet Member Housing Delivery and Homes	11 October 2021
For Key Decisions - Mayor's Office sign-off	Mayor's Office	15 November 2021

Appendix A – Further essential background / detail on the proposal A1-Community Led Housing Land Disposal Policy; A2-Report to Housing Delivery Board on WCM Decision Pathway; A3-Report to EDM Jan 2021; A4-We Can Make Decision Taking Framework; A5-Valuation for Sec of State application	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 L – Procurement	NO

Community Led Housing Land Disposal Policy 2020

1. Introduction

The Council, in its Corporate Strategy 2018-2023, has set out a commitment to build 2,000 new homes – 800 affordable – a year by 2020. As well as the ambition for delivering additional homes the Council has set a number of principles relating to how homes should be delivered, which include:

- Working in partnership across the city to deliver these targets;
- Using a wide range of measures to increase housing supply;
- Promoting affordable housing.

The Housing Delivery Plan 2017-2020 sets the Council's strategic approach to delivering new homes. It includes a commitment to working with community led housing groups and to supporting self-build in the city.

2. Purpose

The Community Led Housing Land Disposal Policy (CLH LDP) sets out the policy for the disposal of Council-owned sites to community led housing organisations and associations of individual self-builders. The CLH LDP provides a framework within which to operate to ensure that any site offered under this policy is distributed in a fair, transparent way, that maximises best consideration, whilst relying on the provisions of the Local Government Act 2000 where the authority considers the scheme will secure the promotion or improvement of the economic, social and environmental wellbeing of its citizens.

3. Definitions Used (including any subsequent amendments)

Affordable Rent

Rented homes at an agreed % of open market rent (including the service charge element) on provision that the initial rent *up to 31st March 2020* is not in excess of the Local Housing Allowance limits for the specific property type in the Bristol City Council administrative area *and after April 1st 2020 not in excess of 35% gross household income.*

Best consideration

Under section 123 of the Local Government Act 1972 local authorities cannot dispose of an interest in land for less than the best consideration reasonably obtainable, without the consent of the Secretary of State.

Community-led housing

Although the legal form and activities of each community-led housing group and scheme may differ, schemes that are genuinely community-led will adhere to three common principles, set out below. Schemes which meet the following principles will be defined as Community-led for the purposes of this policy:

- Commitment to community engagement and consent throughout the development process. Communities do not necessarily have to initiate the conversation, or build homes themselves.
- Commitment by the community group to taking a long-term legally binding role in the ownership, stewardship, or management of the homes; and such is supported by a strategy and business case.

- Commitment by the community group to deliver clearly defined benefits of the scheme to the local area or other group, such benefits to be if possible legally protected in perpetuity.

Pro Contract

Online procurement portal which is used by the Council and their Buyers.

Rent inflation index

An arrangement that allows all Social Rents and Affordable Rents to be increased annually by consumer price index plus 1% or such other alternative index or comparable measure of price inflation as may be agreed in writing with the Council on the understanding that no rents proposed are in excess of 35% of gross household income.

Shared equity

Homes where the equity is shared between the owner of land (typically 40%) and the purchaser of the house (typically up to 60%). This allows for a household on a median household income, in the local area, to not exceed 35% of their gross household income on paying their mortgage and other housing costs. There are currently grants available from the Council to facilitate the delivery of these homes.

Shared ownership

Part-buy/part-rent homes, on schemes under 10 homes, where the purchaser buys a proportion of the property's equity up to 40% using a mortgage and deposit while paying rent of up to 1.5% of the retained equity on the remainder. The purchaser has the opportunity to increase their share of ownership in the property over time in a process known as **stair-casing** until eventually the purchaser owns the full 100% of the home. On schemes over ten homes, if funded by Homes England, different regulations will apply.

Social rent

Rented homes on the proviso that the initial rent (based on the National Rent Scheme 2015) and the service charge element are not in excess of Local Housing Allowance limits for the specific property type in the Bristol City Council administrative area and, after April 2020, not in excess of 35% gross household income.

Social value

Economic, social and environmental well-being as more clearly set out in [Council's Social Value Policy](#).

Subject to Planning

Planning permission must be sought and obtained from the Local Planning Authority before any development starts. The grant of planning permission may be subject to conditions.

Sweat Equity

An interest in a property earned by a tenant in return for labour towards the build.

Sweat Rent Reduction

A reduced rent earned by a tenant in return for labour towards the build.

Undervalue

The disposal of any interest in land for a price which is less than best consideration reasonably obtainable.

4. Housing schemes of 3-10 homes

Council sites with the capacity to deliver between 3 -10 homes, identified as suitable for delivery via community-led housing, will be marketed through Pro Contract to those eligible, legally consisted community groups, as defined below. Offers will be sought on a 'Subject to Planning' basis with the purchaser responsible for all risks and costs. All proposals will be evaluated against the following criteria (detailed in Section 9).

- Housing scheme - demonstrating: how far the proposal incorporates shared equity (with Sweat equity % or Sweat rent reduction) and the affordability, type, design and specification of homes.
- Community benefits
- Deliverability of proposal
- Social Value
- Financial offer

All proposals/homes will be required to meet relevant Building Regulations and be fully compliant with the [Bristol Local Plan](#) and all relevant supporting guidance.

Who is Eligible to Apply?

Unless there are exceptional circumstances, land will only be disposed of to legally constituted community groups falling into one of the following categories:

1. A company limited by guarantee registered as a charity with the Charity Commission
2. A charitable incorporated association
3. A community interest company limited by guarantee without shares whose articles of association comply with schedule 1 from the CIC Regulations 2005
4. A community interest company limited by guarantee with a share capital, or company limited by shares that only pay dividends to asset-locked bodies, whose articles of association comply with schedule 2 from the CIC Regulations 2005; or
5. An industrial and provident society registered before 2014
6. A community benefits society registered under the Co-operative and Community Benefit Societies Act 2014.

Examples of types of organisation are:

- community land trusts which take one of the legal forms set out above
- Community-led housing groups which take one of the legal forms set out above
- co-housing groups which take one of the legal forms set out above
-
- registered providers working in partnership with a Community-led housing group (for this category it is the Community-led housing group that must be incorporated)

5. Housing schemes in excess of 10 homes

Cabinet approval will be required to the principle of disposing of Council owned sites with the capacity to deliver over 10 homes, identified as suitable for delivery via community-led housing, in accordance with this policy.

Following Cabinet approval, the sites will be marketed through Pro Contract to those eligible, legally consisted community groups, as defined below. Offers will be sought on a 'Subject to Planning' basis with the purchaser responsible for all risks and costs. All proposals will be evaluated against the following criteria (detailed in Section 9).

- Housing scheme - demonstrating: how far the proposal incorporates shared equity (with

Sweat equity % or Sweat rent reduction) and the affordability, type, design and specification of homes.

- Community benefits
- Deliverability of proposal
- Social Value
- Financial offer

All proposals/homes will be required to meet relevant Building Regulations and be fully compliant with the [Bristol Local Plan](#) and all relevant supporting guidance.

Who is Eligible to Apply?

Unless there are exceptional circumstances, land will only be disposed of to legally constituted community groups falling into one of the following categories:

- A company limited by guarantee registered as a charity with the Charity Commission
- A charitable incorporated association
- A community interest company limited by guarantee without shares whose articles of association comply with schedule 1 from the CIC Regulations 2005
- A community interest company limited by guarantee with a share capital, or company limited by shares that only pay dividends to asset-locked bodies, whose articles of association comply with schedule 2 from the CIC Regulations 2005; or
- an industrial and provident society registered before 2014
- A community benefit society registered under the Co-operative and Community Benefit Societies Act 2014”
- Examples of types of organisation are: community land trusts which take one of the legal forms set out above
- Community-led housing groups which take one of the legal forms set out above
- co-housing groups which take one of the legal forms set out above registered providers working in partnership with a Community-led housing group (for this category it is the Community-led housing group that must be incorporated)

6. Heads of Terms

The Heads of Terms for Community Led Housing land disposals are attached at Appendix 1.

7. Availability of Grant

The Council intends to continue to make the following grants available to Community Led Housing Groups under the Affordable Housing Funding Policy 2019. When making land offers under the CLH LDP through Pro Contract bidders are asked to identify whether any Council or Homes England grant is likely to be applied for at a later date.

8. Governance

A panel of officers from the relevant professional disciplines will evaluate the bids received on ProContract and then recommend the disposal to Executive Director for Growth and Regeneration for final decision which will be recorded on ProContract.

9. Appraisal criteria of all CLH schemes

Bidders will be required to make submissions through Pro Contract which will be appraised against the following criteria and scoring chart. Any application that does not achieve a score of at least 3 out of 5 on any of the criteria will be discounted or may be asked to make a new submission.

All bidders should first demonstrate their organisation is financially sound by submitting either; financial accounts for up to 3 years, a set of financial statements provided by a qualified accountant or evidence of financial standing of individuals within the organisation, This will enable the Council to undertake a Pass/Fail assessment prior to scoring the scheme detailed below.

Ref	Topic & Weighting	Criteria	Evidence	Score
1	Housing Proposal 20%	Demonstrate how your Proposal(s), highlighting location, tenure mix, affordability, type, design and specification of homes , complies with: Bristol Local Plan and all relevant supporting guidance. And responds to: <ul style="list-style-type: none"> • Zero Carbon housing – accreditation from Passivhaus, Bio Regional One Planet or equivalent • Housing Innovations through MMC 	Text response up to 500 words	0-5
2	Deliverability 20%	Demonstrate that your organisation has or will have the skills and time to enable this scheme to start on site within next thirty six months and be delivered within a further twenty four months by making available: <ul style="list-style-type: none"> • Planning status • Deliverability of scheme i.e. highway access or other encumbrances. • Innovative construction practices including use of modular homes to accelerate delivery • Long term management arrangements 	Text response up to 500 words Supported with a Gantt Chart or similar with key milestones	0-5
3	Community Benefits 20%	<ul style="list-style-type: none"> • Number of social/affordable rent/ shared equity homes to be transferred to CLH group. • Retained equity secured by CLH group. • Future revenue stream of CLH group. • Number of self-build/custom build homes or plots proposed. 	Text response up to 500 words	0-5
4	Social Value 20%	Social value offer Tell us what issues will be addressed; the impact and outcomes that demonstrates how your proposal will respond to BCC Social Value Policy evidenced by the Social Value Toolkit. You are asked to submit your responses to this question on the Social Value Toolkit/ Measures	Completed Social Toolkit /Social Value Measures Table with supporting text up to 500	

		<p>table available to download from Pro-Contract and upload the completed table with your application. You should identify measures (column E) relevant to your scheme and include a description of your commitments together with details of evidence used to confirm commitments have been delivered (columns H and I).</p> <p><i>(Please note it is intended to include all social value commitments as contractually binding obligations in the disposal agreement with the Council and compliance with such obligations will be monitored.)</i></p>	words	
5	Financial Offer 20%	<p>Financial offer supported by business plan for scheme that shows viability and affordability It is important to include:</p> <ul style="list-style-type: none"> • What you propose to do and how it will be funded including and public grant requirements • The level of funding secured vs pledged • How the asset will be sustained in the long term • Any other existing public grant you are in receipt of in relation to this or any other scheme 	<p>Business plan and Development appraisal for the site.</p> <p>Completed Financial Model Template</p>	

Guidance for awarding scores for questions

Assessment	Scores 0-5	Reason to award this score based on evidence provided against the criteria included
Unacceptable	0	<ul style="list-style-type: none"> • Does not meet the criteria; Does not comply and/or insufficient information provided to demonstrate that the organisation has the ability, understanding, experience, skills, resource & quality measures required to meet the objectives sought and deliver , with little or no evidence to support the proposal.
Serious reservations	1	<ul style="list-style-type: none"> • Satisfies the criteria with major reservations; • Considerable reservations of the organisations' relevant ability, understanding, experience, skills, and resource & quality measures required to meet the objectives sought and deliver , with little or no evidence to support the proposal.
Minor reservations	2	<ul style="list-style-type: none"> • Satisfies the criteria with minor reservations; • Some minor reservations of the organisations relevant ability, understanding, experience, skills, and resource & quality measures required to meet the objectives sought and deliver with little or no evidence to

		support the proposal.
Satisfactory	3	<ul style="list-style-type: none"> • Satisfies the criteria; • Demonstration by the organisation of the relevant ability, understanding, experience, skills, resource & quality measures required to meet the objectives sought and deliver with evidence to support the proposal
Good	4	<ul style="list-style-type: none"> • Satisfies the criteria with minor additional benefits; • Above average demonstration by the organisation of the relevant ability, understanding, experience, skills, resource & quality measures required to meet the objectives sought and deliver; • Proposal identifies factors that will offer potential added value, with evidence to support the proposal.
Excellent	5	<ul style="list-style-type: none"> • Significantly exceeds the criteria ; • Exceptional demonstration by the organisation of the relevant ability, understanding, experience, skills, resource & quality measures required to meet the objectives sought and deliver; • Proposal identifies factors that will offer potential added value, with evidence to support the proposal.

Appendix A

HOUSING DELIVERY BOARD

Meeting Date 29 July 2021

We Can Make Community-led Housing project	
Ward: Filwood/Knowle	
Author: Elaine Olphert/Bryony Stevens	Job title: Head of Housing Delivery/Enabling Manager
Tel. No: 07384821014/07464 536973	Location: n/a
Officers presenting report: Elaine Olphert/Bryony Stevens	

Purpose of the report

- To update Housing Delivery Board on progress so far on the WE Can Make (WCM) Community Led Housing (CLH) project
- To seek agreement of Housing Delivery Board on the proposed decision pathway and timeline for approval of further roll out of the We Can Make pilot of 14 units and potential further roll out following successful delivery of the pilot programme.

Background

We Can Make (WCM) aims to empower people in low-density high disadvantage estates to deliver their own affordable homes at 'point of need'. The project has been developed in Knowle West as the pilot neighbourhood by Knowle West Media Centre (KWMC). Knowle West Media Centre has incorporated a not for profit entity 'We Can Make' Community Interest Company (CIC), to facilitate this.

The initiative involves creating additional affordable homes by a Council Tenant voluntarily reducing the size of their garden in order that an affordable home is built on the remaining land. The Council Tenant has the first nomination right over the newly built micro home in accordance with BCC HomeChoice allocations scheme. The front garden of the Council's property (the host home) is also improved. The new home is built using factory produced prefabricated panels that will be manufactured in Knowle West, so creating employment opportunities locally, as well as modern sustainable homes. It is intended that the approach can also be applied on void properties, by dividing off the land for the micro-plot prior to reletting by BCC.

The Council will dispose of the micro plots to WCM on a long leases at an under valuation, in order to enable delivery of new affordable homes. The completed new build affordable housing units will be held and managed by the CIC to ensure affordable homes in perpetuity.

Successes to date:

- We Can Make have engaged with the City Design team in advancing a design code to ensure quality design of the new affordable homes and shared space.

- Planning permission has been granted on the first two plots namely in the rear gardens of Council tenanted properties at 139 Novers Lane and 2 Belstone Walk.
- Secretary of State permission was sought by the Council for the principle of the scheme to clarify that land currently included within an existing tenanted property could legally be disposed of in this way. Confirmation has now been received from the SoS that the scheme can go ahead.
- We are in process of finalising the lease agreements for the disposal of the first two sites on long leases to WCM
- Governance and Finance Standard for CLH organisations and Management Standard for CLH organisations are being consulted on with CLH organisations including WCM. These will become the framework for ensuring adherence to relevant statutory regulations and appropriate standards of housing management, maintenance, governance, risk management, allocations and equalities for CLH groups receiving financial subsidy or land disposed of by the Council.
- A Local Lettings Plan has been agreed
- An Equalities Impact Assessment has been carried out to appraise the equalities impacts of the Local Lettings Plan and set out actions for mitigation and review.
- A process has been established for ensuring the tenant of the host home receives independent legal advice before giving Notice to terminate their tenancy and take up a new tenancy with the reduced garden.
- BCC Affordable housing funding has been allocated for the first 2 homes and the legal Grant Agreement finalised

Next steps for We Can Make

WCM have identified a further 3 units that they have progressed to the point of being ready to submit planning applications in September. Of these 2 are tenanted units with host households who have signed up to the scheme in order to facilitate rehousing of members of their household and relieve overcrowding and one is the former back garden of a void property that has in principle been agreed for disposal by H&LS at 38 Bantry Road. The micro site has already been fenced off by WCM.

WCM have a list of interested host households developed through community engagement locally and anticipate that they can source a further 10 micro sites in this way. They are also seeking a further void property garden with capacity for a two bed unit so that the pilot includes a mix of unit sizes. They envisage bringing the sites forward in batches of three at a time, to establish a manageable pipeline for manufacture and construction, with all submitted for planning approval by September 2022. The next set of applications are proposed for September 2021

Previous policy decision pathway

- The Council previously verbally agreed to explore a possible disposal of land to Knowle West Media Centre and the previous Cabinet Members for Housing Delivery provided their support and assurances that the project would proceed with a land transfer from the Council.
- A Cabinet Briefing on the WCM scheme and the proposal for the 16 unit pilot took place in November 2019. According to previous Report to EDM a decision was taken by HSLT 25th November 2020, which committed the Council to the principle of the 16 unit pilot valued at £400k and Officer time.
- Following legal advice to the Council that suggested there was a need for Secretary of State (SoS) permission for the disposal of HRA land currently in use as tenanted back gardens, a Report was taken to EDM in January 2021 to seek approval to apply to SoS for approval. The decision taken at this time was that the initial 2 units could proceed at risk whilst SoS permission was sought.
- The Mayor wrote to WCM confirming support for the project, copy attached as Appendix 1. This was to manage the expectations of WCM whilst the need for Secretary of State approval was considered and then sought.
- BCC legal advice sought on recommendation of EDM was that whilst 14 unit “pilot” that would be rolled out following approval by SoS was just under the £500k key decision threshold it may be more transparent for Cabinet to review the scheme prior to further rollout of the scheme. There is a question as to how the timing of this may impact on the roll out of the next three units.

Next steps

1. **Micro Sites Approval Process:** There are critical points in the rather complex process of agreeing that a plot is suitable, enacting the changes in the tenancy and the agreements to lease for the land transfers for this scheme. These need to be agreed with all relevant Services Areas within the Council and with We Can Make and will require formal approval/sign off. It is proposed that this Micro Sites Approval Process should have EDM sign off to ensure that all parties are committed to it and have a shared understanding of the decision taking sequence for transparency and to avoid unnecessary delays and demands on officer time.
2. **Cabinet Approval:** A Cabinet Paper will be taken in December seeking formal agreement for the disposal of the next 14 Micro Sites that complete the WCM pilot. It will bring together all the current agreements and approvals and will also establish the requirement for a review of the Pilot, prior to a further Cabinet decision on rolling out the programme further. It is proposed this review commences in the second quarter of 2022, to coincide with the final Pilot units being submitted to planning by September 2022 (WCM deadline).
3. **G&R EDM:** As part of the Decision Pathway to Cabinet, the draft report will be taken to EDM on 6th October 2021. Officers will also use this opportunity to seek formal sign-off of the Micro-Sites Approval Process.
4. **Communications & Messaging:** WCM should be made aware of this timeline, and in the spirit of the letter from the Mayor, given confidence that while any work they progress around planning for the next 3 sites is technically at risk until a Cabinet decision is made, the Council remains committed to seeing the

delivery of the pilot project.

We Can Make
Knowle West Media Centre

Dear

Thank you for your email and for re-iterating the aims of We Can Make. We support your aims and are keen to work with you.

At the crux of any disagreement between us is our respective legal advice. Our legal opinion differs from yours and we are advised that we do need the permission of the Secretary of State in these arrangements. We are not in a position to take substantial risk to progress with BCC land transfers for all requested sites without that permission.

I can confirm that we are releasing the land for your first two plots; one on Belstone Walk and one on Novers lane, and we are doing so without Secretary of State approval for these developments. Doing so, at risk, demonstrates our support for your aims. As a result, *We Can Make* will be free to construct on those plots, subject to planning approval.

I understand there are plans for an additional 14 numbered plots, when appropriate void properties are found and volunteer host properties come forward.

It is important to note that we have already taken steps to ensure the agreement of landlord services to the fencing off of gardens and for void units to be let with smaller gardens. These are also clear demonstrations of our support.

I note that you propose for your development programme to continue in parallel with BCC seeking Secretary of State confirmation and I recognise this means you can continue to prep for planning, put finance in place, and be ready for construction.

I understand your point and can confirm we are happy for you to proceed with the clear understanding that, until such time as we receive Secretary of State Agreement, we will not dispose of any land associated with the additional 14 plots.

You are therefore, free to progress with Planning drawings and submission of planning applications for up to the agreed maximum of a further 14 plots but that this is done at your organisation's risk in relation to fees and services associated with gaining such planning consents.

For clarity, once Secretary of State has issued approval, we will dispose of land to WCM on the same terms as the current two plots. If we do not receive approval, the land will not be disposed and be retained by Bristol Council as garden areas for associated HRA houses.

For further information, our legal team has already been instructed to seek Secretary of State approval and that request is in progress.

I hope you will see that we maintain our support and goodwill to your intentions and the aims as laid out in your email and will continue to work with you as a housing delivery partner.

Yours sincerely

Kevin

Kevin Slocombe
Head of the Mayor's Office

Decision Pathway – Report Template



PURPOSE: Key decision

MEETING: EDM- Executive Director Meeting (former DLT)

DATE: 08 January 2021

TITLE	Disposal of Land to We Can Make Community Interest Company (“WCM”) for the Micro Plot Pathfinder Community Led Housing initiative – Decision in relation to Secretary of State consent.	
Ward(s)	Filwood Ward	
Author: Elaine Olphert	Job title: Head of Housing Delivery	
Cabinet lead: Marvin Rees	Executive Director lead: Stephen Peacock	
Proposal origin: BCC Staff		
Decision maker: Officer Decision forum: Officer Meeting		
Timescales: Decision required Jan 2021		
<p>Purpose of Report: To seek a decision from EDM in relation to Secretary of State consent on the disposal of HRA vacant land to We Can Make Community Interest Company (WCM) taking into consideration legal advice</p> <p>The proposal of the scheme is for a Council Tenant to voluntarily surrender their current secure tenancy and take a new secure tenancy with a smaller back garden. The part of the back garden surrendered will then be transferred to We Can Make Community Interest Company who will provide a new modular affordable housing micro unit in the space.</p> <p>At this stage the Council is working on a pilot of 16 units. The purpose of the pilot is a learning process to; establish the best way of WCM and BCC working together, to tease out any challenges or issues, to establish proof of concept and to establish the merits of rolling out the model on a larger scale.</p> <p>Legal advice by Council lawyers is that Secretary of State consent should be obtained to the proposed scheme on the basis that it is likely that there are no general disposal consents available to authorise the transfer of HRA land without Secretary of State consent. Counsel’s advice states that although there is no definitive answer, the risk of challenge by way of judicial review is high and Secretary of State consent should be sought.</p> <p>WCM sought independent legal advice and sent this to us. They take a different view and advise that the Council is able to rely on General Housing Disposal Consent A1 on the basis that the land can be declared “vacant land”. Legal advice for the Council is not in agreement with this simplistic conclusion as can be seen in paragraph 8 of counsel’s opinion attached at Appendix A.</p> <p>The commitment from the Council for all 16 pilot units is £400k of Council reduced stock value, land undervaluation and Officer time. The existing rent of the Council property will remain unchanged and hence there is no impact to the Council’s revenue income. Decision approved by SHLT 25th November 2020.</p> <p>If the 16 unit pilot proves successful a full cabinet report will be presented to gain approval to scale up delivery. At this stage the possible requirement for Secretary of State consent along with other issues the pilot teases out will be fully presented.</p> <p>Given Counsel’s legal opinion regarding the disposals and the risk of legal challenge, the Council is intent on seeking</p>		

approval for the scheme from the Secretary of State. However, the Council also recognises the need to continue to progress the project to safeguard funding and community support and is therefore proposing to release the land for the first two plots; one at 2 Belstone Walk, BS4 1QS and one at 139 Novers Lane, BS4 1QP without Secretary of State approval for these developments. As a result, *We Can Make* will be free to construct on those plots, subject to planning approval. *We Can Make* will also be able to progress with Planning drawings and submission of planning applications for up to the agreed maximum of a further 14 plots, but this will be done at the organisation's risk in relation to fees and services associated with gaining such planning consents. When Secretary of State approval is secured the Council will dispose of land to WCM on the same terms as the current two plots. If approval is not received then the land will not be disposed and will be retained by Bristol Council as garden areas for associated HRA houses.

Evidence base:

We Can Make Background and Update

This paper reports on We Can Make pathfinder community led housing project.

The Council has previously verbally agreed to explore a possible disposal of land to Knowle West Media Centre (KWMC) at a peppercorn i.e. at an under valuation, in order to enable delivery of new affordable homes via micro plots through an initiative called We Can Make. In addition, the previous and current Cabinet Members for Housing Delivery have provided their support and assurances that the project will proceed with a land transfer from the Council. KWMC has incorporated a not for profit entity 'We Can Make Community Interest Company', to act as the body to facilitate this initiative (referred to as 'the CIC' in this report). It is intended that in the longer term completed new build affordable housing units will be transferred to a newly incorporated community benefits society in the form of a Community Land Trust (CLT). The homes will be held by the CLT to ensure affordable homes in perpetuity.

Knowle West is an area of high deprivation and disadvantage in the city and We Can Make was set up in response to community demands and concerns about housing need. It works with the community to create affordable homes at 'point of need'. The Council is partnering with Knowle West Media Centre in the delivery of this pilot as one of its key pathfinder projects for housing delivery via community led housing. By doing this the Council is able to utilise existing land resources in Knowle West, provide affordable housing and to deliver significant social value outputs as detailed in the attached social value calculator and associated text (attached appendix B1 & B2). This initiative strongly aligns with the Council's Corporate Strategy commitment to: *"support community build housing offering local communities, Community Land Trusts, local builders, eco-homes and self-builds the chance to identify land and empty buildings for redevelopment and bring forward appropriate council land to kick-start development"*. In addition, it aligns to the Council's Corporate strategy commitment to: *"taking an asset-based community development approach by working with communities and partners to transfer assets and power to greater numbers of people so they have more involvement"*.

Drawing on the existing resources of this low density neighbourhood (c25 units per hectare) We Can Make is intending to unlock micro-sites for development across the estate. Modern Methods of Construction are used and homes are produced in KWMC's factory based in Knowle West, a community-based digital fabrication space. Production localises and diversifies housing supply. We Can Make have a local trades directory to help supply local tradespeople for the construction of the homes and delivers training and other employment opportunities for local people. Funding has been secured from Innovate UK to invest and develop capacity in the KWMC factory as a quality housing fabrication facility. Funding and support has also been received from The Nationwide Foundation and Homes England.

We Can Make have fully engaged with the City Design team in advancing a design code to ensure quality design. Planning applications have been submitted on the first two plots namely 139 Novers Lane and 2 Belstone Walk. The planning determination deadline was the 7th September 2020. There is currently a delay however the Planning Officers are working with Knowle West Media Centre and are seeking to determine the two applications at the

earliest. The programme was scheduled for a start in factory MMC production in September this year with units intended to be completed in March 2021. However current developments on the land disposal issue have served to delay timescales somewhat.

Current issues

In order for the projects to progress, WCM identify Council Tenants to voluntarily surrender their existing tenancy and to enter into a new tenancy with a smaller garden boundary. The tenant is able to nominate the first new tenant for the newly constructed home on the micro plot subject to housing need and Council approval. Subsequent tenant selections will be made by the We Can Make community interest company, in consultation with the Council Tenant in the host council property and in line with a local lettings policy agreed with the Council.

The Council cannot dispose of land without Secretary of State consent unless a general consent applies. The consent We Can Make lawyers believe they can rely on is the General Housing Disposal Consent A3,2 which allows the disposal of “vacant land” at an under-value. This is based on; the land being voluntarily surrendered, separated from the garden, transferred from HRA to the General Fund at net nil value and then transferred to We Can Make CIC. (Draft Memorandum of Understanding attached at appendix D)

Legal advice for the Council is that the land may not be classed as vacant land due to the fact that it is currently the garden of a dwelling house.

External Counsel concluded in their advice (attached at Appendix A, dated 20th July 2020 at point 12 that);

“I am afraid that i [sic] am unable to give a definitive answer to the question as now posed. It all rests on the Interpretation of what land may be defined as “vacant”, given its prior association as the garden of a dwelling. I am not aware of any decisive authority on the point. It follows that the council may decide to pursue this path, but that it (and any party with which it contracts) should be prepared to face a challenge (probably by way of judicial review) the determination of which will require consideration of the meaning of general consent a and the conclusion of which may result in the disposal being adjudged void. If this route is to be taken, i strongly advise asking the Secretary of State for his own view beforehand, in writing.”

It should be noted that asking the Secretary of State for a view on any course of action is not possible, as outlined in Section 10 of the relevant Government’s Circular¹ on this issue: ‘It will be for the local authority to decide whether any proposed disposal requires specific consent under the 1972 Act, since the Secretary of State has no statutory powers to advise authorities that consent is needed in any particular case.’ It would therefore be necessary to make a full application for consent to the scheme from the Secretary of State to obtain authority for the scheme.

The risk identified if we proceed without consent from the Secretary of State is that a successful challenge by judicial review or from the Secretary of State could result in the scheme being declared as unlawful and void. This could result in the transfer/lease to We Can Make being invalid and the parties would need to be returned to the position they were in before the transfer.

Mitigations to the risks identified are:

1. The proposal ensures the existing tenant obtains independent legal advice to ensure the current tenant understands the implications of the proposed tenancy changes. The tenant will be made fully aware that they relinquish control over the occupation of the new property after the first letting.
2. Completion of the tenancy surrender and entering into a new council tenancy with smaller garden will take place prior to disposal of any land to the CIC.

¹ Circular 06/03: Local Government Act 1972 general disposal consent (England) 2003 disposal of land for less than the best consideration that can reasonably be obtained

3. The lease granted to the CIC to be terminable if BCC's ability to make the disposal is successfully challenged, such that BCC will be able to regain control of the land.
4. The CIC entity incorporated by Knowle West Media Centre is to provide an indemnity to BCC to further support this protection, with such indemnity covering all costs incurred by BCC in removing any buildings developed on the land.

It is not possible to determine the precise amount of time it would take to obtain Secretary of State consent but Officers understand that the granting of Secretary of State consent could take considerable time. The Council has worked in partnership with Knowle West Media Centre over the past two years to bring the pilot to this critical stage. The community in Knowle West has been fully engaged in the pilot and there is significant risk of reputational damage that will need to be managed if the project is paused at this stage.

EDM are therefore asked to consider a risk based approach for the 2 initial pilot units at 2 Belstone Walk and 139 Novers Lane to proceed, on the basis of the proposed mitigation measures whilst the Council seeks Secretary of State approval to release a further 14 sites for the 16 unit pilot programme.

Officer Recommendations:

Approval is sought to proceed with disposal of Council land for the first two sites to We Can Make Community Interest Company to facilitate the project as set out in this report with mitigating measures in place, whilst seeking consent from the Secretary of State for disposal of a further 14 units,.

Corporate Strategy alignment:

This will support delivery of the Fair & Inclusive Key Commitment:

1. Make sure that affordable new homes are delivered in Bristol.
2. Taking an 'asset-based community development' approach we will work with communities and partners to transfer assets and power to greater numbers of people so they have more involvement.
3. This will support the delivery of the Empowering and Caring Key Commitments: Prioritise community development and enable people to support their community.
4. support community build housing offering local communities, Community Land Trusts, local builders, eco-homes and self-builds the chance to identify land and empty buildings for redevelopment and bring forward appropriate council land to kick-start development
This will support delivery of the Fair and Inclusive Key Commitment: Help develop balanced communities which are inclusive and avoid negative impacts from gentrification.
5. This will support delivery of the Well Connected Key Commitment: Reduce social and economic isolation and help connect people to people, people to jobs and people to opportunity.

City Benefits The proposal will increase the supply of affordable housing and local jobs which will be of benefit to the whole city.

Consultation Details: Knowle West Media Centre has undertaken a range of consultation events with local residents, community groups, stakeholders and members to ensure their project delivers homes that meet local need.

Background Documents:

1. EDM update paper 19th Nov 2019 - Appendix C
2. Draft Memorandum of Understanding for land transfer November 2020 – Appendix D

Revenue Cost	£	Source of Revenue Funding	<i>Insert specific service budget</i>
Capital Cost	£	Source of Capital Funding	<i>e.g. grant/ prudential borrowing etc.</i>

One off cost <input type="checkbox"/>	Ongoing cost <input type="checkbox"/>	Saving Proposal <input type="checkbox"/>	Income generation proposal <input type="checkbox"/>
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Required information to be completed by Financial/Legal/ICT/ HR partners:

1. Finance Advice

Financial Impact on HRA

The value of any land to be appropriated from the HRA to the General Fund has been determined as £80k this needs to be verified by the council's surveyors. Assets of an equal value will have to be appropriated from the General Fund to the HRA, so there is no direct implication for the overall value of HRA assets. However, with the detaching of plots from individual properties, there will be a reduction in the remaining value of those properties, estimated at £20k per unit. Any subsequent Right To Buy receipt from those units will potentially be reduced. Given the number of different factors involved, which include the individual discount calculations as well as market factors, it is not possible to quantify this.

The statutory rent calculations are not affected by the transaction, so in the absence of any policy decision to vary rents, the rental income to the HRA is unchanged.

Financial Impact on the General Fund

The asset that has transferred to the General Fund will then be disposed to the Community Interest Company at a nominal value only. As a result, the General Fund will incur a loss on disposal, which will need to be reflected on the balance sheet.

Although the risk of a challenge to the disposal of the land is partially mitigated by the potential cost of removing any buildings developed being covered by the CIC indemnity, this does not include the cost of any potential judicial review that would have to be met by the Council.

Finance Business Partner: Wendy Welsh, Finance Manager, 4th December 2020

2. Legal Advice:

S32 Housing Act prevents disposal of HRA land without consent of the Secretary of State unless the disposal falls within the General Housing Consents 2013. Legal Advice for the Council advises that there are no General Housing Consents we can rely upon for this scheme. Secretary of State Consent is in the process of being obtained.

Due to timescales with obtaining SoS consent, this report is requesting authority to proceed with two properties in advance of SoS consent being granted. There is a risk of challenge and whilst the mitigating measures referred to in the main body of the report do not alleviate the fact that the scheme could be outside the legal powers of the Council, they do reduce the risk and provide an arguable defence for the Council. Limiting the authority to two properties prior to achieving SoS consent also alleviates the risk for the Council in the absence of authority for the larger scheme.

Legal Team Leader: Andrew Jones 30 October 2020

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

IT Team Leader: Simon Oliver dated 15th October 2020

4. HR Advice: There are no HR implications evident'

HR Partner: Celia Williams dated 15th October 2020

4. Procurement Advice: There are no procurement implications evident.

Category Manager: Matt King, Commercial Systems, Performance and Strategy Manager 28th October 2020

5. Reputational narrative: *Please contact public.relations@bristol.gov.uk for their comments, and copy/paste the email text in this section.*

PR officer: *PR officer to enter their name to confirm they have provided comments on the full and final report and the date.*

EDM Sign-off	[name]	[date]
Cabinet Member sign-off	[name]	[date]
For Key Decisions - Mayor's Office sign-off	[name]	[date]

Appendix A - Counsel's advice dated 20th July 2020	YES
Appendix B1 - Social Value Calculator	YES
Appendix B2 - Social Value Text	YES
Appendix C - EDM update report dated 24th November 2019	YES
Appendix D - Draft Memorandum of Understanding for Land Transfer	YES
Appendix E - Letter to We Can Make from the Mayor's Office	YES

Appendix A
We Can make Decision Taking Framework

We Can Make: micro-site process. Key stages and decision points (green), completion (red).

	Step	Requirements	Key documents	Lead	Decision takers	Notes/reflections/changes needed
1	Suitable household (including new tenant) and potential micro-site identified through We Can Make community engagement.	Confirmation that eligibility criteria as set out in Local Lettings Policy can be satisfied: <ul style="list-style-type: none"> - One of recognised housing needs; - Registered on Home Choice/ Eligible for Home Choice - Local Connection - Become member of WCM - Consent for info exchange with BCC 	Local Lettings Policy WMC list of potential sites and families. WCM Equalities Policy and Action Plan.	WCM team	WCM	Informal List. WCM will check for eligibility and at point of formal participation in the project ensure applicant is on Homes Choice.
2	1 st Outline site viability assessment	Desk-top survey and site visit. Production of outline site sketch with WCM home.	Outline viability assessment and site proposal.	WCM team	WCM	
3	Permission to engage with BCC from potential host tenant/applicant	Host and applicant agree to data sharing; grant access to site for surveys etc and give permission for WCM to talk to BCC about the potential tenant's housing situation.	Data sharing agreement	WCM team	Host household/Applicant	

4	Risk check with BCC	H&LS consider risk factors for host household and applicant	Consider ASB, rent arrears, housing need etc	BCC H&LS Named Point of BCC Contact: Estates Team Leader	BCC	Target time that BCC respond once have info from WCM – 4 weeks Form which contains all info and checks on a sharepoint site so can be updated easily/quickly
5	Site approved as suitable by BCC	BCC assesses suitability of site from Property and H&LS perspective including relevant property searches	In principle BCC agreement to proceed	WCM/BCC Named Point of BCC Contact Property Development Manager	BCC	Property: BCC ownership, access issues, constraints/covenants H&LS – management/maintenance issues Target time – 6 weeks
6	BCC housing team sign off to approve eligibility of applicant/host households	Includes confirmation that the applicant for We Can Make home meets Homechoice eligibility criteria.	LLP/ Agreement on eligibility	WCM/ BCC allocations team Named Point of BCC Contact Estates Team Leader	BCC	Target time – 4 weeks
7	Participation agreement	Sets out roles and expectations; explains WCM model including rent forecasts, nomination rights, land transfer process;	Participation Agreement	WCM team	WCM/Host household/Applicant	WCM to send copy of agreement to BCC
8	2nd level viability checks on site –	Requires site access, site surveys, topographical	Site Survey report.	WCM team.	WCM	Host tenant can give permission for access for non-intrusive works

		(surveys/inspections to be non-intrusive).				
9	Co-Design process to develop outline proposal for site	Engagement with host family and prospective tenant(s); neighbours etc. Outline building footprint and massing, and access produced for site (both final build and construction period). Confirmation that host household/applicant happy with proposed outline design.	Co-Design report which provides detailed brief for design team.	WCM team	WCM	
10	BCC Valuation of site to be transferred to WCM and approval in principle for disposal	BCC Property services to carry out valuation. Agreement to dispose to be signed off by relevant Officer.	Valuation, Executive Officer Decision (EOD) Report	BCC Named Point of BCC Contact Enabling Manager	BCC	EOD in accordance with overarching Cabinet approval for the roll out of further 14 units.
11	Preparation of the set of documents/ agreements to enable transfer of land.	a. Nomination agreement , to be entered into between WCM CIC and the host tenant, to provide the host tenant with the opportunity to nominate the first occupier for the new property once it has been constructed; b. Conditional Agreement for termination of the host	Nomination agreement. New tenancy agreement (BCC standard template with appendix of additional conditions	BCC Legal/Property/H&LS Named Point of BCC Contact Enabling Manage	BCC, WCM, host tenant/s	These documents need to be prepped prior to tenant receiving independent legal advice. Note- the site plan may be subject to change following detailed planning. How to take account of this? Can changes be appended

		<p>tenant's existing tenancy and the grant of a new tenancy to the host tenant, to be entered into between WCM CIC, host tenant and BCC (to append agreed form of notice to quit and the new form of tenancy, which will exclude the land which is to be developed.</p> <p>c. Conditional Agreement for lease to be entered into between BCC and WCM CIC (to append agreed form of lease), to be conditional on (i) completion of the termination of the existing tenancy by the host tenant (ii) planning permission for the development being granted and (iii) WCM CIC obtaining funding for the development.</p> <p>Host tenant cannot sign new tenancy if rent arrears.</p>	<p>covering access, front garden)</p> <p>Plan of site including ownership on land between host home and WCM home; shared access areas.</p> <p>Agreement for lease.</p>			<p>without voiding the independent legal advice?</p> <p>Want to be using templates as far as possible to ensure cost and time efficiencies.</p> <p>Conditional contract needs to be drafted early in this process. Property to instruct Legal</p>
12	Formal independent legal advice for WCM host tenant	Host tenant receives independent legal advice on how the We Can Make model works, including forecast rent	Confirm to BCC this has been issued	WCM Team	BCC confirm	

		level, nomination rights, access requirements and the legal documentation listed in vii below, prior to signing.				
13	Entry into Agreements to enable land transfer once conditions are met.	<p>Signing of the following documents:</p> <p>a. Nomination agreement</p> <p>b. Conditional Agreement for termination of the existing tenancy and the grant of a new tenancy to the host tenant.</p> <p>c. Conditional agreement for lease to be entered into between BCC and WCM CIC.</p>	<p>Nomination agreement</p> <p>Conditional Agreement for termination of the existing tenancy and the grant of a new tenancy</p> <p>Conditional agreement for lease</p>	BCC legal/WCM Named Point of BCC Contact Enabling Manager	WCM/BCC/Host Tenant	to allow WCM CIC to carry out further design work with assurance the project will proceed once planning and other conditions are met.
14	Full proposal developed for submission to planning	Meets Community Design Code; planning policy.	Planning submission.	WCM Team		
15	Planning consent achieved and construction funding in place.		WCM evidence conditions met – eg planning ref; letter from funder, letter from solicitor	WCM	BCC	

	NTQ check		Check host tenant still meets condition-eg no rent arrears		BCC	
16	NTQ and Exchange of contracts	<ol style="list-style-type: none"> 1. NTQ by host tenant. 2. Exchange lease agreement between BCC and WCM CIC with exact layout/ownership plan 3. New tenancy for host home prepared & signed 	Notice to Quit - 4 weeks, possibly less if agreed	BCC/WCM/host tenants	BCC Legal/H&LS/Property & Host tenant	<p>New tenancy cannot start until expiry of NTQ. Lease agreement cannot complete until new tenancy starts.</p> <p>Start date to be four weeks from NTQ unless agreed shorter NTQ period.</p>
17	Completion of land transfer	<p>New tenancy commences</p> <p>Lease agreement signed and sealed</p>	New tenancy, Lease agreement, completion statement	BCC Legal/H&LS/WCM	BCC Legal/H&LS/WCM	
18	We Can Make take possession of the micro-site and commence pre-construction works and build.					Process/timeframe for ongoing communication/progress reporting to BCC to be agreed

Draft 20.09.2021

6 January 2021

1. Background and Purpose of Report

Bristol City Council is proposing to dispose of part of rear gardens of council tenanted homes in the Knowle West area of the city by way of granting long leases at less than best consideration to a community interest company who will provide a new modular affordable housing on the land (“the scheme”).

Under the scheme participating Council tenants will voluntarily surrender their current secure tenancy and take a new secure tenancy with a smaller back garden. The tenant is then able to nominate the first new tenant for the newly constructed home on the micro plot subject to housing need and Council approval.

At this stage the Council is working on a pilot of 16 units to establish the merits of rolling out the scheme on a larger scale.

This valuation report is to accompany the Council’s APPLICATION FOR SECRETARY OF STATE’S CONSENT TO DISPOSE OF LAND OR PROPERTY UNDER SECTION 43 OF THE HOUSING ACT 1985. The report is not to be relied upon by any other party or for any other purpose.

The hope is that by applying for in principle consent to the whole it will not then be necessary to seek consent for individual properties which could run into the hundreds if the scheme is successful.

The valuation report considers the impact of the scheme on individual homes by way an example property and an illustrative residual appraisal of a micro plot to provide general guidance on the value of the rear gardens which will make up the scheme.

The report does not attempt to value the scheme as whole - the scale of which, in terms of the total number of individual garden disposals, is still to be determined. Should the scheme be rolled out by the Council on a large scale it is likely that this will be over a period of many years over which time property prices will fluctuate.

Assuming a disposal of the example property, at less than best consideration under the scheme, we have provided valuations for the unrestricted value, restricted value, the value of any voluntary conditions and discount as defined by the RICS UKGN5. These valuations are for illustrative purposes.

2. Scheme Location: Knowle West

The scheme is limited to the residential suburb of Knowle West, situated approximately 2 miles south of Bristol City Centre.

Knowle West is an area of high deprivation. The area is characterised by predominantly low-density housing with large sized plots, comprising both front and rear gardens. Properties are typically arranged in a two-storey semi-detached or short terraced pattern of brick construction under pitched, tiled roofs.

Most of the homes in Knowle West were constructed in the 1930s as part of a Council estate to cater for Bristol’s growth at the time, however, disposals under the right to buy scheme mean that local authority owned housing is now interspersed with homes in private ownership.

3. Proposed Lease Terms

Under the scheme the Council is proposing to dispose of rear gardens of selected properties to a

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Rear gardens of BCC council homes
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community interest company on the following principal terms and conditions:

Tenant	We Can Make (CIC No 12779789)
Permitted development	A home constructed in accordance with the Planning Consent
Lease Term	125 years
Premium	£1
Rent	One peppercorn per annum, if demanded.
Outgoings	The Tenant will be responsible for all outgoings.
Repairs and Insurance	The Tenant will be responsible for the full repair and insurance of the micro site and home.
User	Residential
Easements	The Council will grant all necessary easements and rights of access across its retained land to serve and access the micro site.
Services	The Tenant will be responsible for the installation and separation of services to serve the micro site and home.
The Improvement Scheme	The Tenant will agree to deliver an agreed improvement scheme for the front garden of the house (including the installation of a bin store and cycle store).

4. Example Property

Property	██████████, Bristol, BS4 1QS
Location	The property is in ██████████, Knowle West a cul-de-sac comprising of similar semi-detached homes. See Plan 1 and 2 for location and site plans.
Description	A three-bedroom, two storey, semi-detached house of brick construction under a pitched tiled roof. The property benefits from a front garden and a large rear garden.
Condition	We have assumed that the property is free from any major defects and is in an average condition compared to similar houses of the same size, age and type in Knowle West.
Rear Garden	The part of the rear garden for disposal comprises and area of approximately 140 square meters, measured using online mapping, as shown edged and shaded red on Plan 4 below.
Date of Inspection	6 January 2021 - limited to an external inspection from the roadside only.
Tenure	Freehold
Tenancy Summary	The property is currently tenanted, however, under the scheme it is intended that the part of the back garden which is excluded from the new tenancy will be available with vacant possession.
Council Tax Band	Band A
Environmental	For the purposes of this report we have assumed that the property is not at

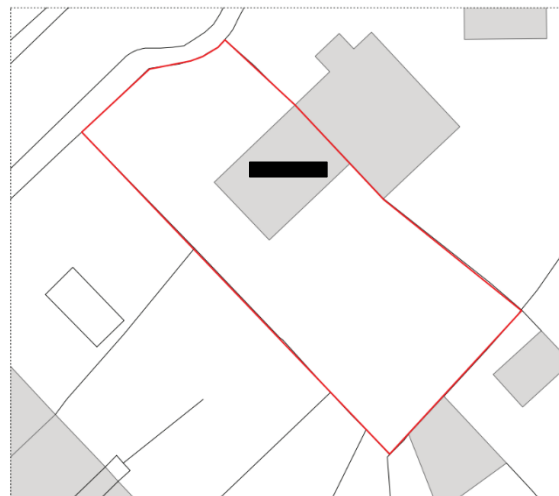
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	risk from flooding and that garden is free from ground contamination and Japanese knotweed and no abnormal development costs would be incurred.
Planning	The property is not located within a conservation area or within any other designation. We assume that the house and garden benefit from planning consent for the existing residential use. We are aware that the rear garden offers potential for the development of a one-bedroom, one-person micro unit, however, we consider that it is unlikely that a larger dwelling would be permitted.

Photographs



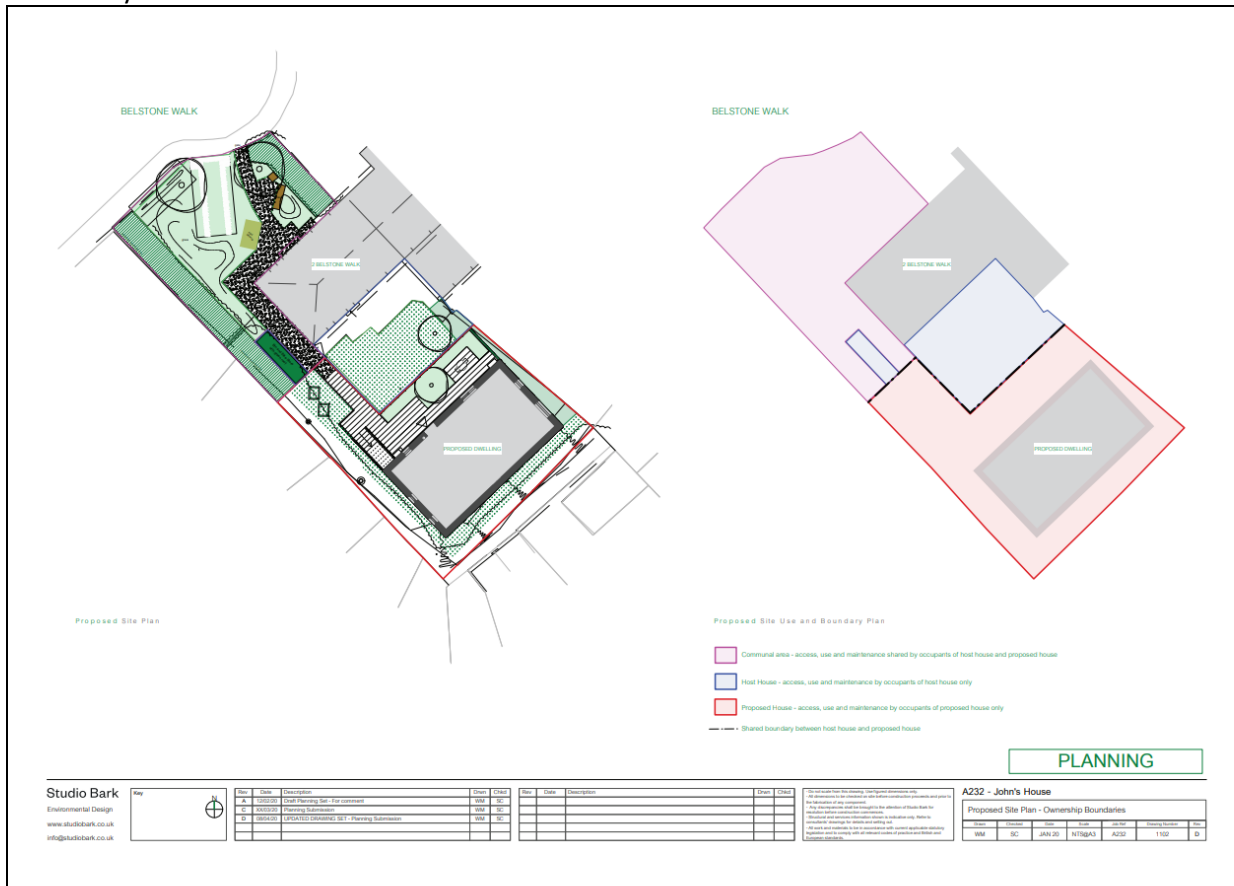
(left) Plan 1 - Location Plan and (right) Plan 2 (R) Site Plan



(left) Plan 3 - Proposed Micro Home Layout and (right) Plan 4 – Rear Garden Boundary

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Rear gardens of BCC council homes
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Residential Market Commentary and Comparable Transactions

The residential property market in Bristol is strong with prices continuing to rise in 2020 despite the global pandemic and economic uncertainty.

According to property website Zoopla the average price paid in Bristol in the last 12 months was £334,606 which is above the South West average of £299,256.

The average house price in the BS4 postcode was £276,718 which is below the Bristol average.

House Prices:

We are aware of the following sales of similar 3-bedroom, semi-detached, former local authority homes within a half mile radius of Belston Walk which were completed during 2020.

Sold	Address	Type	Sale Price	Tenure
11-Sep-20	Wallingford Road, BS4 1SJ	3 bed semi-detached	£213,000	freehold
26-Aug-20	Novers Hill, BS4 1QX	3 bed semi-detached	£230,000	freehold
10-Jul-20	Maytree Avenue	3 bed semi-detached	£289,000	freehold
29-Jun-20	Leinster Avenue, BS4 1NP	3 bed semi-detached	£226,000	freehold
05-Jun-20	Wicklow Road, BS4 1JY	3 bed semi-detached	£192,500	freehold
22-May-20	Langhill Avenue, BS4 1TN	3 bed semi-detached	£205,000	freehold
27-Mar-20	Lisburn Road, BS4 1NG	3 bed semi-detached	£219,000	freehold

Excluding the highest and lowest recorded transactions the sales are all within the range £205,000 to

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£230,000 with an average selling price of £218,000.

New Homes:

We are not aware of any directly comparable transactions for micro sites in Knowle West or Bristol generally. There are several schemes which have been built or are under construction in the wider South Bristol area.

- A scheme of 82 homes by Persimmon Homes off Willis Way at Imperial Park achieved an average £/per sq.ft of £280. Most of these sales were completed in 2018 and 2019.
- A development by Barratt Homes at Filwood Park off Hengrove Way achieved figures in the range £241 to £321 per sq.ft., mostly for 3 and 4 bedroom homes which were completed in 2019 and 2020.
- At Urban Quarter, a scheme by Kier Living an average selling price of £309 per sq.ft was being achieved as of Q3 2020.

Additionally.

- Elim Housing Association are developing a scheme of six shared ownership units, consisting of one and two bedroom flats, and a two bedroom house at Novers Hill. Advertised prices start at £80,000 for a 40% share in a one bedroom flat.
- Auctioneers Maggs and Allen are offering a newly constructed, 2 bedroom house in a cul-de-sac location at 30a Gerrard Close, Filwood Park, Bristol, BS4 1UH at a guide price of £170,000.

Garden Land:

During 2020 we are aware that the Council completed the following sales of surplus garden land in Bristol.

- Land fronting [REDACTED], Ashton (for driveway and garden) 50 sqm sold for £1250 completed 31/07/20 equates to £25/sqm.
- Two pieces of land adjoining [REDACTED] totalling 29.31sq m sold for £750 completed 06/01/20 equates to £25/sqm.
- Land adjacent to [REDACTED], Henbury sold on a 999-year lease for garden purposes in August 2020 for £1,925 which equates to £25/sqm.
- Land adjacent [REDACTED], Hengrove sold for £25/sqm.in December 2020.

Valuation Considerations and Methodology

Based on the comparable transactions we consider that the market value of the existing property is within the range £205,000 to £230,000. As the property benefits from a cul-de-sac location we value the property near to the top of the range at £225,000.

In a scenario where the rear garden is reduced in size and a unit is developed on the land there will be a diminution in the value of the property due to the loss of part of the garden, the loss of some privacy and the general inconvenience and disturbance of having a new dwelling close by and sharing a side access and some facilities. This will inevitably make the property less attractive to buyers and we therefore consider that the value of the property will be reduced towards the bottom end of the range of prices for similar homes. We value the property at £205,000 in this scenario.

We have calculated the value of the garden land, based on existing use, having regard to the comparable transactions above and using a rate of £25 per sqm. This produces a valuation of £3,500.

We have considered the value of the garden with the benefit of planning consent for a micro-home

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separately by producing a residual appraisal which is at Section 5 of this report.

Valuations

(a) Market Value of the existing property	£225,000
(b) Market Value of the existing property on the special assumption that the rear garden has been sold by way of a long lease and a micro unit has been developed on the land under the scheme.	£205,000
(a - b) Diminution in Value of the existing property as a result of the scheme.	£20,000
(c) Market Value of rear garden for existing use assuming a long leasehold disposal.	£3,500
(a - b) + (c) Market Value of rear garden for existing use assuming a long leasehold disposal + diminution in value of the existing property as a result of the scheme	£23,500

5. Residual Appraisal

Residual Value of a typical Micro Home Site on the Special Assumption of Full planning consent for the Micro Home.

Valuation Considerations and Methodology:

We have produced a residual appraisal to ascertain our opinion of the residual value for a typical micro site assuming planning consent for a micro unit on the land.

The residual analysis determines a price that could be paid for the site given the expected 'as if complete' value of the proposed development and the total cost of the proposed development, allowing for market level profit margins and having due regard to the known characteristics of the property and the inherent risk involved in its development. It is our opinion that in the open market a prospective purchaser would rely heavily upon the residual analysis as this method reflects the expectations of a purchaser in relation to costs, selling, prices, profit margins, etc.

We have assumed a single storey, 1 bed, 1-person micro unit of 463 sq.ft.

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Having regard to comparable sales and reflecting the location and a premium for new build we have adopted a Market Value for the completed home of £129,500 per unit or £279 per sq. ft, albeit there is no direct evidence from the sale of micro units in the back garden of an existing Council house on the Knowle West estate. The development is therefore unique.

We have adopted construction costs based on BCIS estimates and made allowances for externals, utilities and contingency. We have adopted professional fees as well as disposal and finance costs. Actual build costs for the scheme using modern methods of construction may be different.

We have adopted a profit on cost of 20% which is in line with the market.

We have made an allowance for CIL payments.

We have adopted the following inputs:

GDV Inputs		
Open Market:	463 sq. ft.	
	£129,500	£ 279 per sq. ft.
Construction Costs		
Main Build Cost:	£71,251	
Landscaping & Infrastructure:	10%	
Utilities:	5%	
Contingency:	5%	
Professional Fees:	10%	
Planning Obligations:		
CIL Payments:	£3,209	
S106:	£2,500	
Marketing Costs:		
Agency, Legal and Marketing:	2.5%	
Acquisition Costs:		
Stamp Duty:	£0	
Agent and Legal Fees:	2.5%	
Targets:		
Finance Rate:	6.5%	
Profit on Cost:	20%	
Land Value:		
Residual Land Value:	£1	

Sensitivity:

The residual method of valuation requires the input of many subjective variables. Variations in sales prices, construction costs and other inputs can have a significant impact. We have therefore undertaken a sensitivity analysis to demonstrate how the changes in input data affect values in the following ways: -

- Increase in gross development value by 10 % and decrease in costs by 10% - Land Value is increased to £19,500.
- Decrease in gross development value by 10 % and increase in costs by 10% - Land Value is **-£20,000**.
- Gross development value and costs unchanged, nil developers' profit – Land value is £21,000.

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Conclusion:

Our residual appraisal shows that the micro unit site produces only a nominal land value, based on prudent inputs including a developer's profit of 20%. However, we would still expect a plot with full planning consent for a micro unit to attract offers from self-builders, small builders, not for profit ventures and others who may be prepared accept a lower profit margin and/or may be able to construct the dwelling at a lower cost through the use of their own labour or resources. Demand is likely to be fuelled by the scarcity of available plots at affordable prices in Bristol generally.

Based on our sensitivity analysis we estimate a land value in the range £10,000 to £20,000 may be achievable should such a plot be sold on the open market. However, unless the residual land value generated by the unit is greater than the resultant diminution in the value of the retained home and the existing use value of the garden, as shown in the example property, an open market transaction at this level between a willing seller and a willing buyer is unlikely to happen unless the seller is motivated by the need for an immediate receipt over long term equity, or by factors which are not purely financial.

6. Commentary and Analysis

The residual appraisal demonstrates that the development of micro units on back gardens in Knowle West is unlikely to happen on anything other than a small scale, if at all, without subsidy through funding for the development or through the sale of land at a discount, or a combination of both and possibly other forms of intervention from the public and charitable sector.

As the seller of rear gardens of council tenanted homes Bristol City Council is not incentivised financially to dispose of the land unless a buyer is willing to pay the market value of the garden and compensation for the diminution in value of the retained home as a minimum. In the case of the example property at [REDACTED] this sum is calculated to be £23,500 (£3,500 + £20,000).

This sum is above the residual land value for the micro unit plot, however, the community interest company involved in the scheme does have a special interest which we have taken into consideration in our assessment of the unrestricted value reported at Section 7 as defined by the RICS UKGN5. We consider that it would be reasonable for the Council, which is not a forced seller prepared to sell at any price, to demand the sum of £23,500 from the community interest company were it not intending to transfer the land at less than best consideration.

In practice these other circumstances will rarely exist, if they ever exist at all, as there may be no willing buyers at this level and it is only through the scheme itself that the Council is able to obtain vacant possession of gardens at scale and is proposing to dispose of those gardens.

The value of any voluntary conditions has been calculated as £3,500. This figure represents the capital sum we have attributed to the improvement scheme for the front garden of the house to include the installation of a bin store and cycle store. Whilst we do not have actual costs for these works, the works themselves will add value to the retained property by improving the appearance of the frontage in an area where front gardens are generally low quality and poorly maintained.

Whilst this report has examined an example property for the purposes of providing an illustration, we anticipate that as the properties and gardens involved are broadly similar in type, location, size and value, similar sums can be expected at today's values where the scheme is rolled out more widely, albeit individual valuations will be required in due course. On this basis the pilot scheme of 16 properties could reasonably be expected to equate to a disposal at a discount in the region of

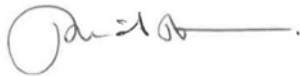
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£320,000.

7. Valuations of the rear garden of the example property at 2 Belstone Walk
Valuation Date: 06/01/2021

Unrestricted value:**£23,500****(Twenty Three Thousand Five Hundred Pounds)****Restricted value:****£1****(One Pound)****The value of any voluntary conditions:****£3,500****(Three Thousand Five Hundred Pounds).****Discount: unrestricted value – (restricted value + the value of any voluntary conditions)****Say £20,000****(Twenty Thousand Pounds)**

Signed.



Jay Ridsdale MRICS

Peter Quantick MRICS (RICS Registered Valuer)

APPENDIX D

We Can Make Risk Register

Negative Risks that offer a threat to We Can Make 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	Micro sites don't become available	Host tenants won't or can't participate	Full 14 unit pilot not achieved. Additional affordable homes not delivered. Impact on WCM factory production/jobs	open	Fair & Inclusive, Empowering and Caring	Barriers to delivery	WCM/BCC	Agreed process for BCC check and approval of hosts early on	improved	3	3	9	0	2	3	6	Oct-21
R002	Planning permission not achieved on future micro sites	Design not acceptable, lack of pre-app engagement with planning	Full 14 unit pilot not achieved. Additional affordable homes not delivered. Impact on WCM factory production/jobs	open	Fair & Inclusive, Empowering and Caring	Barriers to delivery	WCM/BCC	Design code developed with BCC Urban Design input, first two applications successfully achieved PP. Early preapp with BCC DM team	improved	2	3	6	0 (design & feasibility costs for WCM)	1	3	3	Oct-21
R003	Funding not secured by WCM	BCC AHFP not available, not eligible for Homes England funding	Full 14 unit pilot not achieved. Additional affordable homes not delivered. Impact on WCM factory production/jobs	open	Fair & Inclusive, Empowering and Caring	Barriers to delivery	WCM/BCC	BCC seeking to reopen AHFP 2022. WCM seeking RP status and ability to bid to HE.	static	2	5	10	BCC + £1,330,000 grant not paid	2	5	10	Oct-21
R004	Issues arise between host tenant and WCM tenant resulting in housing management intervention from BCC	Lack of compatibility or change of circumstances of host and/or WCM tenant leading to management issues	BCC reputational risk and demands on BCC housing management staff	open	Fair & Inclusive, Empowering and Caring	Reputational / management risks post delivery	BCC	WCM sign up to BCC Governance/Finance and Management Standards for CLH. Lease includes BCC step in rights in last resort. WCM ensure tenants and host compatible/well informed at outset.	improved	2	3	6	BCC staff time	1	3	3	

Appendix F

Eco Impact Checklist

Minimising energy requirements; 2. Incorporating renewable energy sources; 3. Incorporating low-carbon energy sources.

Disposal of Land (We Can Make pilot)				
Report author: Bryony Stevens Enabling Manager				
Anticipated date of key decision 14.12.2021				
Purpose of Report: To seek Cabinet approval for the disposal of BCC under-utilised garden micro-sites for the further roll out of 14 We Can Make homes; according to the approved decision-making framework for the selection and transfer of the micro sites; and to be subject to the approved process and timescale for review of the pilot prior to any further roll out of the We Can Make project on BCC owned sites.				
Will the proposal impact on...	Yes/No	+ive or -ive	If Yes...	
			Briefly describe impact	Briefly describe Mitigation measures
Emission of Climate Changing Gases?	yes	-ive	There will be emissions from construction materials, works and in use.	<p>Efficiency: The dwellings have been designed to exceed Building Regulations requirements (Part L1A 2013) and to maximise energy and CO2 reduction through demand reduction measures including a combination of passive design measures (e.g. building design and efficient building fabric) and building services such as – Decentralised Mechanical Extract Ventilation (dMEV), low energy LED fittings throughout. Overall 50% better than conventional brick/masonry homes in embodied carbon of homes.</p> <p>Renewables and heating: There will be a 20.53% saving on typical energy use per home through the use of solar</p>

				<p>electricity generation and heating using air source heat pumps. This equates to 1.9 tonnes per annum. Solar generation will be reduced if panels are shaded at certain times of day.</p> <p>Embodied emissions: There will be a 50% reduction in embodied emissions for MMC modules than for typical construction materials.</p> <p>Travel: Bike sheds and EV charging provision will make zero carbon transport easier.</p>
Bristol's resilience to the effects of climate change?	yes	-ive	<p>Homes may be subject to flood risk or overheating during extended periods of hot weather.</p> <p>Increasing housing will add to the pressure on the city's utilities, transport and green infrastructure.</p>	<p>The approach to development is soft-densification of existing neighbourhoods. Infill development enables adaptation of existing housing stock to add resilience, increase density, and efficient use of existing urban infrastructure (roads, services etc). and thereby provides an alternative to more carbon intensive new build on new greenfield sites.</p> <p>Flood risk will be considered during planning applications.</p> <p>Overheating will be addressed in the design. Dual aspect opening windows and roof lights will allow good cross-ventilation and mechanical extract ventilation will also be</p>

				<p>included. The modular micro-homes units are designed to make it easy to clip on shade canopies where needed.</p> <p>Prefabricated MMC usually provides better airtightness than traditional construction methods.</p>
Consumption of non-renewable resources?	No	+ive	Heating will be from renewables	A feasibility study evaluating the suitability of various low/zero carbon and renewable technologies was undertaken and recommended installation of air source heat pumps and Solar PV Panels.
Production, recycling or disposal of waste	yes	+ive	Will create waste	Recycling facilities will be provided and waste reduction encouraged for residents. MMC approach and local production of panellised components reduces construction waste.
The appearance of the city?	Yes	+ive	Will impact on appearance of established low rise residential developments in Knowle West by creating additional dwellings on under used garden sites.	<p>Developed Design Code for micro-sites to ensure development is high-quality and adds to character of the neighbourhood.</p> <p>Development of micro-site includes improvement of front gardens of host homes, including bin & bike stores, bio-diverse planting and training for residents in how to manage their gardens.</p> <p>Where parking spaces are needed in front gardens, they will be</p>

				green planted spaces.
Pollution to land, water, or air?	No	-tive	Will not increase pollution	<p>Local manufacture of panelised construction components will reduce pollution caused by transport of construction materials. On site use of MMC will reduce on site waste and pollution during construction process.</p> <p>Engagement with neighbours, adequate sound insulation of new homes, shorter construction times and compliance with Considerate Constructor guidance will minimise the risk of noise or dust nuisance.</p>
Wildlife and habitats?	yes	+ive	Development of new homes in existing gardens could adversely impact wildlife and habitats.	<p>Development of the micro-sites includes landscape and planting of micro-site and host home which will actually enhance wildlife habitats and support biodiversity. This includes bio-diverse planting, bin and bike stores with green roofs, and wildlife supporting kit including bug hotels, hedgehog homes, and sensors to remind people to water thirsty plants.</p> <p>The aim is both to create new homes that make space for nature, improve existing gardens, and build people's connection and confidence to engage with nature through training, and community events.</p> <p>Green roofs on the</p>

				micro-homes and other options for achieving biodiversity net gain will be considered after the first two pilot homes.
Consulted with: We Can Make CIC				
Summary of impacts and Mitigation - <u>to go into the main Cabinet/ Council Report</u>				
<p>The significant impacts of this proposal are the creation and use of additional dwellings that will create CO2 emissions and waste.</p> <p>The proposals include the following measures to mitigate the impact with 20% reduction in CO2 emissions through use of renewables, ASHP heating systems, LED lighting and fabric first design. MMC with components produced locally to reduce waste and transport pollution in construction and 50% reduction in carbon emissions compared to traditional masonry construction. Homes and gardens designed to enhance biodiversity and reduce run off through addition of green roofs. Recycling encouraged by provision of new waste/recycling stores. The effectiveness of mitigation will depend in part on planting decisions and any shading of solar panels.</p> <p>The net effects of the proposals are likely to be an increase in short and long term emissions, and a loss of green space, but these will be mitigated as far as reasonably possible. Changes in the appearance of homes and gardens are likely to be beneficial and there may be small improvements in climate resilience.</p>				
Checklist completed by:				
Name:		Bryony Stevens		
Dept.:		Housing Delivery		
Extension:		Mobile		
Date:		06/09/2021		
Verified by Environmental Performance Team		Giles Liddell, Project Manager - Environmental		

Extracts from Energy Report on Novers

The building has been designed to exceed Building Regulations requirements (Part L1A 2013) and seeks to maximise the energy and CO2 reduction through demand reduction measures.

These typically include a combination of passive design measures (e.g. building design and efficient building fabric) and active design measures (e.g. Building services).

From the outset a high standard of sustainable design and construction has been incorporated into the design of the proposal. To reduce CO2 emissions high level of high-performance insulation has been specified. Through increased thickness and an improved thermal conductivity of the insulation the UValues for the thermal elements will exceed the Building Regulations Part L1A standards.

These high levels of insulation will help to contain heat within the dwelling therefore reducing demand on the heating and associated CO2 emissions.

The buildings use a range of MMC systems and environmental performance is a critical part of the PPQ selection process, matching the right MMC system to the right site.

For the first two homes, WCM used the blokbuild construction system. This is a digitally enabled, offsite timber construction system that uses CNC technology in controlled factory environments to provide adaptable, efficient and creative solutions for the built environment.

This assists with maximising the fabric efficiency by minimising thermal bridging.

The ventilation strategy consists of system 3 – Decentralised Mechanical Extract Ventilation (dMEV). Continuously running mechanical extract fans will be located in kitchens and bathrooms to remove odours and excessive humidity. A boost facility provides rapid extraction when necessary to remove higher levels of pollutants. Although on for longer hours, these units have a low specific fan power which means that the system requires reduced amounts of energy to run effectively.

The lighting used will be low energy LED fittings throughout defined as having an efficacy greater than 45 Lumens/circuit Watt.

As part of the Bristol heat hierarchy Stage 6, consideration has been given to renewable technologies to supply the heating to the development.

The Be Green emissions improve upon the Be Lean stage by 20.53%. This satisfies Policy BCS14 of the Bristol Core Strategy as more than a 20% reduction in CO2 emissions has been achieved directly through the use of renewable technologies.

When compared with the Building Regulations Target Emission Rate the dwellings have improved upon CO2 emissions by a margin of 20.53%. 9.13 The inclusion of ASHP reduces the energy demand by 50.83% when compared with Building Regulations target energy demand.



Equality Impact Assessment [version 2.9]

Title: We Can Make Community-led Housing Initiative	
<input type="checkbox"/> Policy <input type="checkbox"/> Strategy <input type="checkbox"/> Function <input type="checkbox"/> Service <input checked="" type="checkbox"/> Other [please state] <i>Housing scheme</i>	<input checked="" type="checkbox"/> New <input type="checkbox"/> Already exists / review <input type="checkbox"/> Changing
Directorate: Growth and Regeneration	Lead Officer name: Bryony Stevens
Service Area: Housing Delivery	Lead Officer role: Enabling Manager



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.

We Can Make (WCM) is a community-led housing initiative that aims to deliver new affordable homes at point of need on underused Council-owned land, including the rear gardens of existing Council properties. It has been developed by the Knowle West Media Centre (KWMC) community organisation and is focused on the Knowle West area. We Can Make (WCM) is a Community Interest Company (CIC) set up by KWMC to develop and manage the new affordable homes on these sites. The Council will dispose of the micro plots to WCM at a peppercorn i.e. at an under valuation, on long-term leases. BCC has agreed in principle for WCM to undertake a pilot of 16 units on BCC owned sites. WCM has two sites under construction, and BCC are working with WCM to identify and approve suitable sites for future WCM development.

Knowle West has relatively high levels of deprivation and the housing stock in the area is largely older family-size Council houses with generous garden plots. There is a lack of smaller affordable homes and the project has identified that there are unmet housing needs that can be met locally through development of underused land. The scheme seeks to facilitate opportunities for community support between households. It has been developed with considerable engagement from the local community. The aim is for micro-plots to be created by Council tenants voluntarily giving up part of their back garden for development of an additional affordable home. In these instances, the existing tenant has input to the nomination of the first tenant for the new home and the existing tenant benefits from improvements to their external space/garden. There will also be opportunities to create micro plots in suitable back gardens of void properties prior to reletting. In these instances, the first and subsequent tenants will be allocated through the WCM Local Lettings Policy (LLP).

The value of the We Can Make approach to diversifying and increasing the supply of affordable homes, lies in the fact that it creates a truly additional supply of land and homes that would not be possible other than through a localised community-led approach. It requires a high level of trust, local knowledge, and stewardship.

The WCM lettings and nomination policies set out that applicants must be in housing need and be registered on Bristol Home Choice and have a connection to the local area. The existing tenant has input to the nomination for first allocations to WCM homes that are in the former garden of an existing tenant. The new homes are built using

a Modern Method of Construction (MMC) that involves assembly of pre-fabricated panels that are being produced at a local factory, also run by WCM. The aim is for the factory to offer employment and training opportunities for local people, and the opportunity for future tenants of the WCM homes to assist in the manufacture and construction of their homes. It also reduces the CO2 emissions created by the development by producing the building components a short distance from the sites, thus reducing the need for transportation of materials over long distances.

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: The We Can Make scheme has potential to affect quality of life/standard of living of existing BCC tenants and other residents of Knowle West area and also to affect access to housing. This EQIA is particularly concerned to ensure that the Local Lettings Policy does not discriminate on basis of protected characteristics and is transparent in how WCM homes are allocated.

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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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
<p data-bbox="132 210 756 241"><u>Filwood statistical ward profile 2021 (bristol.gov.uk)</u></p> <p data-bbox="108 1688 727 1756">Research undertaken by KWMC in partnership with UWE School of Architecture,</p>	<p data-bbox="807 210 1027 241">Age and disability</p> <p data-bbox="807 248 1437 535">Filwood has an age distribution with higher than average under 15s. 25.2% of residents aged 65+ are receiving a community-based service. It has higher than average % of people with illness or health condition which limits day-to-day activities at least a little (36% compared to Bristol 25%). Life expectancy in Filwood is lower than the Bristol average – especially for males.</p> <p data-bbox="807 584 1155 616">Poverty and disadvantage</p> <p data-bbox="807 622 1453 757">39% of school children are on free school meals, and 44% disadvantaged. Neighbourhoods within the ward are amongst those in Bristol scoring highest on the indices of deprivation.</p> <p data-bbox="807 799 1082 831">Ethnicity and diversity</p> <p data-bbox="807 837 1466 1043">Filwood is less ethnically diverse than Bristol overall with 9.9 % Black and Minority Ethnic compared to 16% for Bristol as a whole. There is a higher than average population of ‘Other Asian’ residents. 9.4% of residents were born outside of the UK, and 6.1% speak English as an additional language.</p> <p data-bbox="807 1086 1070 1117">Community Cohesion</p> <p data-bbox="807 1124 1461 1294">Only 51% of residents feel they belong to their neighbourhood and 59% think people of different backgrounds get along well together. 58% of residents feel anti-social behaviour is a problem locally (34% Bristol overall).</p> <p data-bbox="807 1337 995 1368">Housing supply</p> <p data-bbox="807 1375 1441 1615">There are significantly less than average numbers of flats and significantly more semi-detached homes in the area. Overcrowding is relatively high. The proportion of socially rented homes is higher than average (41%) compared to Bristol as a whole (20%). The supply of private rented homes is significantly lower (13%) than Bristol overall (25%).</p> <p data-bbox="807 1688 1461 1827">Included 200 doorstep interviews on sample streets in Knowle West, during Feb-April 2017. Respondents were asked about their support for and views on the We Can Make initiative. Key findings were:</p> <ul data-bbox="962 1872 1441 2112" style="list-style-type: none"> <li data-bbox="962 1872 1441 1973">• 90%: agreed development of micro-sites were a good idea for Knowle West <li data-bbox="962 1980 1441 2047">• 73% agreed it was a good idea for their street <li data-bbox="962 2054 1441 2112">• 36% would be interested in using some of their own land

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.

Diversity monitoring is required as part of the HomeChoice Bristol Housing Allocation Scheme. However, there are gaps in our citywide equality data for some characteristics e.g. sexual orientation, especially where this has not historically been required in statutory reporting.

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 Can Make has undertaken extensive consultation with tenants and the wider community. This has included:

- A series of co-design workshops with tenants and community representatives to identify ways tenants could better meet their own housing needs, and to develop the overall community-led approach to unlocking micro-sites.
- A series of co-design workshops and public exhibition made with tenants and community representatives to develop a Community Design Code for Micro-Sites.
- Existing BCC tenants who volunteer to give up a part of their garden for a micro site have been fully consulted and provided with independent legal advice.
- New tenants who move into a property where a micro site has been created from the garden will have the scheme and the new development fully explained and given the choice whether to take up a tenancy in that property without any penalty as to further offers of housing through BCC.
- A previous EQIA relating to the WCM factory proposal (2019) highlighted the need to consider how the needs of equality groups would be met through the proposal. The project made a commitment to promote opportunities widely using networks that reach equalities groups and economically challenged communities.

The We Can Make proposal has been developed to engage people from protected characteristic and under-represented groups. For example, they will ensure a range of marketing materials depict a diverse range of participants.

Throughout the project KWMC will ensure it fosters good relations between people who share a protected characteristic and those who do not (including tackling prejudice and promoting understanding between people from different groups). Material promoting and inviting people to participate in workshops (eg design code workshops; planning consultations) includes positive images and representation of people from a diverse range of backgrounds, and this is followed up in social media coverage of WCM events.

The low carbon construction/retrofit and SME support/training aspect of the project actively targets support for people who may lack entrepreneurial experience and appropriate skills, or who face entrenched attitudinal barriers and/or structural inequality such as women, and people from minoritised ethnic backgrounds. For its MMC construction training workshops We Can Make has a target that participants must be 50% female. All workshops and training programmes so far have not only met, but exceeded this target.

KWMC actively targets opportunities to women by working with local organizations such as the Children's Centre. KWMC/We Can Make works to create positive spaces and opportunities for people from Black, Asian and minority communities to engage with the project and take on leadership roles, helping to reach out and welcome other people from diverse communities. For example, We Can Make has employed a local young Black woman as the Chief Reporter on its podcast series, which documents and shares the story of We Can Make and also employed a young woman of Chinese heritage to be the host of a Chat Show series, and is the voice of WCM short films and publicity.

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.

WCM provide bespoke consultation with the tenants who opt-in to the scheme. This consultation package includes:

- A viability assessment to check that the We Can Make approach is a suitable way of meeting their housing needs and that they are eligible;
- A participation agreement, which the tenants sign, that sets out how the project will work; their role in it;
- Independent legal advice which sets out target rent levels, the legal process; their rights; and the land assembly process; their involvement and rights in nomination process for any future lets.
- Co-design workshops to develop the specific design of their micro-site home.

There will be a process of review of the 16 unit pilot to assess how it has worked in practice and highlight any issues to be resolved for further roll out. This will comprise:

- a. Interviews with host BCC tenants and WCM tenants to assess satisfaction with the scheme;
- b. Findings of WCM consultation with neighbours/local community to gauge satisfaction/support for the initiative;
- c. Review of EQIA and assessment of equalities impacts to be carried out jointly by BCC and WCM;
- d. BCC Assessment of value for money/social value and sustainability of the scheme.

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)	
<p>Whilst we have not identified any significant negative impacts from the proposal at this stage, we are aware of the following issues for people on the basis of their characteristics which we will seek to mitigate / address:</p> <ul style="list-style-type: none"> the focus on housing local people, the emphasis on community support and the local connection criteria in the Local Lettings Plan has potential to exclude people from diverse communities and backgrounds, given the relatively less diverse nature of the community in Knowle West host tenants may be hostile or discriminatory towards some groups of people based on their protected characteristics new properties may not be suitable or fully meet the needs of potential tenants in terms of accessibility or adaptability <p>These issues can be mitigated / will be addressed because:</p> <ul style="list-style-type: none"> the Local Lettings Policy will operate within the parameters of the <u>HomeChoice Bristol Housing Allocation Scheme</u> which has clear eligibility and prioritisation criteria, and has been subject to a separate equality impact assessment process the WCM Equality and Diversity Policy sets out the organisations' framework for challenging discrimination, including for housing nominations and allocations, management of tenancies, meeting funders' needs and project delivery, dealing with volunteers, suppliers, supporters and other associated third parties. we have recommended that WCM develop an equality action plan to address any emerging issues or under-representation, and include bias awareness training as part of roll-out of the scheme for staff, volunteers and host tenants there is an established diversity monitoring system in place for the allocation scheme the overall scheme is subject to the <u>Community Led Housing Land Disposal Policy & Self-Build Housing Land Disposal Policy</u>, which underwent a separate equality impact assessment process to ensure there is a fair and transparent process for disposal of land, and that future site development meets the needs of Bristol's diverse population the scheme is a pilot and learning (including in relation to equality and inclusion) will inform future / more large-scale projects 	
PROTECTED CHARACTERISTICS	
Age: Young People	Does your analysis indicate a disproportionate impact? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	Host tenants may be hostile or discriminatory towards young people
Mitigations:	WCM adhere to and promote their Equality and Diversity policy and adhere to Home Choice allocations scheme and its equalities requirements. WCM monitor to ensure that there is no bias/indirect discrimination in implementation of the LLP. On the other hand the employment/training aspects of the scheme may provide opportunities for young people.
Age: Older People	Does your analysis indicate a disproportionate impact? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	The scheme may not meet the needs older people in terms of accessibility or future adaptability
Mitigations:	See above mitigations
Disability	Does your analysis indicate a disproportionate impact? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>

Potential impacts:	The scheme may not meet the needs disabled people in terms of accessibility or future adaptability. Host tenants may be hostile or discriminatory to disabled people – particularly if they have hidden impairments or mental health problems.
Mitigations:	See above mitigations. WCM adhere to and promote their Equality and Diversity policy and adhere to Home Choice allocations scheme and its equalities requirements. WCM monitor to ensure that there is no bias/indirect discrimination in implementation of the LLP. WCM ensure that employment arrangements in the factory are compliant with the DDA and offer opportunities to people with disabilities.
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 checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	Host tenant may be hostile, homophobic or discriminatory towards people because of their sexual orientation.
Mitigations:	WCM adhere to and promote their Equality and Diversity policy and adhere to Home Choice allocations scheme and its equalities requirements. WCM monitor to ensure that there is no bias/indirect discrimination in implementation of the LLP.
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 checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	Host tenant may be hostile or discriminatory towards trans people
Mitigations:	WCM adhere to and promote their Equality and Diversity policy and adhere to Home Choice allocations scheme and its equalities requirements. WCM monitor to ensure that there is no bias/indirect discrimination in implementation of the LLP.
Race	Does your analysis indicate a disproportionate impact? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	The local connection criteria in the LLP and emphasis on community links may exclude people from minority ethnic backgrounds, and host tenants may be hostile or discriminatory toward people from different ethnic backgrounds
Mitigations:	WCM adhere to and promote their Equality and Diversity policy and adhere to Home Choice allocations scheme and its equalities requirements. WCM monitor to ensure that there is no bias/indirect discrimination in implementation of the LLP.
Religion or Belief	Does your analysis indicate a disproportionate impact? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	The local connection criteria and emphasis on community links may exclude people from diverse religions, and host tenants may be hostile or discriminatory toward people from different religious backgrounds
Mitigations:	See above. WCM adhere to their Equality and Diversity policy and ensure that a cascade mechanism is used for lettings. WCM monitor to ensure that there is no bias/indirect discrimination in implementation of the LLP.
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	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 scheme aims to provide additional low-cost housing for people in housing need and has potential to benefit people with characteristics who are more likely to face housing issues and homelessness. It has potential to enhance equality of opportunity by providing training to tenants with regard to neighbourliness and equalities and to provide opportunities for community-based support. The scheme has potential to offer training and employment opportunities for women, young people, disabled people, and people from diverse ethnic and religious backgrounds.

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:

Whilst there are no significant negative impacts identified at this stage, there is a risk that the scheme may not meet the diverse needs of citizens or that the Local Lettings Policy will favour only tenants from the local community who are of similar background and allow prejudice of host households to influence allocations. These risks can be mitigated through robust policies, and by an ongoing organisational commitment to diversity monitoring, and proactively addressing any emerging discriminatory impacts of the LLP.

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

The scheme is an opportunity to empower a community in an area with high levels of deprivation to provide new affordable housing with the active involvement of local people. It also offers opportunities for employment and training in an area of high levels of deprivation. There is also an opportunity to advance equality of opportunity and foster good relations between different communities. Learning from this pilot scheme can be used inform future large-scale projects.

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
Monitoring of allocations and review of equalities impacts of the implementation of the LLP and the WCM scheme more broadly and engagement with participants and people from the wider neighbourhood.	Louise Davidson/Bryony Stevens	Annually from inception of scheme and first allocations, Review of pilot September 2022

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.

- Increased affordable housing in Knowle West
- WCM diversity monitoring
- Relevant Housing / Community Quality of Life in Bristol Survey indicators by Ward and Equalities Groups

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: <i>Reviewed by Equality and Inclusion Team</i></p>	<p>Director Sign-Off:</p>  <p>Zoe Willcox, Director, Development of Place</p>
<p>Date: 18.11.2021</p>	<p>Date: 18.11.2021</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 December 2021

TITLE	New private rented property licensing scheme		
Ward(s)	Bedminster, Brislington West, Horfield		
Author: Tom Gilchrist, Jan Hamilton	Job title: Private Housing and Accessible Homes Manager. Senior Policy and Project officer, Private Housing		
Cabinet lead: Cllr Tom Renhard, Cabinet Member Housing Delivery and Homes	Executive Director lead: Stephen Peacock, Executive Director Growth and Regeneration		
Proposal origin: Councillor			
Decision maker: Cabinet Member Decision forum: Cabinet			
Purpose of Report: To seek approval to introduce additional licensing scheme to three wards – Bedminster, Brislington West and Horfield; selective licensing to two wards – Bedminster and Brislington West - and the proposed licensing fee structure.			
Evidence Base:			
<ol style="list-style-type: none"> 1. In Bristol, privately rented housing accounts for 30.3% (61,580) of the city’s housing stock (Building Research Establishment (BRE) Bristol Housing Stock Report, October 2020) – more than 10% above the national average of 19%. In Bedminster ward the private rented sector is 29%, Brislington West 25% and Horfield 31%. 2. Although most private landlords provide a good standard of accommodation and service to their tenants, many do not. Some houses are in poor condition and poorly managed, with a significant number let to vulnerable tenants who are unaware of their rights or the are aware of the minimum standards of accommodation their landlord should provide. 3. Using powers under Part 2 and 3 Housing Act 2004, it is proposed to declare: <ol style="list-style-type: none"> a. an Additional Licensing scheme in Bedminster, Brislington West and Horfield wards to tackle the substandard conditions and poor management of the Houses in Multiple Occupation (HMO’s) not currently covered by mandatory licensing; and b. Selective licensing schemes in Bedminster and Brislington West wards covering most other types of private rented housing. (see appendix A for full proposal). 4. Licensing gives the local authority resources and the power to proactively inspect the accommodation that meets the designation criteria to ensure property standards and good management practices are met. Property licensing enables the Local Authority to proactively inspect and deal with issues that would not otherwise come to our attention. 5. The evidence used to declare these Additional and Selective licensing areas is based on the findings from a Housing Stock Modelling Survey of the private rented sector (published October 2020), undertaken by the Building Research Establishment (BRE), using a range of data sources and the council’s own information relating to housing management and property conditions in the rented sector. 6. The BRE sampling found that 16% of HMOs in Bedminster, 11% in Brislington West and 10% in Horfield 			

wards, had serious hazards present and lower energy efficiency levels compared to the citywide average as well as notably higher levels of fuel poverty. 26% of all complaints received by the Private Housing teams relate to conditions in HMOs.

7. For Selective licensing the first criteria to meet is that there is a high proportion of Privately Rented Properties (PRS) in the area. The government definition of a high proportion is currently 19% of all housing (source: [English Housing Survey 2019-20](#)). In Bedminster ward 29% of dwellings; and in Brislington West ward 25% are in the PRS. The second criteria to be met is that it must meet one of six conditions – and in this case that condition is poor property conditions where a significant number of properties in the PRS are in poor condition and are adversely affecting the health and safety of the occupants. In Bedminster and Brislington West wards the level of disrepair and properties with actionable hazards under the Housing Act 2004, is higher than the citywide average. Licensing would enable the council officers to inspect these properties proactively in order to determine the incidence of category 1 or 2 hazards and ensure they are remedied so that a general improvement of property conditions in the designated area will be improved over the lifetime of the designation.
8. The BRE considered the impact of the council's previous licensing schemes and found that in comparing hazards in the PRS over a two-year period between the 2017 and 2020 stock modelling surveys, in areas where discretionary licensing schemes had been declared, there was a 43% (850 hazards remedied) reduction in serious hazard in rented accommodation in these areas.
9. In selecting the two areas where Selective licensing is being proposed, the age of the housing stock was also considered. 46% of residential properties in Bedminster ward were built before 1919 and 36% in Brislington West. Older homes are more likely to have issues with excess cold, poor insulation and damp. These areas have not been targeted with any previous local authority insulation improvement schemes in the past.
10. The proposed new licensing schemes will include an estimated 2,222 selective licensable dwellings and 686 additional (HMO) licenced properties. There are already 479 mandatory licensable HMOs in these three wards. These HMO's will not be covered by these proposals.
11. A fee will be required to be paid when a property licence application is made. The total income generated from fees charged will not exceed the total expected cost of the scheme. The proposed fee has been calculated on this basis. Without the licensing fee income, the council would not be able to operate the scheme. See Appendix A2

Cabinet Member / Officer Recommendations:

That Cabinet:

1. Approve the Additional licensing scheme in Bedminster, Brislington West and Horfield wards
2. Approve the Selective licensing scheme in Bedminster and Brislington West wards.
3. Approve the property licence fee structure for both schemes as per Appendix A2.

Corporate Strategy alignment:

1. The Fair and Inclusive theme highlights issues in the private rented sector. *"The Private Rented Sector continues to grow, bringing issues such as the insecurity of short-term tenancies and, for some, poor conditions or tenancy management."* It could also come under the Wellbeing theme. It is well documented that a healthy home environment contributes to the occupant's health and well-being.

City Benefits:

1. Demand for housing in Bristol is high resulting in the rapid growth of the private rented sector. This proposal will ensure that substandard housing conditions and the unsatisfactory management of properties are identified and improved to meet minimum housing standards, licensing conditions and ensure good management practises are followed. This will improve living conditions for renters, which includes some of the most vulnerable residents in the city.

Consultation Details:

1. A 10-week consultation was held between 17 March and 26 May 2021 with the assistance of the council's Communications and Marketing team.
2. 26,287 letters were sent to all those affected by the proposal i.e., private landlords, their tenants and residents living or with property in the affected wards, with a link to an online proposal document and survey form. Paper copies were available upon request.
3. Emails were sent to 6,924 landlords on the Landlord Database.
4. Emails were sent to local landlord and tenant organisations and the two universities and to West of England LAs.
5. Local ward councillors were briefed.
6. A presentation was given to 70 members of the West of England Landlord and Agent panel.
7. The consultation was publicised on the council's Consultation Hub, on private landlord's web pages and in a press release. There was also an item in the Our City e-newsletter and Ask Bristol newsletter.
8. It was also promoted in two editions of the Private Landlords monthly newsletter.
9. Social media posts were made weekly throughout the consultation period on Facebook reaching more than 16,000 people and Twitter reaching more than 110,000 people.
10. That the outcomes from the consultation broadly support the proposal. 1,411 responses were received and of those 818 (58.65%) agreed or strongly agreed that the proposed licensing schemes would help to resolve poor management and poor conditions of private rented properties in the proposed three wards.

Background Documents: [Building Research Establishment \(BRE\) Bristol Housing Stock Report, October 2020](#)

Revenue Cost	£2.2m	Source of Revenue Funding	The cost of the scheme is funded through licence fee income
Capital Cost	£n/a	Source of Capital Funding	n/a
One off cost <input type="checkbox"/>	Ongoing cost <input type="checkbox"/>	Saving Proposal <input type="checkbox"/>	Income generation proposal <input checked="" type="checkbox"/>

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

1. Finance Advice: The projected cost for two new rented property licensing schemes in three wards of the city is £2.2m and expected to issue just over 2900 licensing over 5 years. The scheme cost is funded within existing budget and there is no additional budget requirement.

It is estimated that additional Licensing for HMO will cost £798k and Selecting Licensing for dwellings will cost £1.450m over 5 years. The cost includes staff, set up cost and overheads to run the scheme. Please see appendix G with 5 years cost breakdown and fee schedule.

It is anticipated that 686 additional licensing and 2222 Selective licensing will be issued over 5 years with fee (before any discounts) of £1300 and £799 per application respectively. Please see fee schedule.

The total income generated by the scheme is required by legislation not to exceed cost (over its 5-year duration) the cost of processing applications and operating the scheme. Based on current projection there will be small deficit over 5 years. The potential shortfall could be covered by marginal increase in licence applications. In the event where there will be deficit at the end of the scheme, it will be covered within service budgets.

The greater part of scheme income will be received in the early years, so it is appropriate a reserve is operated to smooth out the income and achieve a better match with the costs entailed.

Finance Business Partner: Aisha Bapu, Principal Accountant, 7 October 2021

2. Legal Advice:

Appendix A1 sets out the statutory tests that must be met in order for the Council to have discretion to make the proposed designation. In summary the decision maker must be satisfied:

- That a significant proportion of the HMO's are being managed to give rise to the particular problems identified.

- That the proposal seeks to adopt a co-ordinated approach
- That there is consistency with the Council’s overall current housing strategy
- whether there are any other courses of action available to the council of whatever nature that might provide an effective method of dealing with the problems
- That the designation will significantly assist the council in dealing with the problems identified

The nature of the decision is discretionary and as such the decision maker must direct itself only to factors that are relevant, disregard the irrelevant and striving to achieve the purpose of the legislation make a decision that is rational and reasonable in law.

Consultation has taken place in relation to the decision to be taken. The Responses to the consultation must be taken into account by Cabinet when taking the decision. Cabinet should also be satisfied that proper consultation has taken place in that (i) proposals were consulted on are at a formative stage (ii) sufficient reasons have been given for the proposals and (iii) adequate time has been allowed for consideration and response. Appendix B1 of this report clearly sets out the process that was undertaken and how responses have been taken into consideration by officers when developing their proposals for final decision.

The Public Sector Equality duty requires the decision maker to consider the need to promote equality for persons with “protected characteristics” and to have due regard to the need to i) eliminate discrimination, harassment, and victimisation; ii) advance equality of opportunity; and iii) foster good relations between persons who share a relevant protected characteristic and those who do not share it.

The Equalities Impact Check/Assessment (Appendix E) is designed to assess whether there are any barriers in place that may prevent people with a protected characteristic using a service or benefiting from a policy. The decision maker must take into consideration the information in the check/assessment before taking the decision.

A decision can be made where there is a negative impact if it is clear that it is necessary, it is not possible to reduce or remove the negative impact by looking at alternatives and the means by which the aim of the decision is being implemented is both necessary and appropriate.

The decision maker should have regard to the regulators code insofar as the decisions being made would set standards that private landlords would have to comply with. The code can be found at https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/300126/14-705-regulators-code.pdf

The decision maker is asked to set fees at certain levels and Appendices A1 and A2 are clear that they do not exceed the amount that is allowed under statutory provisions. If the decision maker wanted to consider another level of fee, then further detailed financial information would be needed and further consultation should be undertaken with those likely to be affected.

Legal Team Leader: Anne Nugent, Team Leader (in consultation with regulatory lawyer Kate Burnham-Davies) Comments based on documentation provided on 2 December 2021

3. Implications on IT: The proposal does not introduce any new IT/Digital requirements; therefore no impact is anticipated on IT/Digital Services

IT Team Leader: Simon Oliver, Director Digital Transformation 15 September 2021

4. HR Advice: There are no anticipated HR implications.

HR Partner: Celia Williams, HR Business Partner, Growth & Regeneration 30 September 2021

EDM Sign-off	Stephen Peacock, Executive Director Growth and Regeneration	13 October 2021
Cabinet Member sign-off	Cllr. Tom Renhard, Cabinet Member Housing Delivery and Homes	18 October 2021
For Key Decisions - Mayor’s Office sign-off	Mayor’s Office	15 November 2021

Appendix A1 – Further essential background / detail on the proposal Proposal to introduce a new property licensing scheme Appendix A2 – Proposal fee structure	YES
Appendix B1 – Details of consultation carried out - internal and external	YES

The Property Licensing Proposal Consultation report has been published on the Consultation Hub	
Appendix B2 - Response and comments to consultation	
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 L – Procurement	NO

APPENDIX A1

Introduction of proposed discretionary licensing schemes in Horfield, Bedminster and Brislington West wards

1. Background

1.1 In Bristol, privately rented housing accounts for 30.3% (61,580) of the city's housing stock (Building Research Establishment (BRE) Bristol Housing Stock Report, October 2020) – more than 10% above the national average of 19%.

1.2 The private rented sector (PRS) offers flexibility in respect to tenure enabling people to move their accommodation to meet their requirements e.g., changes to employment, personal circumstances, access to schools and other facilities and moving closer to family and friends.

1.3 Although many landlords provide a good standard of accommodation and service to their tenants, there are a substantial number who do not. Given the demand for housing in the city, unscrupulous landlords take advantage of those who have least choice in the market due to their personal circumstances and offer substandard and poorly managed accommodation.

1.4 Licensing gives the local authority the resources and the power to proactively inspect the accommodation that meets the designation criteria to ensure property standards and good management practices are met. Property licensing enables us to proactively find and deal with issues that would not otherwise come to our attention.

1.5 The Government recognises that problems of poor management and housing conditions are not just confined to larger HMOs (Houses in Multiple Occupation) and significant concerns still exist in other private rented property. For this reason, they also introduced powers to Councils to declare areas where landlords are required to licence other rented properties in their areas, under the [Housing Act 2004](#) (the Act).

1.6 The evidence used to declare these Additional and Selective licensing areas is based on the findings from a commissioned Bristol Housing Stock Modelling Survey of the private rented sector (published October 2020) undertaken by Building Research Establishment (BRE), using a range of data sources, including **the council's own data** relating to poor management and substandard conditions and complaints received.

1.7 Generally, where we see high concentrations of HMOs there are more likely to be issues with anti-social behavior such as noise and waste which if left unchecked can impact the local community as evidenced by comments received during consultation. By introducing additional licensing schemes, the aim is to improve poor management and its associated problems for both the occupants of the HMO and for members of the public. Poor management practices will be improved by inspecting every property subject to additional licensing to identify serious hazards which are then remedied through following our Private Housing Enforcement Policy, as appropriate to require licence conditions or other legal requirements are met. See Appendix 3.

1.8 A selective licensing scheme may be introduced if the area to which it relates satisfies one or more of the conditions set out The Selective Licensing of Houses (Additional Conditions) (England) Order 2015. We propose to introduce the scheme under the criteria that there is a high proportion of Privately Rented Properties (PRS) in the area and there are properties in poor condition. The government definition of a high proportion is currently 19%¹ of all housing.

1.9 Introducing selective licensing to these areas would bring a general improvement of property conditions that now adversely affecting the occupants. This can be achieved by inspecting every property subject to selective licensing criteria to identify and remedy hazards. This again will be remedied through our enforcement powers under part 1 of the Act or other enforcement powers as appropriate and ensuring selective licensing conditions are met – see Appendix 4.

1.10 The BRE considered the impact of previous licensing schemes and found that in comparing hazards in the PRS in the wards where licensing schemes had been declared, over a two-year period between the 2017 and 2020 reports, they report that “The intervention work to mitigate hazards within these discretionary licensing areas has resulted in 850 of hazards being mitigated from the PRS stock in these wards. This is 43% of the number of hazards across these wards before mitigation work.”

1.11 The Council will charge fees to recover the cost of the proposed licensing scheme. This gives the Council the funds to set up and operate the scheme over its lifetime.

2. The Proposal

- 2.1 The report proposes to declare property licensing schemes to a further 3 wards. Horfield ward declared an Additional Licensing area
- Bedminster ward declared an Additional and Selective Licensing area
- Brislington West ward is declared an Additional and Selective Licensing area

It is estimated that there are approximately 2,222 dwellings that will require a selective licence and 686 HMOs that will require an additional licence. The total number expected to require a licence is 2,908. There are 14,345 dwellings in private ownership in these wards which means 20% of the dwellings in private ownership will need a licence.

A map of the proposed schemes can be found at Appendix 2

3. Type of property affected by each scheme

3.1 Additional Licensing – privately rented houses in multiple occupation (HMO)², which

¹ English Housing Survey 2019-20

² Meaning of HMO as defined in S254 Housing Act 2004

includes houses or flats occupied by **three** or more people who are NOT in the same family and who share some facilities, such as kitchens or bathrooms, and that are **not** subject to mandatory licensing nor those converted blocks of flats to which section 257³ of The Act applies.

3.2 Poorly converted properties are also not included in this proposal. These are HMOs which have been converted without building regulation approval which are mostly rented out. They are known as section 257 HMOs¹, which is the section of the Housing Act 2004 they are defined under.

3.3 Selective Licensing – Most other private rented properties that are not subject to additional or mandatory HMO licence

3.4 Please note: **Mandatory Licensed properties** – are HMOs occupied by **five** or more people who are NOT in the same family and who share some facilities, such as kitchens or bathroom. Mandatory licensed HMOs are **not required to have a further licence under this proposal**. They should already be licensed under the national mandatory scheme.

3.5 Certain types of buildings or parts of buildings are by law **not** subject to licensing. Schedule 14 of the Housing Act 2004 gives a list of properties excluded from HMO licensing and Selective licensing of Houses (Specified Exemptions) (England) Order 2006 SI 2006/370 gives the list of properties excluded from selective licensing. These can be found in Appendix 1 of this proposal.

4. Reasons for the proposed schemes

4.1 The [Housing Act 2004](#) (the Act) introduced discretionary property licensing (additional and selective licensing). These powers allow local authorities to require landlords and agents of some privately rented accommodation to license their properties to tackle problems of poor management and poor housing conditions. It helps tenants, residents, and members of the public where landlords have failed to properly manage their properties and tenancies.

4.2 Where additional licensing is proposed in the Bedminster, Brislington West and Horfield wards, evidence indicates that a significant proportion of HMOs are being managed sufficiently ineffectively which could lead to problems either for those occupying the HMOs, or for members of the public (section 56 of the Act).

4.3 Introducing an Additional Licensing scheme would improve poor management and its associated problems for both the occupants of the HMO and for members of the public. Poor management practices will be improved by inspecting every property that will be subject to additional licensing in the area, to identify serious hazards which will be remedied through enforcement under Part 1 of the Act, or other enforcement

³ Certain poorly converted HMOs under section 257 of the Housing Act 2004

powers as appropriate, and to ensure compliance with licensing conditions (see Appendix 3).

4.4 A selective licensing scheme may be introduced if the area to which it relates satisfies one or more of the conditions set down in The Selective Licensing of Houses (Additional Conditions) (England) Order 2015. In this case, the condition that has been met under this proposal is “*poor property conditions*” (see Appendix 5).

4.5 The introduction of selective licensing would bring a general improvement of property conditions that are adversely affecting the occupants in the area. This will be achieved by inspecting every property that will be subject to selective licensing in the area to identify and remedy serious hazards. This will be remedied through enforcement under Part 1 of the Act or other enforcement powers as appropriate, to ensure compliance with licensing conditions (see Appendix 4).

4.6 Where selective licensing is proposed in the Bedminster and Brislington West wards evidence indicates that a significant number of this type of accommodation is in poor condition, affecting the health and safety of the occupants. It is therefore considered appropriate for properties in the area to be subject to selective licensing and inspected to assess their condition and take appropriate action where serious hazards⁴ (category 1 Bands A-C or category 2 Band D hazards) exist.

5. Evidence

5.1 We are aware through complaints about the private rented sector that there are significant issues in the areas we wish to apply additional or selective licensing.

5.2 The BRE, who are the leading experts in stock modelling, were asked to report specific areas which have higher levels of private rented stock, poor conditions and signs of poor management and disrepair, which could be considered suitable for licensing schemes.

5.3 The BRE took Bristol City Council’s own private housing raw data – on complaints received, breaches in management conditions and actionable hazards already identified – and combined these samples with data from sources including the Local Land and Property Gazetteer, Council Tax, Experian, Energy Performance Certificate data, Land Registry, Tenancy Deposit Schemes, student housing and Ordinance Survey.

5.4 With this data the BRE were able to model property conditions in the private rented sector and identify areas where we could expect to find significant issues because properties are failing the minimum housing standards.

Additional Licensing

5.5 A significant proportion of the HMOs of that description in the area are being

⁴ A hazard is any risk of harm to the health or safety of an actual or potential occupier of accommodation that arises from a deficiency in the dwelling, building or land in the vicinity. Health includes mental health

managed sufficiently ineffectively to give rise, or be likely to give rise, to one or more problems, either for those occupying the HMOs or for members of the public.

5.6 The concentration of HMOs in Horfield is 41% (711), Bedminster 20% (355) and Brislington West 17% (221). Some of these are already licensable under mandatory licensing, but there are still an estimated 686 HMOs that would meet additional licensing criteria under this proposal.

5.7 Some of the worst concentrations of PRS stock with poorest conditions of HMO have been identified in the 12 central wards, which are already subject to an additional licensing scheme that was introduced in 2018. The areas selected for this designation are the wards that come next on the list of priority areas to be subject to licensing, according to the BRE analysis.

5.8 The BRE found that generally HMOs have higher levels of hazards, particularly falls hazards, which present a great risk of injury for those occupying the HMO. This is also our experience from inspecting these types of properties. The BRE sampling found that 16% of HMOs in Bedminster, 11% in Brislington West and 10% in Horfield, had category 1 hazards present.

5.9 Properties in the proposed areas were found to have lower energy efficiency levels compared to the citywide average. Bedminster and Brislington wards have an average SAP rating in the PRS of 59 and in Horfield 60. The SAP is the methodology used by the government to assess and compare the energy and environmental performance of dwellings. The higher the rating under simple SAP, the better. The scores run from 1 to 100.

5.10 Within these three wards there are also notably higher levels of fuel poverty – using the low income, high-cost definition – in HMOs (23% compared to the 15% citywide average) and low-income households (38% compared to the 20% citywide average). A property that is not well maintained to a satisfactory standard or properly insulated can be harder to heat as costs are higher. In turn this can lead to ill health.

5.11 26% (654) of all complaints received by the Private Housing Service relate to HMOs. Over the past five years the service has dealt with 433 properties in the three wards where poor conditions and the lack of amenities have had an adverse impact on the health, safety, and welfare of the occupants.

5.12 The complaints we have received have been made by tenants living in the PRS properties and we have provided reactive responses to their complaints. Some tenants making such complaints are be at risk of retaliatory eviction if the landlord objects to this action by the tenant. Licensing will enable us to be proactive and inspect all the HMOs and deal with the issues that we encounter, without the tenant having to make a complaint and put themselves at risk of retaliatory eviction.

5.13 At present where licensing schemes have not been introduced, we have few powers to rectify the problems before they get to a point where the tenants are suffering with the poor conditions. The tenants in undeclared areas must make a complaint before we can take any action. With licensing in place, we would have an opportunity to intervene to require landlords and agents to manage issues before they become a problem for the occupants.

5.14 Generally where there are high concentrations of HMOs, we are more likely to see problems of anti-social behaviour or issues such as noise and waste, which if left unchecked can impact on the local community.

5.15 In Bedminster ward we received 242 complaints about waste issues in the PRS (HMOs and non-HMOs) and 129 on domestic noise in the last five years. In Brislington we received 193 waste and 114 noise complaints and in Horfield 167 waste and 208 noise complaints.

5.16 Many of the smaller HMOs in these wards have not previously come under any kind of local authority scrutiny. Considering those that have come to our notice in the last five years under mandatory licensing — and from the data supplied by the BRE report — we would expect to find a significant number of HMOs that do not meet licensing or minimum housing standards.

5.17 Licensing gives us the resources to go into the whole area, which will reveal the issues of poor condition and management of properties which we can then address.

Selective licensing

5.18 In Bedminster and Brislington West wards there are around 2,222 properties that would meet local selective licensing criteria as set out in [The Selective Licensing of Houses \(Additional Conditions\) \(England\) Order 2015 – Article 4](#) (see Appendix 5 for further detail).

5.19 Under Selective Licensing designation, the criteria for opting to designate an area under poor housing conditions must have a high proportion of property in the private rented sector (PRS). The PRS makes up 19% of the total housing stock in England and any figure above this is considered to have a high proportion of PRS. In Bedminster ward 29% of properties are in the PRS and Brislington West ward 25%. They are let using assured tenancies or licences to occupy the property.

5.20 In these two wards, the levels of disrepair in the PRS (6% and 5%) and the numbers of properties with category 1 hazards (18% and 17% respectively) are higher than the Bristol average of 4% and 12% respectively. This means that a significant number of private tenants are living in poor housing conditions and there is a serious risk to their health and safety. It is therefore considered appropriate to inspect properties in these wards to determine whether category 1 or 2 hazards exist. NB Horfield ward did not meet the criteria for selective licensing at this time as the levels of disrepair (4%) / serious hazards (13%) was not worse than citywide average levels and was felt that most of the disrepair would be found in the HMOs included under the Additional licensing proposal.

5.21 The BRE looked at the impact of discretionary licensing schemes declared by the council. Data from two BRE reports from 2017 and 2019 was compared., The BRE found that when comparing the numbers of serious (Category 1) hazards for private rented properties in the wards where we had declared discretionary licensing schemes, there was a 43% (850 hazards) improvement over this two-year period. See also Table 14 and Maps 14 and 15 of the BRE report for further detail. (See Chapter 5 of the [Building Research Establishment \(BRE\) Bristol Housing Stock Report, October 2020](#))

5.22 We have also considered the age profile of the properties in the two wards. Given that 46% of residential properties in Bedminster ward and 36% of properties in Brislington West ward were built pre-1918, they are more likely to have issues with excess cold and damp. These areas have not been subject to any targeted local authority renewal or group repair schemes in the past.

5.23 The outcome of this scheme would lead to a general improvement in property conditions in the area through powers under section 3(1) of the Act and through the selective licence conditions imposed under s90 of the Act.

5.24 Outcomes from our previous discretionary licensing scheme have shown that where we have declared either Selective or Additional licensing schemes, we have made improvements to the housing in the area.

6. Previous Licensing Schemes

6.1 Bristol has declared three discretionary licensing schemes:

- Stapleton Road area
- Eastville and St George West wards
- Central area

6.2 Bristol City Council commissioned the BRE to consider the impact of previous licensing schemes and found that in comparing hazards in the PRS over a two-year period between the 2017 and 2020 reports, in areas where discretionary licensing schemes had been declared, there was a 43% improvement in the number of hazards found.

Stapleton Road area scheme

6.3 The Stapleton Road scheme ran from 15 April 2013 to 15 April 2018 as both additional and selective licensing so most privately rented properties in the area required a licence. In total 1,207 licences were issued.

Table 1: Statistical summary of outcomes

Detail	Number
Number of properties licensed	1,207
Number of inspections undertaken	2,485
Number of properties where at least one serious hazard identified	396 (33%)
Number of HMOs where management breaches identified	137 (68%)
Number of properties requiring improvements to meet licensing conditions	845 (70%)
Number of referrals made to other agencies/ Departments	204
Number of Service Requests received	1,549
Number of notices served both formal and informal	665

6.4 The Stapleton Road scheme was declared under the selective licensing anti-social behavior criteria (poor housing conditions had not been included in the legislation at that point).

6.5 Working within the constraints of the Housing Act 2004 has proved challenging to gain evidence that the landlord was the negligent party in respect of anti-social behaviour attributed to his/her property. However, notwithstanding these issues the licensing team has made a significant impact in reducing anti-social behaviour during the period of the scheme and these include noise, waste/refuse disposal, fly tipping, graffiti, and drug related problems.

6.6 The proactive and collaborative approach undertaken by the licensing team and its partners in tackling ASB during the 5 years duration of the scheme has been successful. The work carried out has sent a positive message to residents, landlords and tenants and other stakeholders that the area is valued and is respected. It also played its part in changing the perception of the area, from being neglected and run down to a vibrant, progressive, and dynamic place to live, work and visit.

6.7 The overall results show that there has been a considerable improvement in the condition and management of licensable private rented properties in the area. This means that tenants in licensed properties can be confident that their homes will meet the minimum housing standard.

6.8 Although enforcement action has been taken where landlords refused to engage with the council, the licensing team has worked in cooperation with most landlords to ensure improvements to their properties have been achieved.

6.9 Before the scheme was introduced many landlords were unaware of their legal responsibilities regarding the minimum legal standards required and the law concerning tenancies. The advice and guidance given by the licensing team and its partners has been received positively and has given landlords a clear understanding of what is required.

6.10 The wider partnership working has proved to be extremely successful, with direct enforcement action, community activities and referrals to other agencies. This has resulted in a cleaner and safer place to work and live. The close working with Tenancy Relations has also proved to be a major benefit for tenants experiencing problems with their landlords.

Eastville / St George West scheme

6.11 The Eastville / St George scheme ran from 1st July 2016 to 30th June 2021 as both additional and selective licensing so most privately rented properties in the area required a licence. This scheme was declared under the poor housing conditions criteria for selective licensing. In total 3,738 licences were issued.

Table 2: Outcome Stats- Eastville/ St George key outcomes so far

	Selective	Additional	Total
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Total number of licence applications received ⁵	3447	291	3738
Number of property licences issued	3336	280	3616
Number of inspections undertaken ⁴	3122	287	3409
Number of properties where at least one serious hazard resolved A-D ³	489	52	541 (15%)
Number of HMOs where management breaches identified	37	209	246 (87%)
Number of schedules issued requiring works to meet licensing conditions	3351	280	3631 (100%)
Number of referrals made to other agencies/ Departments ¹	-	-	361
Number of Service Requests received ²	-	-	2817
Number of Informal Improvement Notices Served	562	76	638
Number of Formal Improvement Notices Served	24	0	24
Number of Hazard Awareness Notices Served	84	6	90
Number of fire safety improvements ³	559	116	675
Number of properties improved ³	2806	213	3019

1 This includes all referrals in the Eastville & St George area some of which may not relate to a licensed/licensable property.

2 This includes all service requests received in the Eastville & St George area some of which may not relate to a licensed/licensable property.

3 There are still properties which have been inspected but are yet to be marked off, so these figures are likely to increase over the next several months.

4 The number of licences issued is higher than the number of property inspections because there are some properties left to inspect (approx. 15), some licences will have been revoked before the property was inspected (e.g., property sold, no longer rented etc.)

5 The number of applications is higher than the number of licences issued because the property may have been sold or become non-licensable prior to the licence being issued, duplicate applications e.g., a selective licence may have been applied for, but the property has become an HMO in the interim and now requires an additional licence.

Central Area scheme

6.12 The central area licensing scheme came into force on 1st July 2019 covering HMOs in 12 wards in central Bristol including Ashley, Bishopston and Ashley Down, Central, Clifton, Clifton Down, Cotham, Easton, Hotwells and Harbourside, Lawrence Hill, Redland, Southville and Windmill Hill.

6.13 Under this scheme only HMOs are required to be licensed and will run until 30th June 2024.

6.14 Initial stages of licensing delivery plan is to process the applications and issue

property licences. So far, we have received 3,267 applications and issued 2,663 licences. We have up to two years to issue the licence from receipt of a valid application.

6.15 The second phase of delivery is to inspect every licensable property to ensure that the management and property conditions meet licensing standards. Due to Covid 19 restrictions this phase started slowly but to date we have inspected 775 properties.

6.16 Any non-compliance with licensing standards will be required to be remedied to comply with licensing conditions. If the property is not made compliant enforcement action will be taken against the landlord to bring the property up to the required standard.

Investigations

6.17 Where a landlord does not come forward to licence their properties, suspected licensable properties are referred for initial investigation. We use investigative powers available to us to look for evidence of whether these properties require a licence. If a property does need a licence and a licence is not applied for, we will follow our private Housing Enforcement Policy, taking appropriate action. This can include a financial penalty of up to £30,000 or a criminal prosecution where fines are unlimited.

Rent Repayment Orders

6.18 Where a landlord or agent has not met its duty to licence a property tenants and the Council (where housing benefit has been paid) can apply to a First Tier Tribunal for a Rent Repayment Order. Rent paid can be reclaimed for the period the property should have been licensed up to a maximum of 12 months.

The Council has information on assistance we can provide for tenants on our website - [here](#).

7. Alternative actions considered

7.1 The council must consider whether there are any alternative courses of action available that could provide an effective method of dealing with the problem or problems in the private rented sector in the three proposed areas. These include:

Complaints

7.2 The council responds to complaints from private tenants about problems in their homes across the city, however this type of approach alone has its limitations, because:

- not all tenants are aware of the service
- some tenants do not report problems relating to poor property conditions and unsatisfactory property management, because they are afraid it will jeopardise their tenancy and their home
- we can only enforce minimum legal standards (as opposed to licensing, where more than just the legal minimum can be required through the licence conditions).

7.3 This approach requires significant resource. Cuts in central government finance means this type of reactive service will not ensure sustainable improvements can be delivered in the private rented sector, over the next five years.

7.4 On its own, this reactive complaint service approach to tackling the issues in the proposed areas, will not significantly improve the standards and management of PRS properties will not address the housing problems identified at the scale needed.

7.5. Please note: Individual complaints outside of licensing schemes will continue to be dealt with through the complaints approach.

Mandatory Licensing

7.6 A city-wide mandatory licensing scheme has been in operation since 2006. Although there has been improvement in the standards of the HMOs covered by this scheme it is clear there are still problems with the condition of other HMOs in these areas.

7.7 Mandatory licensing alone is not considered the most satisfactory course of action as it will not give the Council the powers to visit and significantly improve the standards and management of the 3,060 smaller HMO's and other privately rented properties in the proposed area which are not covered by Mandatory licensing criteria.

Self-Regulation – Rent with Confidence Scheme

7.8 Rent with Confidence is a voluntary scheme for landlords and agents to join and agree to meet at least minimum housing standards and good management practice in their properties. These types of initiatives are important and form part of the overall objectives to improve standards and conditions in the private rented sector. However, as this is a voluntary scheme it does not attract those landlords and agents who continue to mismanage their properties or meet their legal obligations.

7.9 Only relatively small numbers of properties are covered by this scheme. The council does not believe it will be effective at tackling the conditions in these areas as the proposed licensing schemes.

Co-regulation

7.10 Co-regulation is a relatively new concept with a limited number of schemes in operation, which has raised issues of effectiveness and affordability. There is no set definition, but essentially are voluntary schemes where the local authority works in partnership with an accreditation scheme or another organisation to establish a framework under which responsibilities for the management of properties are shared. Although voluntary and partnership working is welcome and to be encouraged, there are risks associated with this type of scheme if it were expected to be the only option used to improve the PRS in an area.

7.11 It is not compulsory and is dependent on landlords volunteering to join the scheme and complying with its conditions

7.12 These schemes have very limited sanctions if a landlord chooses not to comply with the rules. When this occurs, the local council will then be required to inspect the property(s) and act, where appropriate. This will introduce a further tier of administration, potential delays in responding and result in the council incurring additional costs.

7.13 Under Co-regulation schemes the backup legal powers can only be used to require

minimum legal standards (compared to licensing, where licence conditions which require more than a legal minimum can also be required).

7.14 The cost of this approach is significant and due to cuts in central government finance and restrictions on the Bristol City Council budgets, there is no funding available to fund additional officers to carry out these inspections and run the scheme.

7.15 We have considered the [Liverpool Selective Licensing and Co-Regulation report](#) when considering whether it is suitable in Bristol. However, we have concluded that a co-regulation approach to tackle the issues in the proposed areas is not considered the most satisfactory course of action as it will not significantly improve the standards of management and condition of significant numbers of the properties within the proposed area.

Rogue Landlords Initiatives

7.16 Rogue Landlord initiatives identify and target rogue landlords and agents in the city who exploit tenants, including recent arrivals into the UK. Enforcement action can be taken under a variety of legislation, including the Protection from Eviction Act, the Housing Acts and Trading Standards and Tenancy relations legislation. Officers work in partnership with the police and other organisations to identify incidences of slavery and trafficking.

7.17 Central government funding for this scheme has now ended and the council does not have money available to support this initiative without further outside funding.

7.18 It is not certain whether a further initiative will be introduced in the future. However, should funding be made available in the future this type of scheme is not considered the most satisfactory course of action, as it will not significantly improve the standards and management of all private rented properties in the proposed area.

Selective and Additional Licensing

7.19 Selective and Additional licensing are the preferred option for these specific areas as they will have a significant impact on the management and condition of privately rented properties for the following reasons.

7.20 The council will have the powers to investigate properties it believes need to be licensed. Using its powers to proactively inspect all properties in the scheme should greatly reduce a tenant's fear of retaliatory eviction or harassment as they do not have to report problems in their homes.

7.21 Using the discretionary licensing powers under Housing Act 2004 will ensure that there are satisfactory management practices in place and that the landlord/manager is a fit and proper person (Appendix 6) to be granted a licence.

7.22 Licensing conditions will also enable the council to deal with issues where there are no other minimum legal powers available to tackle the issue.

7.23 Licensing provides confidence and assurance to existing or prospective tenants that licensed properties are well managed and safe to occupy.

7.24 The council will require that licensable properties meet certain standards and landlords will need to ensure that their properties are well managed and safe. If they don't meet the licensing conditions, they will be breaking the law and could be prosecuted.

7.25 Through property licensing the council will be able to work with landlords/agents/owners and other organisations to deal with other issues in the area such as empty properties, overcrowding, anti-social behaviour and crime reduction.

7.26 The council will work with landlords and agents in the designated area to offer training, advice, and guidance on a wide range of issues affecting the private rented sector including a landlord and tenants' legal requirements and responsibilities. The aim is to provide existing or potential private landlords the basic tools to ensure they meet requirements to competently manage their accommodation.

7.27 The council believes that licensing properties in the proposed areas will have a positive impact on private tenants living in these properties as it will raise standards of management and conditions of their homes through inspection and increased regulation. This will also benefit landlords who are already compliant and put at a competitive disadvantage by non-complaint landlords in the same area.

7.28 Having considered the issues and problems identified in the proposed areas and the resource restraints, the council believe a licensing scheme, funded through licence fees, means the council will have the necessary resources to ensure privately rented properties in the proposed area are required to meet the licensing standards.

7.29 Licences are normally issued for five years. This can be reduced in certain circumstances where the council needs to do so for the purpose of ensuring good management and standard of the property are maintained.

8. Licence fees

8.1 The Housing Act 2004 allows councils to set a fee for property licences and says that the council may consider all costs incurred by the authority in carrying out the licensing function. The council cannot make a profit from licence fees.

The table in Appendix 7 sets out the fees for additional and selective licensing.

9. Landlord's licensing responsibilities

Conditions

9.1 If a property needs a licence, landlords and managers must comply with the conditions applied to the licence. These conditions are slightly different for Additional and selective licences and can be found in full at Appendix 3 for Additional Licensing and Appendix 4 for Selective Licensing conditions.

9.2 Brief descriptions of some of these conditions include:

- provide satisfactory gas (where applicable) and electric certificates to the council
- where electrical appliances and furniture are made available in the house, they must be in a safe condition
- provide the occupiers of the house a written statement of the terms on which they occupy it
- a carbon monoxide alarm is installed in any room in the property which is used as living accommodation.
- provide suitable facilities for the storage and disposal of refuse and recycling in accordance with the council's waste and recycling collection requirements

Legal obligations

9.3 The Housing Act 2004, together with other relevant legislation and regulation, sets out the legal requirements for landlords in relation to renting private properties and licensing. These can be found at Appendix 8.

9.4 It is very important that landlords are made aware that it is a criminal offence to operate a licensable property without a licence. This could result in unlimited fines or a civil penalty of up to £30,000, together with other restrictions.

10. Actions which when taken in combination with the proposed schemes will improve PRS in Bristol

10.1 The Bristol Corporate Strategy 2018-2023

Under the Fair and Inclusive Key Commitment, the Strategy recognises that a warm, secure affordable home provides a springboard to achieving a high-quality life. It acknowledges that the Private Rented Sector (PRS) continues to grow, bringing issues such as the insecurity of short-term tenancies and for some poor conditions or tenancy management. The strategy brings together representatives of different housing sectors at the Bristol Homes Board to provide leadership across a range of housing issues, including the private rented sector.

10.2 Bristol's One City Plan - Raising Standards in the Private Rented Sector

Under the One City Plan there is a target to improve PRS standards through discretionary licensing "to increase property standards in the private rented sector - are significantly improved from 2018 following work with landlords and tenants through discretionary licensing".

Under the additional powers that licensing gives Local Authorities, it is considered that licensing can increase quality and management standards in the sector through inspection and enforcement powers.

The BRE compared the levels of identified hazards before and after the introduction of discretionary licensing schemes in other areas of Bristol between the 2017 and 2020 reports. The results clearly showed that these interventions have made a positive impact

and reduced the levels of category 1 hazards (Source: [BRE Bristol Stock Modelling report, October 2020, Chapter 5](#))

10.3 Reduction in Empty Private Homes

Bristol has a very successful programme of reducing empty homes and bringing them back into use. Many properties bought back into use have gone into the private rented sector, so it is important that they meet current property and management standards. We work with the Empty Property team to make sure that the landlords of these properties adhere to good management practices and the property meets minimum standards.

10.4 Homelessness

The Bristol City Council Homelessness and Rough Sleepers Strategy 2019 - 2024 aims to use early intervention and prevention as a method to tackle problems before they become a crisis. It also aims to provide more move-on accommodation, including the use of the private rented sector, and bringing empty properties back into use to provide more affordable accommodation.

Shelter has carried out research into homelessness in relation to Bristol's private rented sector. The research identified that some private tenants who have previous experience of being homeless feel that they have no choice but to put up with poor conditions and harassment from their landlords. This is because they have nowhere else to go and their housing options are very limited, given their financial or personal circumstances.

Many tenants find it difficult to find somewhere to live in Bristol and were willing to go to great lengths to remain in their private rented accommodation despite the property having serious problems. People with children or who were receiving housing benefit found it particularly difficult to rent.

To sustain/increase the numbers of vulnerable tenants in licensable accommodation an incentive for private landlords is being developed with Housing Options. This will require private landlords to accept nominations from the Council in return for the reimbursement of the licence fee.

11. Consultation

11.1 The Council is required to take reasonable steps to consult persons who are likely to be affected by the designation of a licence scheme and to consider representations made. The consultation period ran for 10 weeks from 17th March 2021 to 26th May 2021 with assistance from the Council's Communications and Marketing Team.

- 26,287 letters were sent to all those likely to be affected by the proposal i.e., private landlords, their tenants, residents living or with property in the affected wards. We provided a link to an online proposal document and survey form. Paper copies were available upon request.
- Emails were sent to 6,924 landlords on the Council's Landlord Database.
- Emails were sent to local and national landlord and tenant organisations and the two universities and to West of England Local Authorities adjoining Bristol's boundaries.

- Local ward councillors were briefed.
- A presentation was given to 70 attendees of the West of England Landlord and Agent panel.
- The consultation was publicised on the Council's Consultation Hub, on the Council's private landlord's web pages and in a press release.
- There was an item in the Our City e-newsletter and Ask Bristol newsletter available to Bristol residents who have signed up for these newsletters.
- It was also promoted in two editions of the Council's Private Landlords monthly newsletter.
- Social media posts were made throughout the consultation period on Facebook and Twitter reaching an average of 1,907 Facebook users and 109,962 Twitter users each time.
- Stakeholder toolkits were sent to councillors and other stakeholders to disseminate the information on the consultation.

11.2 The full results have now been published via the [Consultation Hub](#). See the full Consultation report in Appendix B and consultation responses in Appendix B2.

11.3 There were 1,411 completed surveys received via both the online form and paper survey forms. 208 emails and seven letters were also received and responded to during the consultation period.

11.4 Of the 1,383 survey respondents who identified which category of respondent they belonged to 411 (29.72%) were private landlords with properties in the proposed area; 233 (16.85%) were private tenants living in the area 671 (48.52%) were owner occupiers living in the area and 134 (9.69%) were other interested parties. The total adds up to more than 1,383 because some respondents would come under more than one category i.e., a private landlord with property in the area but who also is an owner occupier in the area.

11.5 The outcomes from the consultation broadly support the proposal. 1,411 responses were received and of those 818 (58.65%) agreed or strongly agreed that the proposed licensing schemes would help to resolve poor management and poor conditions of private rented properties in the proposed three wards.

11.6 The key views when broken down by respondent category show: (full details of all responses can be found in the Consultation Report Appendix B and the Consultation responses in Appendix B2.

- **85** (20.8) of landlords in the area agreed or strongly agreed with the proposal, **267** (65.3%) disagreed and **57** (13.9%) neither agreed nor disagreed.
- **142** (70%) of private tenants living in the area agreed or strongly agreed with the proposal, **76** (32.6%) disagreed or strongly disagreed and **15** (6.4%) neither agreed nor disagreed.
- **549** (82%) of owner occupiers living in the area agreed or strongly agreed with the proposal, **89** (13.3%) disagreed or strongly disagreed and **32** (4.8%) neither agreed nor disagreed.
- **68** (51.1%) of other interested parties agreed or strongly agreed with the proposal, **60** (45.1%) disagreed or strongly disagreed and **11** (8.3%) neither agreed nor

disagreed.

- **794** (57.66%) said that the proposed additional licensing fee was about right or too low **583** (42.34%) said it was too high.
- Of those who said the additional licence fee was too high **344** (59%) said it should be £500 or less – of those 22% said there should be no fee payable.
- **802** (58.19%) said the proposed selective licence fee was about right or too low, **569** (41.5%) said it was too high.
- Of those who said the selective licence fee was too high **424** (72%) said it should be £500 or less and of those 25% said there should be no fee payable.
- **977** (70.14%) of respondents agreed that those who do not licence their properties when they should, should be charged a higher fee than those who comply on time.
- **532** (38.66%) of respondents said the finder's fee should be more than the £100 proposed; **530** (38.52%) said it was about right and **314** (22.82%) said it was too high. – The majority of those who said the fee was too low suggesting a finder's fee of up to £500 should be applied.
- **918** (65.95%) agreed with the proposed discount for satisfactory certificates being submitted on time and **792** (57.27%) agreed with the discount proposed for landlords accredited under the Rent with Confidence scheme.
- **814** (58%) of respondents also provided free text comments on the proposal. Please note, some respondents left comments that have been broken down as they covered several categories. Please see Appendix B2 for the full breakdown

12. Appendix 1: Types of Properties that are Exempt from Licensing

Exemptions from Additional Licensing – Schedule 14 Housing Act 2004

Certain types of buildings or parts of buildings are by law **not** subject to HMO Licensing. (Schedule 14 of the Housing Act 2004) These broadly speaking include buildings:

- managed or owned by public sector bodies. (i.e., local authority housing, and properties managed or owned by registered providers previously known as registered social landlords, police authorities, Fire and Rescue authorities and the NHS).
- where the residential accommodation is ancillary to the principal use of the building i.e., caretaker accommodation
- occupied by religious communities for religious purposes
- Student accommodation managed and controlled by educational establishments such as universities.
- such as care homes.
- Bail hostels.
- Hostels - the description of which are specified by law.
- entirely occupied by freeholders or long leaseholders.
- occupied by owners.
- occupied by no more than two, unrelated people.
- occupied by a resident landlord with no more than two lodgers.
- which are Housing Co-operatives.

Exemptions from Selective Licensing

Certain types of accommodation would not be subject to selective licensing (Selective licensing of Houses (Specified Exemptions) (England) Order 2006 SI 2006/370)

- Occupied by owners.
- Accommodation where the tenant is a family member.
- Managed or owned by public sector bodies i.e., social housing.
- Business premises.
- Student accommodation owned by a university.
- Holiday lets.
- Empty properties.

Any property where the landlord already holds an HMO licence.

13. Appendix 2 – Map of the proposed Licensing Schemes

[Find my ward](#)

14. Appendix 3 Licence Conditions – Additional Licensing

Additional Licensing conditions

The following licence scheme conditions apply both to the licence holder and to any manager who has accepted responsibility under the licence

1 Professionalism and standard of conduct

	Reasonable and equitable standard of conduct
1.1	<i>Conduct business with regard to the property and the tenancy in a reasonable and equitable manner and in accordance with applicable standards of due diligence.</i>
1.2	'Fit and Proper Person' declarations – supply to Council declarations by all individuals involved in management of the property if asked <i>Any person involved in or becoming involved in the management of the property after the licence date must be a fit and proper person¹ and must supply the Council on demand² with a completed 'declaration in respect of a fit and proper person' form for each individual involved.</i>
1.3	All agents to be members of Agent Redress or Client Money Protection schemes <i>Where the licence holder or manager is a letting or property managing agent, they must be a member of a statutory scheme such as the Lettings and Management Agent Redress Scheme or the Client Money Protection Scheme.</i>

2 Keeping the Council informed of changes

	Any changes in licence holder – notify Council
2.1	<i>Notify the Council in writing³ of any change to the name, address or any other contact details (including email address) of the licence holder, manager or any other person involved in the management of the property, within 14 days of that change.</i>
	Any changes in property layout or room numbering – notify Council
2.2	<i>Do not make alterations to any aspect of the layout of the property, or the numbering of rooms, without first gaining written consent from the Council. Requests should be made in writing to the Council³, and include a full description of the proposed changes.</i>
	Any changes to the way the property is occupied – notify Council
2.3	<i>Any proposed changes to the way the property is occupied should first be submitted to the Council³ to determine any consequent need for alterations to the required levels of amenity provision or the permitted number for the property.</i>
	If occupation rises above the permitted numbers – notify Council
2.4	<i>If the occupation of the property rises beyond the maximum permitted number, inform the Council³ in writing within 28 days of the over occupation occurring.</i>

3 Repair and maintenance

3.1	<p>Property repair timescales – respond to disrepair issues promptly</p> <p><i>As far as is reasonably practicable keep within the following timescales in responding to information about disrepair and maintenance issues at the property:</i></p> <ul style="list-style-type: none"> • <i>Emergency repairs: 24 hours (affecting health or safety e.g. dangerous electrical fault, blocked W C, no hot water, etc.)</i> • <i>Urgent repairs: 5 working days (affecting material comfort e.g. no heating or fridge failure, serious roof leak, etc.)</i> • <i>Other non-urgent repairs: within a reasonable time taking into account the extent and cost of the works required and any disruption for the occupiers.</i>
3.2	<p>Facilities and equipment - keep facilities and equipment in a safe condition and good repair</p> <p><i>Facilities and equipment must be kept in a safe condition and good working order.</i></p>
3.3	<p>Asbestos and Legionella – comply with legal requirements</p> <p><i>Comply with current statutory requirements relating to the safe management of the following:</i></p> <ul style="list-style-type: none"> • <i>any asbestos containing materials⁴, and</i> • <i>Legionella species risks⁵.</i>
3.4	<p>Pest control – use competent contractors</p> <p><i>Employ a competent pest control contractor to carry out appropriate treatments to any pest infestation.</i></p>

4 Gas and electrical safety

4.1	<p>Gas safety certificate – provide one annually</p> <p><i>If gas is supplied to the house, supply to the Council³ annually for their inspection, a satisfactory and genuine gas safety certificate obtained in respect of the house within the last 12 months.</i></p>
4.2	<p>Carbon monoxide alarm - install if there a solid fuel combustion appliance, check on each new tenancy, supply declaration of condition if asked</p> <p><i>Install a carbon monoxide alarm in any room (includes a hall or landing) in the property which is used wholly or partly as living accommodation (includes bathroom or lavatory) and contains a solid fuel burning combustion appliance⁶ and keep any such alarm in proper working order. Check the alarms on the day the tenancy begins if it is a new tenancy and supply to the Council on demand² a declaration of the condition and positioning of any such alarms.</i></p>
4.3	<p>Electrical safety – meet current regulation requirements, supply to Council declaration of safety if asked</p> <p><i>Meet current statutory requirements in relation to electrical installations in The Electrical Safety Standards in the Private Rented Sector (England) Regulations 2020 and ensure that every electrical installation⁷ in the property is in proper working order and safe for continued use. Supply to the Council on demand² a declaration as to the safety of such installations within in 7 days of a request.</i></p>

	<p>Electrical safety certificates – send to the Council an electrical certificate if any faults shown followed by confirmation of rectification</p>
4.4	<p><i>Supply to the Council on demand² a current (less than 5 years old) genuine electrical installation condition report within seven days in cases where the property would otherwise be exempt from the requirements of The Electrical Safety Standards in the Private Rented Sector (England) Regulations 2020. Any code 1 or 2 defects in a report must be rectified and any FI (further investigation) codes followed up. On the expiry of a report, a new report must be obtained and supplied to the Council³ within two months of the previous report's expiry date.</i></p>
4.5	<p>Electrical appliance and furniture safety - keep in safe condition, supply to Council declaration if asked</p> <p><i>Keep electrical appliances and furniture made available in the house in a safe condition and supply to the Council on demand² a written declaration verifying the safety of the appliances and furniture.</i></p>

5 Fire safety	
5.1	<p>Smoke alarms – install one on each floor and keep in working order</p> <p><i>Install a smoke alarm on each storey of the house on which there is a room used wholly or partly as living accommodation and keep any such alarm in proper working order.</i></p>
5.2	<p>Smoke alarms – check smoke alarms at start of tenancy, supply a declaration on their condition and position if asked.</p> <p><i>Check smoke alarms whenever there is a new tenancy on the day the tenancy begins and supply to the Council on demand² a declaration of the condition and positioning of any such alarms.</i></p>
5.3	<p>Fire safety precautions and reviews - provide fire precautions and review annually, producing evidence of reviews if asked</p> <p><i>Fire precautionary measures must be provided in accordance with either:</i></p> <p><i>The Bristol City Council document “Fire Safety Standards for Licensable HMOs⁹</i></p> <p><u>or</u></p> <p><i>An independent Fire Risk Assessment (FRA) produced by a competent person that adheres to current regulations and legal requirements relating to fire safety and licensing. Such a Fire Risk Assessment must be approved by the Council and reviewed annually, on a change of tenancy, and whenever there are alterations to the property or its contents. Supply to the Council on demand written evidence of the Fire Risk Assessment together with any revisions.</i></p>
5.4	<p>Fire alarm periodic test certificate – supply copy to Council if asked</p> <p><i>Where there is a Grade A fire alarm system installed, supply to the Council on demand² a satisfactory and genuine certificate of servicing by a competent person carried out in the previous 6 months, as required under BS 5839-6: 2019.</i></p> <p><i>Where there is a Grade C or Grade D system installed, supply to the Council on demand² a satisfactory and genuine certificate of servicing by a competent person carried out in the previous 12 months, following the servicing procedure contained in Annex I of BS 5839-6: 2019.</i></p>

Lighting and emergency lighting – keep emergency lighting in good working order, supply to Council declaration on condition of lighting system if asked

- 5.5 *Supply to the Council, on demand² a declaration that the lighting system is in proper working order. Emergency lighting to be maintained in accordance with the relevant British Standard (BS 5266-1:2016).*

6 Energy performance

Energy Performance Certificate – supply copy to Council if asked

- 6.1 *Where applicable supply to the Council on demand², a current and genuine Energy Performance Certificate (EPC) in accordance with the Energy Performance of Buildings (Certificates and Inspections) (England and Wales) Regulations 2012.*

Minimum levels of energy efficiency – property to have an EPC rating of at least E

- 6.2 *Ensure that the property reaches at least an Energy Performance Certificate (EPC) rating of E, subject to any exemptions, in compliance with the minimum level of energy efficiency for privately rented property required under The Energy Efficiency (Private Rented Property) (England and Wales) Regulations 2015.*

7 Amenity standards

Access to facilities – 24-hour access to all property facilities

- 7.1 *Provide all tenants with 24-hour direct access to all toilet, personal washing and cooking facilities and equipment.*

Sharing of bedrooms – no obligate sharing of bedrooms

- 7.2 *Ensure that there is no obligate sharing of bedrooms*

Names of all occupants – supply names of all occupants to Council, if asked

- 7.3 *Supply to the Council on demand the names of all occupants*

Room size and amenity standards – comply with latest version of the Bristol City Council standards

- 7.4 *Comply with the Bristol City Council document 'Room Size & Amenity Standard for Licensable HMOs¹⁰'. This document may be updated during the term of the licence and it is the responsibility of the licence holder and the manager to ensure that they are aware of and are complying with the latest versions.*

Small rooms – tell the Council about any rooms of less than 4.64m² (50ft²)

- 7.5 *Notify the Council³ of any room in the HMO with a floor area of less than 4.64 square metres.*

Permitted numbers – keep within the person and household number limits specified in the licence

- 7.6 *Ensure that the property is occupied in accordance with, and by no more than, the number of persons and households specified in the licence.*

Refuse and recycling - provide suitable storage and disposal facilities

- 7.7 *Provide suitable facilities for the storage and disposal of refuse and recycling in accordance with the Council's waste and recycling collection requirements.*

7.8	<p>Food safety - all food handlers to be food safety trained</p> <p><i>Where food is provided, ensure that all food handlers have appropriate food safety training.</i></p>
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8 Tenancy agreements

8.1	<p>Written tenancy – give all occupants a written statement of tenancy terms</p> <p><i>Supply to the occupiers of the house a written statement of the terms on which they occupy it.</i></p>
8.2	<p>Clear tenancy conditions – do not mislead tenants about conditions</p> <p><i>Do not mislead prospective or existing tenants regarding the use, occupation, condition or the contents of the property which forms part of tenancy or agreement to occupy the property.</i></p>
8.3	<p>Make tenants aware of their rights and obligations</p> <p><i>Make tenants aware of their rights and obligations and of the licence holder or manager’s legal obligations when a tenancy is brought to an end or where the licence holder or manager seeks possession of the dwelling-house.</i></p>
8.4	<p>Avoid unfair terms in tenancy agreement</p> <p><i>The tenancy agreement should be free from both unfair terms and prohibited fees.</i></p>
8.5	<p>Tenancy clause on anti-social behaviour – tenancy agreement to include anti-social behaviour clauses</p> <p><i>Issue new tenants with a tenancy or written agreement that include clauses that will allow the licence holder to take reasonable steps to tackle anti-social behaviour.</i></p>

9 Setting up and ending tenancies

9.1	<p>Inventories – agree an inventory with the tenant at the beginning of each tenancy</p> <p><i>Arrange for an inventory of contents and condition to be signed by both parties at the beginning of the tenancy (or as soon as practicable afterwards) and give tenants the opportunity both to carry out a joint inventory inspection at the outset and to discuss the inventory at the end of the tenancy.</i></p>
9.2	<p>Deposit protection schemes – use one</p> <p><i>Comply with all statutory obligations regarding tenancy deposit protection if a deposit is taken.</i></p>
9.3	<p>New tenant references – request reference for new tenants, supply copy to Council if asked</p> <p><i>Require a reference for each new person wishing to occupy the property. The reference request should include questions about anti-social behaviour⁸, acting in a way that may cause a nuisance to neighbours, and any problems in respect of non-payment of rent. References should be retained for a minimum of 6 months from the issuing of the licence and supplied to the Council on demand².</i></p>
9.4	<p>Past tenant references – provide reference for past tenant if asked</p> <p><i>Provide, on request from other landlords, an honest, factual and accurate written reference relating to existing or past occupiers.</i></p>
9.5	<p>Contact details – make details available to each households and display at property</p> <p><i>Make available to tenants the licence holder or manager’s name, address, any telephone contact</i></p>

number or email address to each household and ensure that such details are clearly displayed in a prominent position in the property.

- 9.6 **Fire precaution information for tenants** – give copy to all new tenants and supply copy if asked
- Provide written details of fire evacuation procedures to tenants and other occupiers. Ensure that all tenants and occupiers are aware of fire and fault indications of any fire alarm system, are adequately familiar with controls (e.g. resetting) and of measures to avoid false alarms. Supply these details to the Council on demand².*

10 Tenants' entitlement to peaceful enjoyment of their home

Obligation to allow tenant peaceful enjoyment

Do not, and do not cause anyone else to:

- 10.1
- *Unlawfully deprive any residential occupier(s) of their occupation of the property or any part of the property, or attempt to do so,*
 - *Carry out acts likely to interfere with the peace or comfort of the residential occupier(s) or members of his household, or*
 - *Persistently withdraw or withhold services reasonably required for the occupation of the property in question as a residence.*

Access to property - need to give tenant 24 hours' notice

- 10.2 *Make prior arrangement with the tenant and give at least 24 hours' notice (except in emergencies) of access to the property by the landlord or their representative for inspection, repairs, monitoring or any other reason.*

Notes

- 1 Fit and Proper person definition: see Housing Act 2004 s66, this can be found at <https://www.legislation.gov.uk/ukpga/2004/34/section/66>
- 2 Any reference to 'on demand' means the Council requires that the document(s) or information is supplied to the Council within 28 days unless stated otherwise.
- 3 Postal address: (Private Housing Team) (100TS) or (Licensing Team) (100TS), Bristol City Council, PO Box 3399, Bristol, BS1 9NE.
- 4 [Managing asbestos in buildings](#): A brief guide Health and Safety Executive.
- 5 Legionnaires' disease [A brief guide for duty holders](#) Health and Safety Executive.
- 6 Solid fuel includes coal, wood, etc. A non-functioning, purely decorative fireplace would not constitute a solid fuel burning combustion appliance.
- 7 Regulation 2(1) of the Building Regulations: "electrical installation" means fixed electrical cables or fixed electrical equipment located on the consumer's side of the

electricity supply meter.

8 Anti-social behaviour: Behaviour that causes or is likely to cause harassment, alarm or distress to one or more persons not of the same household (this includes noise nuisance).

9 Bristol City Council Fire Safety Standards for Licensable HMOs. The latest versions can be found at www.bristol.gov.uk/hmo.

10 Bristol City Council room size & amenity standard for licensable HMOs. The latest versions can be found at www.bristol.gov.uk/hmo.

15. Appendix 4 - Selective Licensing Conditions

The following licence scheme conditions apply both to the licence holder and to any manager who has accepted responsibility under the licence.

1 Professionalism and standard of conduct	
1.1	<p>Reasonable and equitable standard of conduct</p> <p>Conduct business regarding the property and the tenancy in a reasonable and equitable manner and in accordance with applicable standards of due diligence.</p>
1.2	<p>'Fit and Proper Person' declarations – supply to Council declarations by all individuals involved in management of the property if asked</p> <p>Any person involved in or becoming involved in the management of the property after the licence date must be a fit and proper person¹ and must supply the Council on demand² with a completed 'declaration in respect of a fit and proper person' form for everyone involved.</p>
1.3	<p>All agents to be members of Agent Redress or Client Money Protection schemes</p> <p>Where the licence holder or manager is a letting or property managing agent they must be a member of a statutory scheme such as the Lettings and Management Agent Redress Scheme or the Client Money Protection Scheme.</p>

2 Keeping the Council informed of changes	
2.1	<p>Any changes in licence holder – notify Council</p> <p>Notify the Council in writing³ of any change to the name, address, or any other contact details (including email address) of the licence holder, manager or any other person involved in the management of the property, within 14 days of that change.</p>
3 Repair and maintenance	
3.1	<p>Repair timescales – prompt response to disrepair issues</p> <p>As far as is reasonably practicable keep within the following timescales in responding to information about disrepair and maintenance issues at the property:</p> <ul style="list-style-type: none">• Emergency repairs: 24 hours (affecting health or safety e.g., dangerous electrical fault, blocked W C, no hot water, etc.)• Urgent repairs: 5 working days (affecting material comfort e.g., no heating or fridge failure, serious roof leak, etc.)• Other non-urgent repairs: within a reasonable period taking into account the extent and cost of the works required and any disruption for the occupiers.
3.2	<p>Facilities and equipment - keep facilities and equipment in a safe condition and good repair</p> <p>Facilities and equipment must be kept in a safe condition and good working order.</p>

3.3	<p>Asbestos and Legionella – comply with legal requirements</p> <p>Comply with current statutory requirements relating to the identification of works necessary for the safe management of the following:</p> <ul style="list-style-type: none"> • any asbestos containing materials⁴, and • Legionella species risks⁵.
3.4	<p>Pest control – use competent contractors</p> <p>Employ a competent pest control contractor to carry out appropriate treatments to any pest infestation.</p>

<p>4 Gas and electrical safety</p>	
4.1	<p>Gas safety certificate – provide one annually</p> <p>If gas is supplied to the house, supply to the Council³ annually for their inspection, a satisfactory and genuine gas safety certificate obtained in respect of the house within the last 12 months.</p>
4.2	<p>Carbon monoxide alarm - install if there is a solid fuel combustion appliance, check on each new tenancy, supply declaration of condition if asked</p> <p>Install a carbon monoxide alarm in any room (includes a hall or landing) in the property which is used wholly or partly as living accommodation (includes bathroom or lavatory) and contains a solid fuel burning combustion appliance⁶, and keep any such alarm in proper working order. Check the alarms on the day the tenancy begins if it is a new tenancy and supply to the Council on demand² a declaration of the condition and positioning of any such alarms.</p>
4.3	<p>Electrical safety – meet current regulation requirements, supply to Council declaration of safety if asked</p> <p>Meet current statutory requirements in relation to electrical installations in The Electrical Safety Standards in the Private Rented Sector (England) Regulations 2020 and ensure that every electrical installation⁷ in the property is in proper working order and safe for continued use. Supply to the Council on demand² a declaration as to the safety of such installations within in 7 days of a request.</p>
4.4	<p>Electrical safety certificates – send to the Council an electrical certificate if any faults shown followed by confirmation of rectification</p> <p>Supply to the Council on demand² a current (less than 5 years old) genuine electrical installation condition report within seven days in cases where the property would otherwise be exempt from the requirements of The Electrical Safety Standards in the Private Rented Sector (England) Regulations 2020.</p>
4.5	<p>Electrical appliance and furniture safety - keep in safe condition, supply to Council declaration if asked</p> <p>Keep electrical appliances and furniture made available in the house in a safe condition and supply</p>

to the Council², on demand⁵ a written declaration verifying the safety of the appliances and furniture.

5 Fire safety

5.1	Smoke alarms – install one on each floor and keep in working order Install a smoke alarm on each storey of the house on which there is a room used wholly or partly as living accommodation and keep any such alarm in proper working order.
5.2	Smoke alarms – check smoke alarms at start of tenancy, supply a declaration on their condition and position if asked. Check smoke alarms whenever there is a new tenancy on the day the tenancy begins and supply to the Council on demand ² a declaration of the condition and positioning of any such alarms.

6 Energy performance

6.1	Energy Performance Certificate – supply copy to Council if asked Where applicable supply to the Council on demand ² , a current and genuine Energy Performance Certificate (EPC) in accordance with the Energy Performance of Buildings (Certificates and Inspections) (England and Wales) Regulations 2012.
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7 Amenity standards

7.1	Access to facilities – 24 hour access to all property facilities Provide all tenants with 24hour direct access to all toilet, personal washing and cooking facilities and equipment.
7.2	Sharing of bedrooms – no obligate sharing of bedrooms Ensure that there is no obligate sharing of bedrooms.
7.3	Names of all occupants – supply names of all occupants to Council, if asked Supply to the Council on demand a list of all occupants

8 Tenancy agreements

8.1	<p>Written tenancy – give all occupants a written statement of tenancy terms</p> <p>Supply to the occupiers of the house a written statement of the terms on which they occupy it.</p>
8.2	<p>Clear tenancy conditions – do not mislead tenants about conditions</p> <p>Do not mislead prospective or existing tenants regarding the use, occupation, condition, or the contents of the property which forms part of tenancy or agreement to occupy the property.</p>
8.3	<p>Make tenants aware of their rights and obligations</p> <p>Make tenants aware of their rights and obligations and of the licence holder or manager’s legal obligations when a tenancy is brought to an end or where the licence holder or manager seeks possession of the dwelling-house.</p>
8.4	<p>Avoid unfair terms in tenancy agreement</p> <p>The tenancy agreement should be free from both unfair terms and prohibited fees.</p>
8.5	<p>Tenancy clause on anti-social behaviour – tenancy agreement to include anti-social behaviour clauses</p> <p>Issue new tenants with a tenancy or written agreement that include clauses that will allow the licence holder to take reasonable steps to tackle anti-social behaviour.</p>

9 Setting up and ending tenancies

9.1	<p>Inventories – agree an inventory with the tenant at the beginning of each tenancy</p> <p>Arrange for an inventory of contents and condition to be signed by both parties at the beginning of the tenancy (or as soon as practicable afterwards) and give tenants the opportunity both to carry out a joint inventory inspection at the outset and to discuss the inventory at the end of the tenancy.</p>
9.2	<p>Deposit protection schemes – use one</p> <p>Comply with all statutory obligations regarding tenancy deposit protection if a deposit is taken.</p>
9.3	<p>New tenant references – request reference for new tenants, supply copy to Council if asked</p> <p>Require a reference for each new person wishing to occupy the property. The reference request should include questions about anti-social behaviour⁸, acting in a way that may cause a nuisance to neighbours, and any problems in respect of non-payment of rent. References should be retained for a minimum of 6 months from the issuing of the licence and supplied to the Council on demand².</p>
9.4	<p>Past tenant references – provide reference for past tenant if asked</p> <p>Provide, on request from other landlords, an honest, factual, and accurate written reference relating to existing or past occupiers.</p>
9.5	<p>Contact details – make details available to each households and display at property</p> <p>Make available to tenants the licence holder or manager’s name, address, any telephone contact number, or email address.</p>

9.6	<p>Fire precaution information for tenants – give copy to all new tenants and supply copy if asked.</p> <p>Provide written details of fire evacuation procedures to tenants and other occupiers. Ensure that all tenants and occupiers are aware of fire and fault indications of any fire alarm system, are adequately familiar with controls (e.g., resetting) and of measures to avoid false alarms. Supply these details to the Council on demand².</p>
-----	---

10 Tenants' entitlement to peaceful enjoyment of their home	
10.1	<p>Obligation to allow tenant peaceful enjoyment</p> <p>Do not, and do not cause anyone else to:</p> <ul style="list-style-type: none"> • Unlawfully deprive any residential occupier(s) of their occupation of the property or any part of the property, or attempt to do so, • Carry out acts likely to interfere with the peace or comfort of the residential occupier(s) or members of his household, or • Persistently withdraw or withhold services reasonably required for the occupation of the property in question as a residence.
10.2	<p>Access to property - need to give tenant 24 hours' notice</p> <p>Make prior arrangement with the tenant and give at least 24 hours' notice (except in emergencies) of access to the property by the landlord or their representative for inspection, repairs, monitoring, or any other reason.</p>

11 Relations with neighbours and dealing with anti-social behaviour⁸	
11.1	<p>Anti-social behaviour⁸ by tenants – take steps to address any tenant anti-social behaviour</p> <p>Take all reasonable and practicable steps to prevent or reduce anti-social behaviour⁸ by persons occupying or visiting the house.</p>
11.2	<p>Illegal activity – take steps to deal with any illegal activity at the property</p> <p>Take all reasonable steps to ensure that the property is not used for illegal or immoral purposes.</p>
11.3	<p>Property appearance - keep property external appearance in reasonable condition and free of graffiti and fly posters</p> <p>Take all reasonable steps to keep the external appearance of the property in a reasonable condition taking into account its age of the property, character and locality and keep the exterior of the property free from graffiti and fly posters.</p>
11.4	<p>Monitor for anti-social behaviour – make quarterly inspections to assess anti-social behaviour</p> <p>Arrange inspections of the property on a regular basis to assess if there is evidence of anti-social behaviour⁸; this should be at least quarterly, but more frequently if anti-social behaviour has been established.</p>
11.5	<p>Contact details for neighbours – give neighbours contact details for any complaints about anti-social behaviour from the property</p>

Provide the occupants of adjoining properties direct contact details such as a telephone number to enable them to inform the licence holder of problems such as complaints about the behaviour of the tenants or their visitors.

Notes

- 1 Fit and Proper person definition: see Housing Act 2004 s66, this can be found at <https://www.legislation.gov.uk/ukpga/2004/34/section/66>
- 2 Any reference to 'on demand' means the Council requires that the document(s) or information is supplied to the Council within 28 days unless stated otherwise.
- 3 Postal address: (Private Housing Team) (100TS) or (Licensing Team) (100TS), Bristol City Council, PO Box 3399, Bristol, BS1 9NE.
- 4 [Managing asbestos in buildings](#): A brief guide Health and Safety Executive.
- 5 Legionnaires' disease [A brief guide for duty holder](#)s Health and Safety Executive.
- 6 Solid fuel includes coal, wood, etc. A non-functioning, purely decorative fireplace would not constitute a solid fuel burning combustion appliance.
- 7 Regulation 2(1) of the Building Regulations: "electrical installation" means fixed electrical cables or fixed electrical equipment located on the consumer's side of the electricity supply meter.
- 8 Anti-social behaviour: Behaviour that causes or is likely to cause harassment, alarm, or distress to one or more persons not of the same household (this includes noise nuisance).

16. Appendix 5: Designation Conditions applying to Selective Licensing

[The Selective Licensing of Houses \(Additional Conditions\) \(England\) Order 2015](#)

A selective licensing designation may be made if the area to which it relates satisfies one or more of the following conditions. The area is one experiencing:

- low housing demand (or is likely to become such an area).
- a significant and persistent problem caused by anti-social behavior.
- poor property conditions.
- high levels of migration.
- high level of deprivation.
- high levels of crime.

Article 4: Poor property conditions

Local housing authorities can address poor property conditions through their powers in Part 1 of the Act, which are extensive. A local housing authority should not use its Part 3 powers (selective licensing) where it is appropriate to tackle small numbers of properties which are in disrepair directly and immediately under Part 1.

There may be circumstances in which a significant number of properties in the private rented sector are in poor condition and are adversely affecting the character of the area and/ or the health and safety of their occupants. In that case, as part of wider strategy to tackle housing conditions, the local housing authority may consider it appropriate to make a selective licensing scheme so that it can prioritise enforcement action under Part 1 of the Act, whilst ensuring through licence conditions under Part 3 that the properties are properly managed to prevent further deterioration.

It is recommended that local housing authorities consider the following factors to help determine whether there are poor property conditions in their area:

- The age and visual appearance of properties in the area and that a high proportion of those properties are in the private rented sector.
- Whether following a review of housing conditions under section 3(1) of the Act¹⁶, the authority considers a significant number of properties in the private rented sector need to be inspected to determine whether any of those properties contain category 1 or 2 hazards.

The scheme should state what action the authority intends to take under Part 1 of the Act if it identifies there are serious deficiencies with properties, including the timescale for taking the appropriate action and its enforcement plan for non-compliance with improvement notices or prohibition orders it serves.

The outcome of the designation would be a general improvement of property conditions in the designated area within the lifetime of the designation.

17. Appendix 6 – Fit and Proper Person Checks

Under the Housing Act 2004, if the council is to issue any property licence it must be satisfied that the proposed licence holder is a fit and proper person and the most appropriate person to hold the licence. It must also be satisfied that the proposed manager of the house is a fit and proper person to be the manager of the house. If not, the licence must be refused unless other arrangements can be agreed.

The licence may be revoked where the council no longer considers that the licence holder is a fit and proper person to be the licence holder and where the council no longer considers that the management of the house is being carried out by persons who are not in each case fit and proper persons to be involved in its management.

These requirements are to ensure that those responsible for managing the property are of sufficient integrity and good character to be involved in the management of the particular residential property, and as such they do not pose a risk to the welfare or safety of persons occupying the property.

However, where a property is not licensed, there is no control over persons who are not fit and proper managing property outside of the requirements of licensing.

Each person involved in the management of a licensed property needs to complete the Fit and Proper Person declaration form below which is to be kept for their own records.

Declaration in Respect of a Fit and Proper Person

Housing Act 2004 (Part 2 / Part 3)

Name.....

In connection with the application dated for a property licence in respect of:

.....

.....

..... (Property Address)

I hereby declare that I am:

- (i) The proposed licence holder
- (ii) The manager of the property to whom rent is paid (if different from (i) above)
- (iii) Someone who is otherwise engaged in the management of the property

(Delete as appropriate)

and that I am a fit and proper person to be engaged in that capacity.

In support of the above declaration, I confirm that I:

- do not have any unspent convictions particularly in respect of any offence involving fraud or other dishonesty, or violence or drugs, or any offence listed in Schedule 3, of Sexual Offences Act 2003.
- have not been found guilty by any court or tribunal of practicing unlawful discrimination on grounds of sex, colour, race, ethnic or national origins or disability in, or in connection with, the carrying on of any business.
- have not had any judgements (whether civil or criminal) made against me under housing, public health, environmental health or landlord and tenant law.

Please provide information about any HMO or house the proposed licence holder or manager owns or manages or has owned or managed which has been the subject of:

- any appropriate enforcement action described in section 5(2) of the Act.
- refusal to grant a licence under Part 2 or 3 of the Act or has had a licence revoked as a consequence of breaching the conditions of his licence.
- an interim or final management order under the Act

Details of above.....

.....

.....

.....

Read our policy statement and our property licensing and enforcement privacy notice to see what we do with your personal information.

Please note that it is a criminal offence to knowingly supply information which is false or misleading for the purposes of obtaining a licence. Evidence of any statements made in this application with regard to the property concerned may be required at a later date. If we subsequently discover something which is relevant and which you should have disclosed, or which has been incorrectly stated or described, your licence may be revoked, or other action taken.

Signed:

Date:

Name:

18. Appendix 7 – Licence Fees

The Housing Act 2004 allows Councils to set a fee for property licences and says that the Council may take into account all costs incurred by the authority in carrying out the licensing function. The Council cannot make a profit from licence fees.

The predicted cost for the Additional Licensing scheme is £790,000.

The predicted cost for the Selective Licensing scheme is £1.44 million.

The fees proposed are for a licence which will normally last for five years and the fee is fixed for the five-year scheme period. There are no other costs or fees to pay after the correct fee has been paid.

The fee structure proposed is designed to allow the Council to recover the costs of the licensing function. There are two parts to the process of setting out the proposed fee structure:

- Part 1 covers the average cost of granting or refusing an application. This part of the fee is payable at the time of submitting the application. Applications cannot be accepted without payment.
- Part 2 covers the enforcement of the licence scheme requirements and general scheme administration costs. It is payable only for licences which are proposed to be granted and is not payable if the licence application is refused.

Refunds of fees paid will only be refunded when the property licensed didn't require a licence at the time of application.

Payments are only acceptable via credit or debit card, except where an applicant can show that they have an impairment that makes using this payment method unreasonable.

Part 2 payments must be paid within 28 days of request for payment, otherwise the property will be considered unlicensed.

Table 1: Table of fees payable for additional licensing scheme

Application Status	Part 1 Fee	Part 2 Fee	Total
Licence application and fee* received within deadline with no discounts	£1000	£300	£1,300
With £150 discount for satisfactory safety/EPC certificates ¹	£1000	£150	£1,150
With £150 discount for WoE Rent with Confidence membership ²	£1000	£150	£1,150
With £300 discount for both WoE Rent with Confidence membership and satisfactory safety/EPC certificates	£1000	£0	£1,000
With £100 additional "Found Unlicensed Fee" ³	£1000	£400	£1,400

Table 2: Table of Selective licence fees payable

Application Status	Part 1 Fee	Part 2 Fee	Total
Discounted licence application and fee* received within deadline with no safety or EPC certificates and no West of England (WoE) Rent with Confidence membership	£499	£300	£799
With discount for satisfactory safety/EPC certificates but no WoE Rent with Confidence membership ¹	£499	£150	£649
With discount for WoE Rent with Confidence membership only but no safety/EPC certificates ²	£499	£150	£649
With discount for both WoE Rent with Confidence membership and satisfactory safety/EPC certificates ³	£499	£0	£499
Found unlicensed fee	£499	£400	£899

1. Discounts will be awarded where bona fide satisfactory Electrical, Gas, (if applicable) safety and Energy Performance certificates are submitted before the licence is issued or within 3 months of the licence being issued.

2. Discounts will be awarded where the landlord or agent is a member of an accreditation scheme provided by an approved provider under the West of England Rent with Confidence scheme at the time of the application.

3. An additional found unlicensed fee will be added where the application is not made on time. No discounts are available if this fee is due.

19. Appendix 8 – Glossary of Legislation and Regulation relating to Licensing

- [Housing Act 2004](#)
- [Housing Act 2004 Part 1 Housing Health and Safety Rating System](#)
- [SI 2006/ 373 - The Licensing and Management of Houses in Multiple Occupation and Other Houses \(Miscellaneous Provisions\) \(England\) Regulations 2006](#)
- [The Licensing of Houses in Multiple Occupation \(Mandatory Conditions of Licences\) \(England\) Regulations 2018](#)
- [SI 2015/ 977 The Selective Licensing of Houses \(Additional Conditions\) \(England\) Order 2015](#)
- [SI 2006/ 370 – Selective Licensing of Houses \(Specified Exemptions\) \(England\) Order 2006](#)
- [SI 2015/ 962 The Energy Efficiency \(Private Rented Property\) \(England and Wales\) Regulations 2015.](#)
- [SI 2012/ 3118 Energy Performance of Buildings \(Certificates and Inspections\) \(England and Wales\) Regulations 2012](#)
- [BS 5266-1 2016 Emergency Lighting Code of practice for emergency lighting of premises](#)
- [Landlord and Tenant Act 1985](#)
- [Landlord and Tenant Act 1987](#)
- [Protection from Eviction Act 1977](#)
- [Housing Act 1988](#)
- [Housing and Planning Act 2016](#)
- [Deregulation Act 2015](#)
- [SI 2015/ 1646 The Assured Short Hold Tenancy Notices and Prescribed Requirements \(England\) Regulations 2015](#)
- [SI 2007/ 797 Housing Tenancy \(Deposits\) \(Prescribed Information\) Order 2007](#)
- [Tenant Fees Act 2019](#)
- [Coronavirus Act 2020](#)

Appendix A2 – Licence Fees

The Housing Act 2004 allows Councils to set a fee for property licences and says that the Council may take into account all costs incurred by the authority in carrying out the licensing function. The Council cannot make a profit from licence fees.

The predicted cost for the Additional Licensing scheme is £794,000.

The predicted cost for the Selective Licensing scheme is £1.45 million.

The fees proposed are for a licence which will normally last for five years and the fee is fixed for the five-year scheme period. There are no other costs or fees to pay after the correct fee has been paid.

The fee structure proposed is designed to allow the Council to recover the costs of the licensing function. There are two parts to the process of setting out the proposed fee structure:

- Part 1 covers the average cost of granting or refusing an application. This part of the fee is payable at the time of submitting the application. Applications cannot be accepted without payment.
- Part 2 covers the enforcement of the licence scheme requirements and general scheme administration costs. It is payable only for licences which are proposed to be granted and is not payable if the licence application is refused.

Refunds of fees paid will only be refunded when the property licensed didn't require a licence at the time of application.

Payments are only acceptable via credit or debit card, except where an applicant can show that they have an impairment that makes using this payment method unreasonable.

Part 2 payments must be paid within 28 days of request for payment, otherwise the property will be considered unlicensed.

Table 1: Table of fees payable for additional licensing scheme

Application Status	Part 1 Fee	Part 2 Fee	Total
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With £150 discount for WoE Rent with Confidence membership ²	£1000	£150	£1,150
With £300 discount for both WoE Rent with Confidence membership and satisfactory safety/EPC certificates	£1000	£0	£1,000
With £100 additional "Found Unlicensed Fee" ³	£1000	£400	£1,400

Table 2: Table of Selective licence fees payable

Application Status	Part 1 Fee	Part 2 Fee	Total
Discounted licence application and fee* received within deadline with no safety or EPC certificates and no West of England (WoE) Rent with Confidence membership	£499	£300	£799
With discount for satisfactory safety/EPC certificates but no WoE Rent with Confidence membership ¹	£499	£150	£649
With discount for WoE Rent with Confidence membership only but no safety/EPC certificates ²	£499	£150	£649
With discount for both WoE Rent with Confidence membership and satisfactory safety/EPC certificates ³	£499	£0	£499
Found unlicensed fee	£499	£400	£899

1. Discounts will be awarded where bona fide satisfactory Electrical, Gas, (if applicable) safety and Energy Performance certificates are submitted before the licence is issued or within 3 months of the licence being issued.

2. Discounts will be awarded where the landlord or agent is a member of an accreditation scheme provided by an approved provider under the West of England Rent with Confidence scheme at the time of the application.

3 An additional found unlicensed fee will be added where the application is not made on time. No discounts are available if this fee is due.



Private Housing Service

Proposed property licensing in Bedminster, Brislington West and Horfield



Proposal for property licensing schemes in Bedminster,
Brislington West and Horfield

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1 Executive Summary

Proposal to introduce an additional licensing scheme for houses in multiple occupation (HMO)

Bristol City Council is proposing to introduce an Additional licensing area in Horfield ward and both Additional and Selective Licensing in Bedminster and Brislington West wards.

The consultation

The consultation was open between 17h March 2021 and 26th May 2021 and sought views from the public (including private landlords and private tenants with property in the proposal area, managing agents and residents, local universities, businesses, and organisations which represent private landlords and tenants) about the proposal.

The consultation sought feedback on:

- the level of support for the proposal
- the licensing fees and proposed rewards
- respondents' experience of any poor management and poor conditions in the scheme area.

The consultation comprised an online consultation survey. Paper copies of the survey and alternative accessible formats were available on request.

The consultation was widely publicised through media, social media and direct communications with the known private landlords and agents and their tenants and other stakeholders, such as residents, landlord and tenant organisations and councillors.

Comments, requests, and suggestions received in letters and emails during the consultation were reviewed and considered alongside the survey results.

1.1 Scope of this report

This report describes the methodology and presents the findings of the consultation. It includes:

- Quantitative data and analysis of free text comments from the 1,409 completed surveys which were received by 26th May 2021.
- Other relevant correspondence by letter, email and petition received between 17 March and 26 May 2021.

This report does not contain the council officers' assessment of the feasibility of any of the suggestions received nor officers' proposals for the delivery of future services, having considered the consultation feedback.

1.2 How the report will be used

This report will be considered as final proposals are developed by officers. The result of this consultation will be taken into consideration in developing the final proposal that will be considered by the Mayor and Cabinet when they make those decisions. Cabinet decisions will be published through normal procedures for Full Council and Cabinet decisions at democracy.bristol.gov.uk.





1.3 Consultation - Key findings

Response rate

1,410 completed surveys were received via the online form and paper-based surveys. 26 (2%) respondents completed the survey on paper and 1,384 (98%) self-completed it online. 208 emails and 7 letters were also received.

Of the 1,383 responses about respondent category 411 (29.72%) were private landlords or agents with property in the area, 233 (16.85%) private tenants living in the area, 671 (48.52%) owner-occupiers and other residents living in the area, and 134 (9.7%) from other interested parties (including councillors, landlords and tenants living outside of the area and landlord organisations). 28 respondents did not give a category.

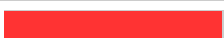




Figure 1: Respondent category

Which of the following best describes your situation? (Please tick all that apply)			
		Response Percent	Response Total
A private landlord or managing agent who lets property in these areas (This option includes landlords who live in the property they let)		29.72%	411
A private tenant who is living or has lived in these areas, or someone responding on behalf of a tenant		16.85%	233
An owner-occupier or other resident currently living in these areas		48.52%	671
Other interested party (e.g. landlord with property outside this area, landlord organisation, councillor, etc.)		9.69%	134
		answered	1383
		skipped	28

1.4 Views on the proposal

Of the 1,395 respondents who expressed a view on whether licensing would help resolve the issues of poor management and poor conditions in private rented properties, 818 (58.64%) agreed, 466 (33.4%) disagreed and 111 (7.96%) neither agreed nor disagreed.




Figure 2: Views on the proposal

Do you agree that the proposed licensing schemes would help to resolve poor management and poor conditions of private rented properties in the proposed area?			
		Response Percent	Response Total
Strongly agree		35.41%	494
Agree		23.23%	324
Neither agree nor disagree		7.96%	111
Disagree		10.39%	145
Strongly disagree		23.01%	321
		answered	1395
395 respondents		skipped	16

1.5 Views on the additional licence fee of £1,300 (without reductions) to license on time

Of the 1,377 people who responded to this question 256 (18.59%) thought the fee was too low, 538 (39.07%) thought it was about right and 583 (42.34%) thought it was too high.




Figure 3: Views on compliant additional licensing fee, no discounts

The proposed licence fee with no reductions for HMOs under Additional Licensing will be £1,300. Do you think this is?			
		Response Percent	Response Total
Too low		18.59%	256
The right amount		39.07%	538
Too high		42.34%	583
		answered	1377
		skipped	34

1.6 Views on the selective licence fee of £799 (without reductions) to license on time

Of the 1,371 people who responded to this question, 219 (15.97%) thought the fee was too low, 583 (42.52%) thought it was about right and 569 (41.5%) thought it was too high.




Figure 4: Views on compliant selective licensing fee, no discounts

The proposed licence fee with no reductions for other privately rented properties under Selective Licensing will be £799. Do you think this is?			
		Response Percent	Response Total
Too low		15.97%	219
The right amount		42.52%	583
Too high		41.50%	569
		answered	1371
		skipped	40

1.7 Views on whether it is fair to charge more to landlords / agents who don't apply when they should?

Of the 1,393 people who responded to this question, 977 (70.14%) said yes it was fair, 293 (21.03%) said no and 123 (8.83%) were not sure.




Figure 5: Views on charging higher fees for those who don't apply when they should

Do you think that it is fair to charge more to landlords or managing agents who don't apply for a licence when they should?			
		Response Percent	Response Total
Yes		70.14%	977
No		21.03%	293
Not sure		8.83%	123
		answered	1393
		skipped	18

1.8 Views on whether the £100 'finder's fees' is fair for landlords/agents who do not licence their property on time

Of the 1,376 people who responded to this question, 532 (38.66%) said it was too low; 530 (38.52%) said it was about right and 314 (22.82%) it was too high.




Figure 6: Views on £100 Finder's Fee for those who do not licence their property on time

Do you think the 'finder's fee' of £100 proposed for landlords/agents who do not licence their property on time is?			
		Response Percent	Response Total
Too low		38.66%	532
The right amount		38.52%	530
Too high		22.82%	314
		answered	1376
		skipped	35

1.9 Views on a discount of £150 for those landlords who provide satisfactory certificates on time.

Of the 1,389 respondents who expressed a view on whether we should give a discount for safety and EPC certificates, 916 (65.95%) said yes, 357 (25.7%) said no and 116 (8.35%) weren't sure.

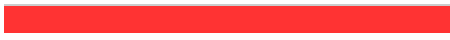


Figure 7: View on discounts for satisfactory certificates submitted on time

Do you agree there should be a discount of £150 for those landlords who provide satisfactory certificates on time?			
		Response Percent	Response Total
Yes		65.95%	916
No		25.70%	357
Not sure		8.35%	116
		answered	1389
		skipped	22

1.10 Views on the proposed discount of £150 for a landlord accredited under an approved Rent with Confidence scheme

Of the 1,383 respondents who expressed a view on whether we should give a discount for being an accredited member under the Rent with Confidence scheme, 792 (57.27%) said yes, 341 (24.66%) said no and 250 (18.08%) weren't sure.

Figure 8: View on discounts for landlords accredited under Rent with Confidence scheme

Do you agree that there should be an additional discount of £150 for a landlord who is accredited under one of our approved Rent with Confidence schemes?			
		Response Percent	Response Total
Yes		57.27%	792
No		24.66%	341
Not sure		18.08%	250
		answered	1383
		skipped	28

1.11 Context

The council has a statutory duty to consult for a minimum period of 10 weeks¹ with all people, organisations and businesses that would be affected by the proposal. The consultation was open between 17 March 2021 and 26 May 2021 and sought views from the public (including private landlords and private tenants with property in the proposal area, managing agents and residents, local universities, businesses, and organisations which represent private landlords and tenants) about the proposal.

1.12 Bristol Corporate Strategy 2018-23

The Corporate Strategy aims to tackle the range of housing issues that affect people who live in Bristol. Due to the economic situation in Bristol the private rented sector (PRS) continues to grow bringing issues such as the insecurity of short-term tenancies, and for some poor property conditions and tenancy management. This demand has pushed up rents for some of the most vulnerable tenants.

1.13 Bristol's One City Plan – Raising Standards in the Private Rented Sector

Under the One City Plan there is a target to improve the PRS through discretionary licensing. Under the additional powers discretionary licensing gives Local Authorities it is considered that licensing can increase quality and management standards in the sector through inspection and enforcement powers.

1.14 Scope of this report

This consultation report describes the methodology and results of the consultation. It summarises and quantifies the views expressed in the consultation survey responses and in other written correspondence received between 17th March and 26th May 2021.

¹ Duty to consult Section 56 of the Housing Act 2004

2 Methodology

2.1 The Survey

An online consultation survey was available on the city council's Consultation Hub (www.bristol.gov.uk/consultationhub) between 17th March and 26th May 2020. The online survey pages contained:

- an overview of the consultation proposal.
- links to the Proposal Consultation Information Booklet and the survey questions.
- options to request alternative formats (Easy Read, Audio, Braille large print, language translations and British Sign Language).

The survey questions included six sections:

- Section A: questions for all respondents
- Section B: questions for private landlords and managing agents who let property in the proposal area.
- Section C: questions for private tenants who are living or have lived in the proposal area.
- Section D: questions to owner-occupiers or other residents currently living in the proposal area.
- Section E: questions to other interested parties.
- Section F: equalities monitoring and next steps – all respondents.

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

2.2 Paper copies

The proposal survey form (questionnaire) and information booklet were produced which together provided all the information that was available online and were made available with Freepost return envelopes by request.

2.3 Alternative formats

The following alternative formats were made available on request:

- Braille
- Large Print
- Easy Read
- Audio file
- British Sign Language (BSL) videos
- Translation to other languages. (No translations were directly requested by citizens)
- Easy Read, Audio and BSL formats were also available at the survey webpages

2.4 Other correspondence

209 emails and 7 letters were received and responded to during the consultation.

2.5 Publicity

2.5.1 Objective

The following programme of activity was undertaken to publicise and explain the consultation although very limited by Covid restrictions. The primary objective was to ensure that information was shared across a wide range of channels, reaching as broad a range of audiences as possible to maximise response rates, including feedback by groups that are often under-represented in surveys.

2.5.2 Bristol City Council channels

Copy and electronic material were shared via the following council and partner channels and networks:

- Item in Our City e-newsletter (reaching 2,000 people)
- Ask Bristol newsletter
- Press release to local print, TV, radio media and specialist publications (in press 17th March 2021)
- Emails and briefings held for the relevant ward Councillors prior to start of consultation
- 26,287 letters were sent to known private landlords and letting agents, private tenants and residents living in the proposed area on 16th March
- Email to 6,924 landlords and agents on the Landlord Liaison database on 18th March
- Emails sent to the two Bristol universities and to landlord and tenant organisations including Bristol CAB, CHAS, ACORN, Shelter, BALMA, North Bristol Advice centre and Bristol City Council's Private Renting Team
- Emails sent to neighbouring West of England Local Authorities – South Gloucestershire, Bath & North east Somerset, and North Somerset
- Article in the Landlord Bulletin #14 sent to 6,924 landlords and agents and follow up reminder in the next issue
- Presentation and discussion to 70 members of the West of England Landlord and Agent Panel 19th March
- Reminder issued at the Landlord Forum meeting 13th May 2021
- Link to consultation from property licensing pages of Bristol City Council website throughout 10-week consultation period.
- Stakeholder toolkit was sent to councillors and other stakeholders including – information about the consultation and a request that the information be shared, suggested social media content and assets to be shared, newsletter content.

2.5.3 Social Media – posts, outreach, and advertising

Regular posts on Bristol City Council's social media channels (Twitter and Facebook) were made for the duration of the consultation.

Press release 17 March [Have your say on housing licensing schemes \(bristol.gov.uk\)](https://www.bristol.gov.uk/news/press-releases/have-your-say-on-housing-licensing-schemes) resulted in article in Bristol Post - [Landlord licensing to be extended amid fears it's causing the end of the shared house in Bristol - Bristol Live \(bristolpost.co.uk\)](https://www.bristolpost.co.uk/news/landlord-licensing-to-be-extended-amid-fears-its-causing-the-end-of-the-shared-house-in-bristol/)

Paid Facebook advertising targeted to Horfield, Bedminster and Brislington West

- **19 March – 24 April £53.56** Reached 16,756 people; 595 people clicked on link to the survey. Cost per click £0.09
- **17 – 26 May £44.99** Reached 14,597 people; 233 people clicked on link to the survey. Cost per click £0.19

Organic social media:

Date	Facebook People reached	Twitter People reached	Nextdoor (targeted to Horfield, Bedminster, and Bris West)
18 March	2.5k	110k	Y
27 March	3k	108k	Y
6 April	3.6k	108.6k	Y
14 April	2.2k	108.6k	Y
22 April	1.3k	110.7k	Y
30 April	866	109.4k	Y
12 May	1.2k	115.9k	Y
20 May	1.1k	108.5k	Y

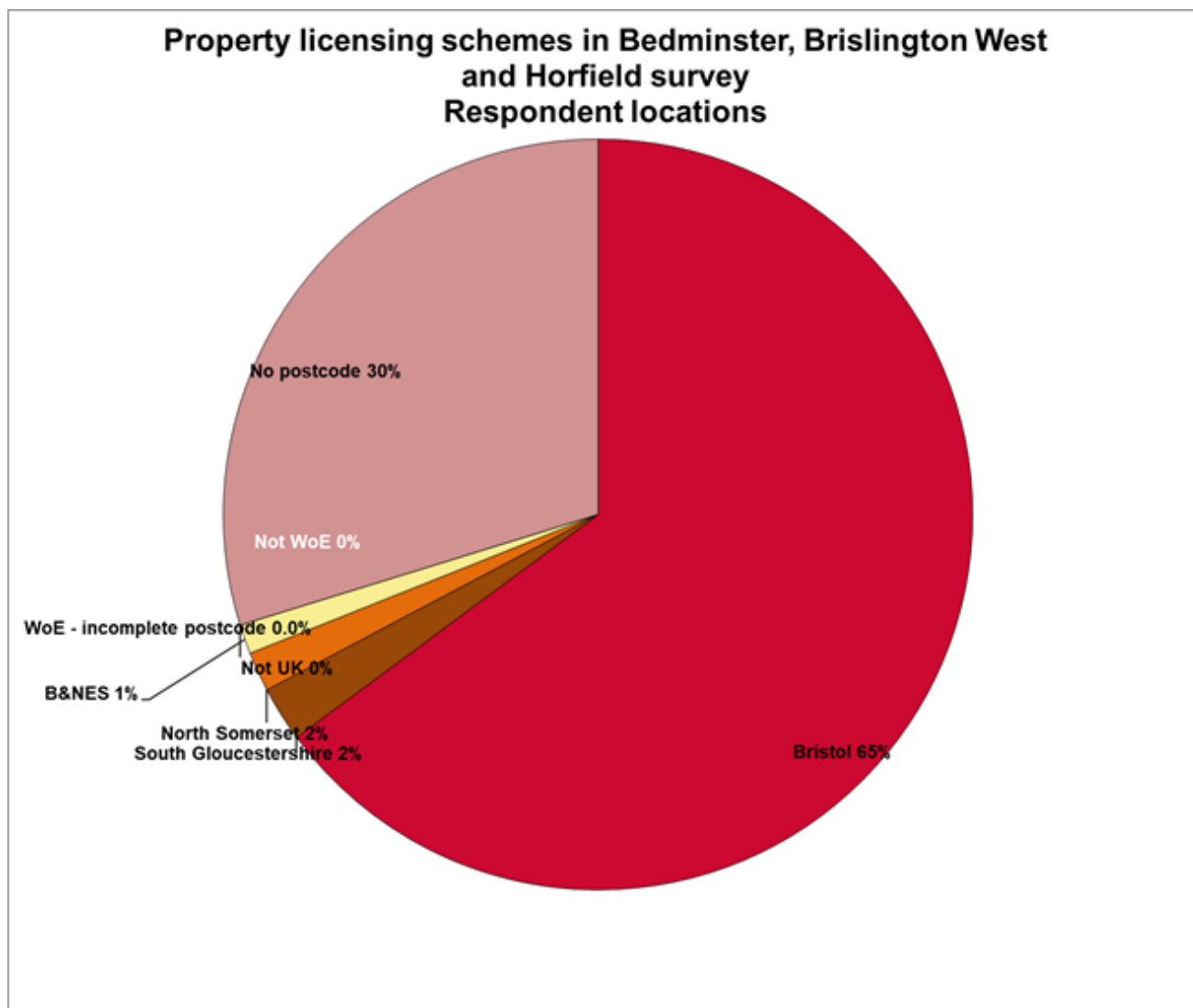
3 Survey Response rate and Respondent characteristics

1,411 completed surveys were received via the online form and paper-based surveys. 27 (2%) respondents completed the survey on paper and 1,384 (98%) self-completed it online. 208 emails and 7 letters were also received.

3.1 Geographic distribution of responses

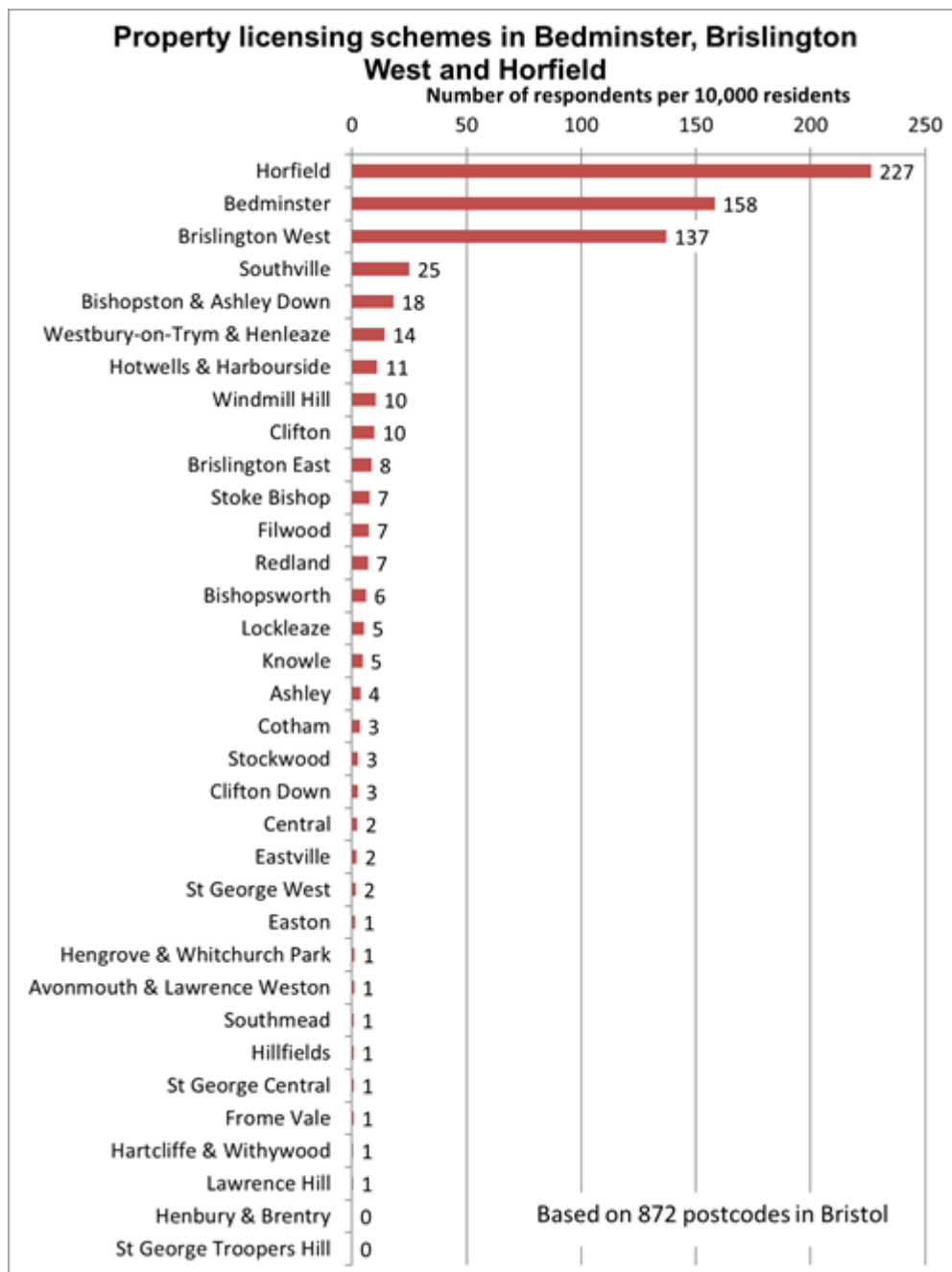
65% of responses were received from postcodes within the Bristol City Council area, 2% were from South Gloucestershire, 2% were from North Somerset, and 1% were from Bath & North East Somerset (B&NES). Further responses were from unspecified locations within the four West of England authorities and one response was from outside the UK. 30% did not provide a postcode.

Figure 8: Distribution of respondent by Local Authority area



Of the 872 responses from within the Bristol City Council area who provided full or partial postcodes from which the ward of origin could be identified.

Figure 9: Geographic distribution of responses



3.2 Characteristics of respondents

Of the 1,383 survey responses to this question, 411 (29.72%) described themselves as private landlords or agents with property in the area, 233 (16.85%) private tenants living in the area, 671 (48.52%) owner-occupiers and other residents living in the area, and 134 (9.69%) from other interested parties (including councillors, landlords and tenants living outside of the area, local businesses, and landlord organisations). 28 respondents did not state a category.

Figure 10: Respondent category

Which of the following best describes your situation? (Please tick all that apply)			
		Response Percent	Response Total
A private landlord or managing agent who lets property in these areas (This option includes landlords who live in the property they let)		29.72%	411
A private tenant who is living or has lived in these areas, or someone responding on behalf of a tenant		16.85%	233
An owner-occupier or other resident currently living in these areas		48.52%	671
Other interested party (e.g., landlord with property outside this area, landlord organisation, councillor, etc.)		9.69%	134
		answered	1383
		skipped	28

3.3 Equalities monitoring information

The following Figures 11 - 19 show the equalities characteristics of the respondents, where provided.

Figure 11: What is your age?

What is your age?			
Answer Choices		Response Percent	Response Total
0-10		0.08%	1
11-15		0.08%	1
16-17		0.00%	0
18-24		1.96%	26
25-34		16.52%	219
35-44		22.62%	300
45-54		17.80%	236
55-64		18.25%	242
65-74		13.65%	181
75-84		4.30%	57
85 +		0.45%	6
Prefer not to say		4.30%	57
		answered	1326

Figure 12: Do you consider yourself to be a disabled person

Do you consider yourself to be a disabled person?			
Answer Choices		Response Percent	Response Total
Yes		5.45%	72
No		88.18%	1164
Prefer not to say		6.36%	84
		answered	1320
		skipped	91

Figure 13: What is your sex?

What is your sex?			
Answer Choices		Response Percent	Response Total
Female		42.44%	559
Male		45.71%	602
Prefer not to say		10.93%	144
Other (please describe):		0.91%	12
		answered	1317
		skipped	94

Figure 14: Have you gone through any part of a gender reassignment process or do you intend to?

Have you gone through any part of a gender reassignment process or do you intend to?			
Answer Choices		Response Percent	Response Total
Yes		0.39%	5
No		88.07%	1137
Prefer not to say		11.54%	149
		answered	1291
		skipped	120

Figure 15: What is your ethnic group?

What is your ethnic group? (please tick one box only)			
Answer Choices		Response Percent	Response Total
White British		75.65%	994
White Irish		1.07%	14
White Other		5.56%	73
Black /African / Caribbean / Black British		0.68%	9
Asian / Asian British		1.83%	24
Mixed / Multi ethnic group		1.45%	19
Gypsy / Roma / Irish Traveller		0.15%	2
Prefer not to say		11.49%	151
Any other ethnic background (please describe):		2.13%	28
		answered	1314
		skipped	97

Figure 16: What is your sexual orientation?

What is your sexual orientation?			
Answer Choices		Response Percent	Response Total
Bisexual		3.50%	45
Gay Man		2.02%	26
Gay Woman / Lesbian		0.86%	11
Heterosexual / Straight		73.54%	945
Prefer not to say		18.13%	233
Other (please describe):		1.95%	25
		answered	1285
		skipped	126

Figure 17: What is your religion / faith?

What is your religion/faith?			
Answer Choices		Response Percent	Response Total
No Religion		49.34%	639
Buddhist		0.54%	7
Christian		31.27%	405
Hindu		0.54%	7
Jewish		0.15%	2
Muslim		0.85%	11
Pagan		0.54%	7
Sikh		0.31%	4
Prefer not to say		13.82%	179
Other (please describe):		2.63%	34
		answered	1295
		skipped	116

Figure 18: Are you pregnant or have you given birth in the last 26 weeks?

Are you pregnant or have you given birth in the last 26 weeks?			
Answer Choices		Response Percent	Response Total
Yes		1.56%	20
No		87.66%	1122
Prefer not to say		10.78%	138
		answered	1280
		skipped	131

Figure 19: Are you a refugee or asylum seeker?

Are you a refugee or asylum seeker?			
Answer Choices		Response Percent	Response Total
Yes		0.23%	3
No		90.05%	1158
Prefer not to say		9.72%	125
		answered	1286
		skipped	125

4 Survey results: Overall views on the proposal

Survey respondents were asked to provide their views on the key commitments using a five-point scale from 'strongly agree' to 'strongly disagree'.

Respondents were asked if they agreed that the proposed licensing schemes would help to resolve poor management and poor conditions of private rented properties in the proposed area.

Of the 1,395 respondents who expressed a view on whether additional and selective licensing would help resolve the issues of poor management and poor conditions in the PRS in the proposed areas, 818 (58.64%) agreed, 466 (33.4%) disagreed and 111 (7.96%) neither agreed nor disagreed. 16 skipped the question.

Figure 20: Would licensing resolve the problems of poor management and poor conditions in private rented properties in the proposed areas?

Do you agree that the proposed licensing schemes would help to resolve poor management and poor conditions of private rented properties in the proposed area?			
		Response Percent	Response Total
Strongly agree		35.41%	494
Agree		23.23%	324
Neither agree nor disagree		7.96%	111
Disagree		10.39%	145
Strongly disagree		23.01%	321
		answered	1395
		skipped	16

4.1 Breakdown of views by respondent category

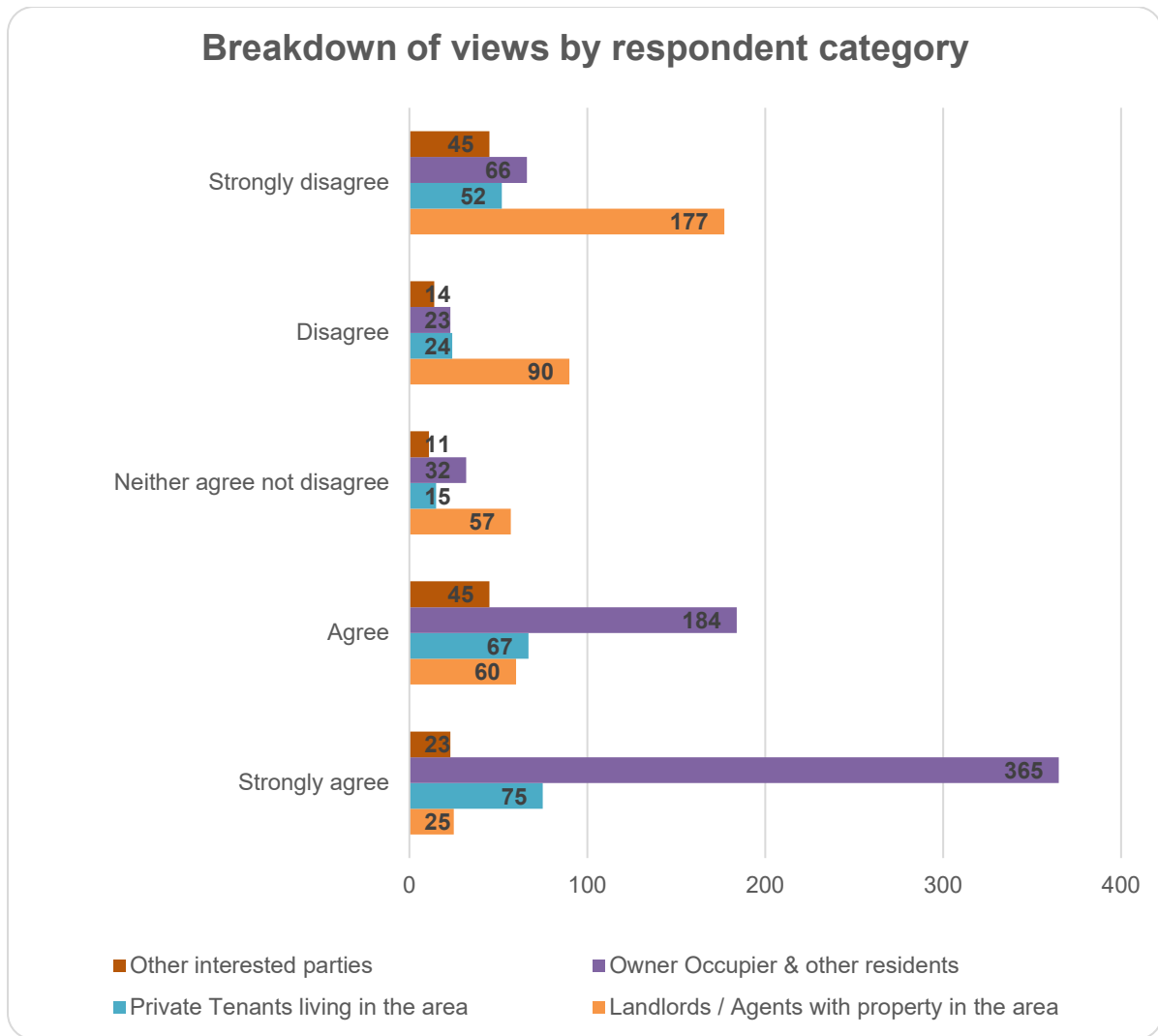
Do you support this proposal?

- 85 (20.8%) of landlords / agents with property in the area agreed or strongly agreed with the proposal, 267 (65.3%) disagreed or strongly disagreed and 57 (13.9%) neither agreed nor disagreed.

- 142 (70%) of private tenants living in the area agreed or strongly agreed with the proposal, 76 (32.6%) disagreed or strongly disagreed and 15 (6.4%) neither agreed not disagreed.
- 549 (82%) of owner occupiers living in the area agreed or strongly agreed with the proposal, 89 (13.3%) disagreed or strongly disagreed and 32 (4.8%) neither agreed not disagreed.
- 68 (51.1%) of other interested parties agreed or strongly agreed with the proposal, 60 (45.1%) disagreed or strongly disagreed and 11 (8.3%) neither agreed nor disagreed.

This totals more than the number overall (1,445) as this result has been cross referenced with the question on status of respondent and some fell into more than one category i.e., is an owner occupier living in the area and who is also a landlord with property in the area.

Figure 21: Breakdown of whether respondents support proposal or not by respondent category



4.2 Responses to the additional licensing fee of £1,300 (without reductions)

Of the 1,377 people who responded to this question 256 (18.59%) thought the fee was too low, 538 (39.07%) thought it was about right and 583 (42.34%) thought it was too high.

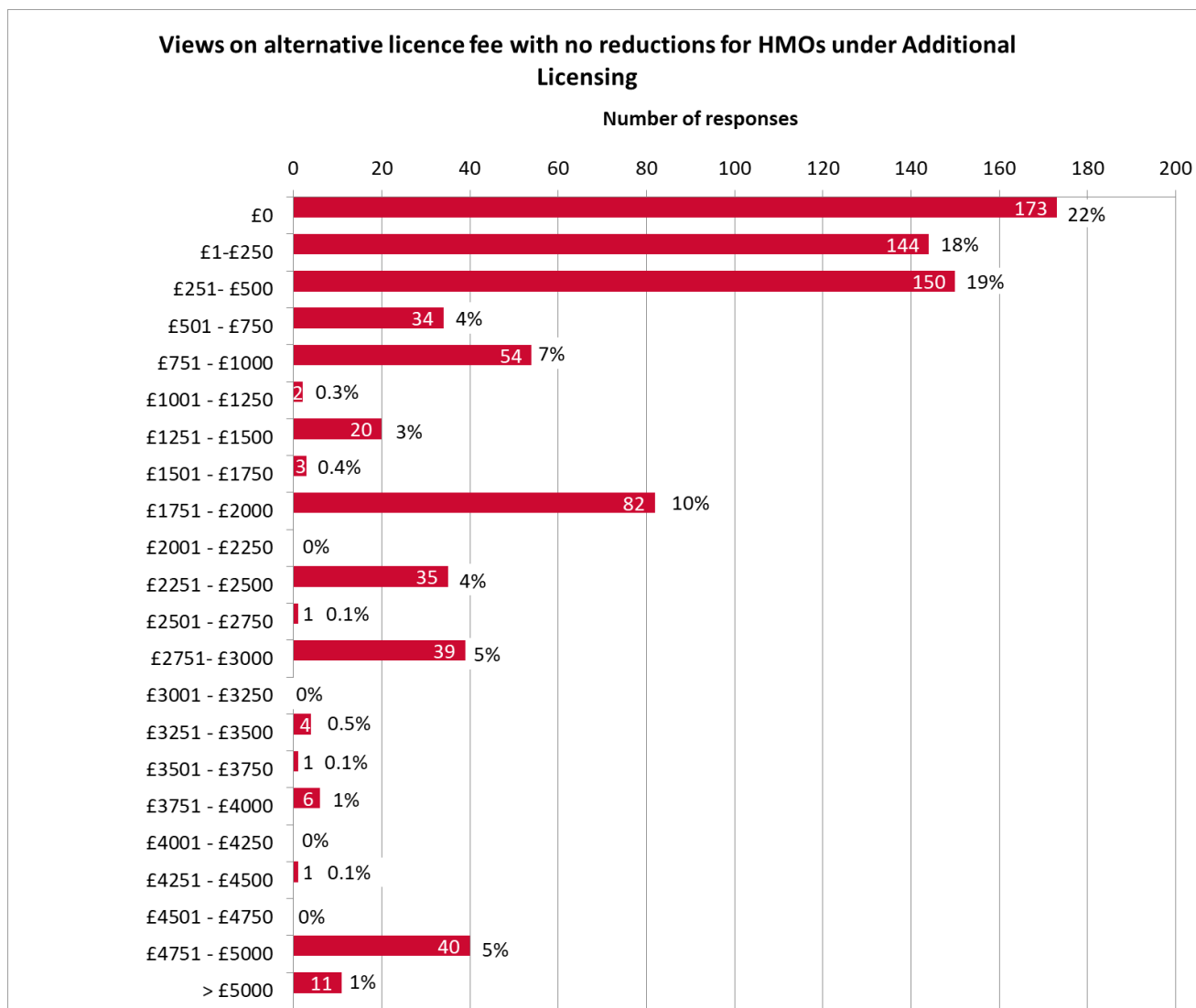
Figure 22: Views on compliant additional licensing fee, no discounts

The proposed licence fee with no reductions for HMOs under Additional Licensing will be £1,300. Do you think this is?		Response Percent	Response Total
Too low		18.59%	256
The right amount		39.07%	538
Too high		42.34%	583
		answered	1377
		skipped	34

4.3 Views on alternative fee levels for additional licence applications

800 responded offering an alternative fee level as in the table below.

Figure 23: Suggestions on alternative fee levels



4.4 Views on the selective licence fee of £799 (without reductions) to license on time

Of the 1,371 people who responded to this question, 219 (15.97%) thought the fee was too low, 583 (42.52%) thought it was about right and 569 (41.5%) thought it was too high.

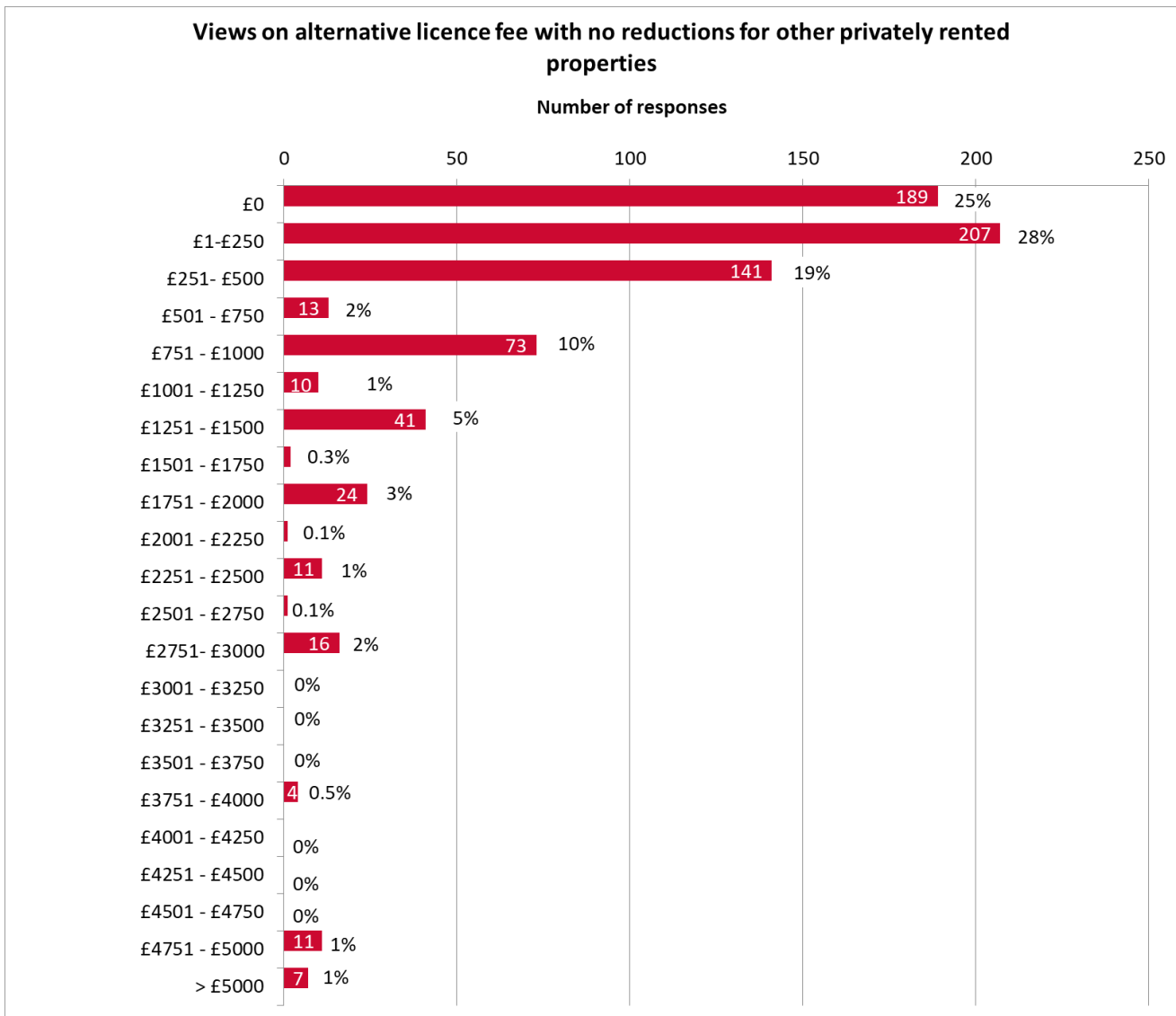
Figure 24: Views on compliant selective licensing fee, no discounts

The proposed licence fee with no reductions for other privately rented properties under Selective Licensing will be £799. Do you think this is?			
		Response Percent	Response Total
Too low		15.97%	219
The right amount		42.52%	583
Too high		41.50%	569
		answered	1371
		skipped	40

4.5 Views on alternative fee levels for selective licence applications

751 responded offering an alternative fee level as in the table below.

Figure 25: Suggestions on alternative selective licence fee level



4.6 Views on whether it is fair to charge more to landlords / agents who don't apply when they should?

Of the 1,393 people who responded to this question, 977 (70.14%) said yes it was fair, 293 (21.03%) said no and 123 (8.83%) were not sure.




Figure 26: Views on charging higher fees for those who don't apply when they should

Do you think that it is fair to charge more to landlords or managing agents who don't apply for a licence when they should?			
		Response Percent	Response Total
Yes		70.14%	977
No		21.03%	293
Not sure		8.83%	123
		answered	1393
		skipped	18

4.7 Views on whether the £100 'finder's fees' is fair for landlords/agents who do not licence their property on time

Of the 1,376 people who responded to this question, 532 (38.66%) said it was too low; 530 (38.52%) said it was about right and 314 (22.82%) it was too high.

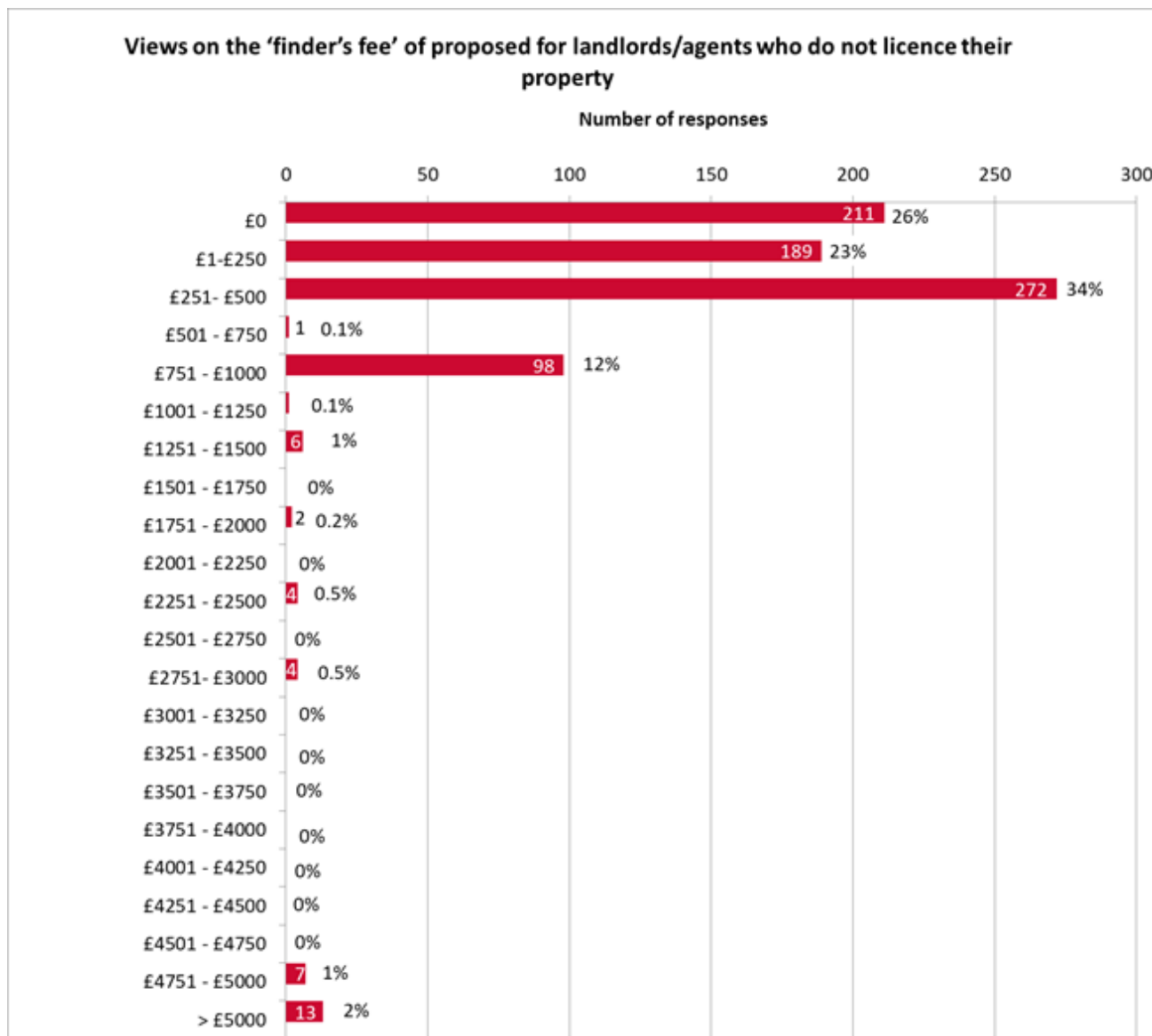
Figure 27: Views on £100 Finder's Fee for those who do not licence their property on time

Do you think the 'finder's fee' of £100 proposed for landlords/agents who do not licence their property on time is?			
		Response Percent	Response Total
Too low		38.66%	532
The right amount		38.52%	530
Too high		22.82%	314
		answered	1376
		skipped	35

4.8 Views on alternative finder's fee levels

808 responded offering an alternative finder's fee level as in the table below.

Figure 28: Suggestions on alternative Finder’s fee level



4.9 Views on a discount of £150 for those landlords who provide satisfactory certificates on time.

Of the 1,389 respondents who expressed a view on whether we should give a discount for safety and EPC certificates, 916 (65.95%) said yes, 357 (25.7%) said no and 116 (8.35%) weren't sure.

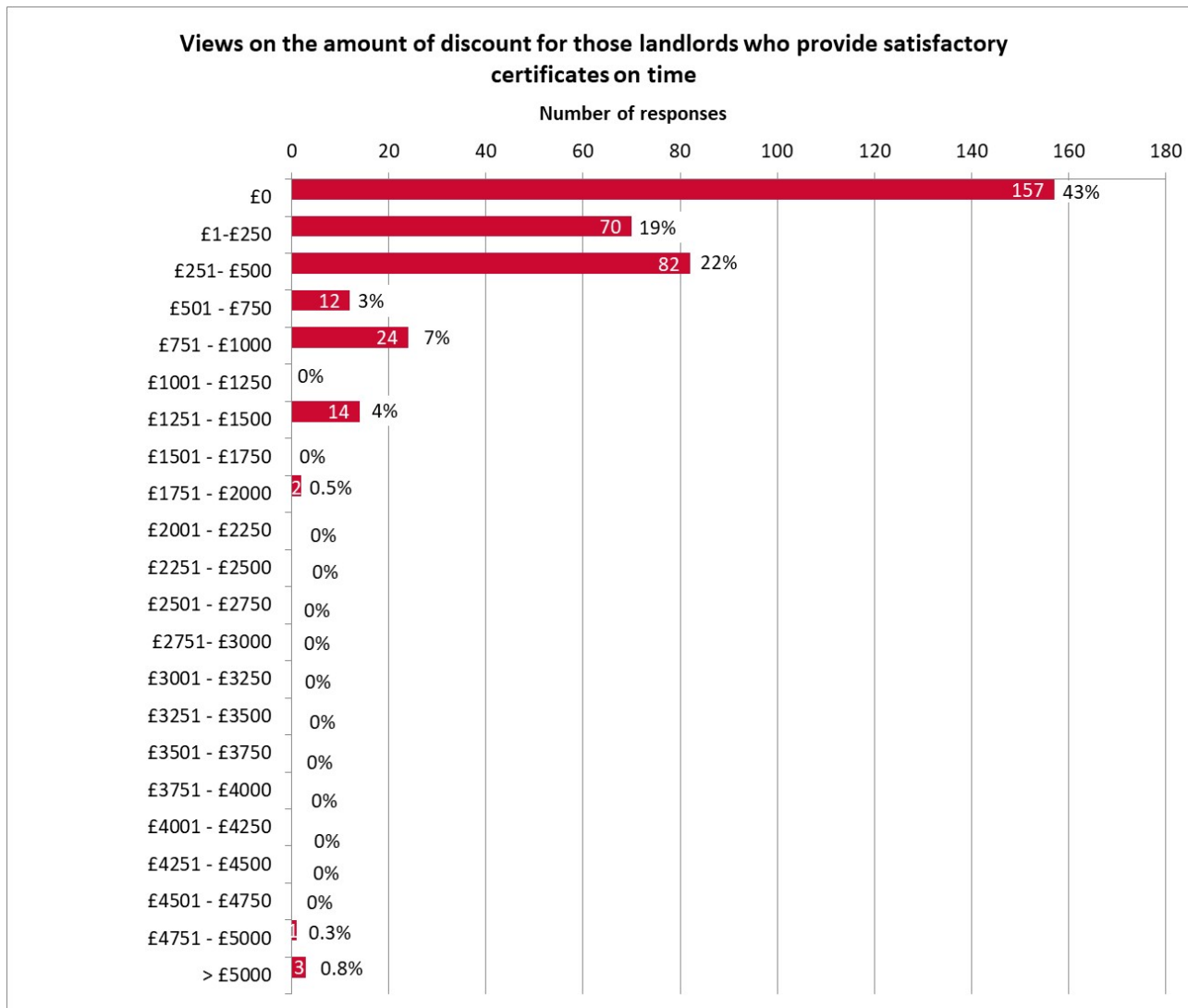
Figure 29: View on discounts for satisfactory certificates submitted on time

Do you agree there should be a discount of £150 for those landlords who provide satisfactory certificates on time?			
		Response Percent	Response Total
Yes		65.95%	916
No		25.70%	357
Not sure		8.35%	116
		answered	1389
		skipped	22

4.10 Views on alternative fee levels for discount for submitting safety certificates on time

365 responded as per the table below offering an alternative discount.




Figure 30: Suggestions on alternative discount for safety certificates submitted on time



4.11 Views on the proposed discount of £150 for a landlord accredited under an approved Rent with Confidence scheme

Of the 1,383 respondents who expressed a view on whether we should give a discount for being an accredited member under the Rent with Confidence scheme, 792 (57.27%) said yes, 341 (24.66%) said no and 250 (18.08%) weren't sure.

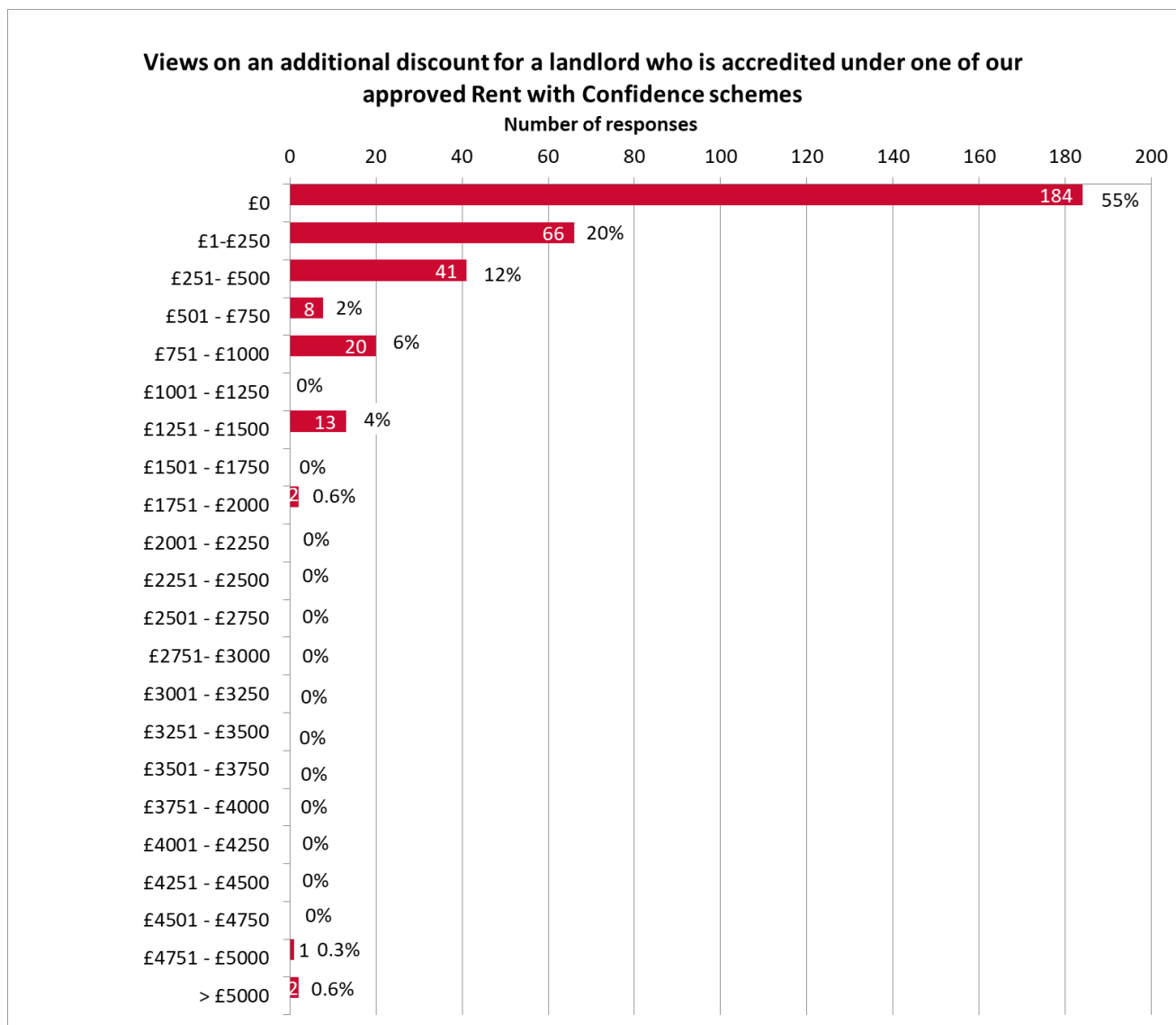
Figure 31: View on discounts for landlords accredited under Rent with Confidence scheme

Do you agree that there should be an additional discount of £150 for a landlord who is accredited under one of our approved Rent with Confidence schemes?			Response Percent	Response Total
Yes			57.27%	792
No			24.66%	341
Not sure			18.08%	250
			answered	1383
			skipped	28

4.12 Views on alternative discount for Rent with Confidence membership

337 responded as per the table below offering an alternative discount.

Figure 32: Suggestions on alternative discount



4.13 Any other comments about this proposal?

All respondents were asked if they had any other comments to make about the proposal. Of the 1411 people who responded to the consultation, 814 (58%) respondents left free text comments which are categorised and summarised below:

176 (22%) said they supported the proposal and they wanted this to improve standards in the private rented sector.

46 (6%) said were against the proposal especially extending licensing to family accommodation.

194(24%) said the proposals were of no benefit to good landlords. Licensing would punish the good landlords because of the actions of the poor landlords.

23 (3%) said they believed the council already had sufficient powers to deal with the poor landlords.

19 (2.3%) said that for the proposal to be effective, the council must ensure there are enough resources in place to do the job properly.

191 (23%) were concerned that the licence fee would be passed on to the tenants.

72 (9%) thought the licence fee proposed was too high and questioned how it was calculated.

20 (2%) thought the licence was too low and penalties were not high enough to discourage poor landlords.

70 (9%) thought licensing was just a money-making scheme for the council.

132 (16%) said this was an additional burden on landlords which would drive smaller landlords out and was bad timing considering what everyone has been through with Covid. For many it would be a step too far.

39 (5%) said they were concerned that landlords with HMOs would change to family only accommodation to avoid licensing fees, causing hardships for the sharers who cannot afford anything else.

18 (2%) said there was not enough evidence that the proposed scheme was necessary.

26 (3%) said licensing was not necessary in their ward.

49 (6%) said that there were already too many HMOs in the area causing problems in the community (in the mistaken belief that the proposal was about introducing more HMOs).

18 (2%) said there should not be discounts for the certificates that are already mandatory.

48 (6%) made other comments abouts the discounts including substantial discounts should be given to those with managing agents as they were effectively paying twice for the same checks or that other accrediting organisations, not just those approved under Rent with Confidence scheme, should be eligible for the discount.

39 (5%) gave alternative views on what the criteria should be, areas that should be included (citywide) and things that should be included in standards such as limited cars and more protection from poor tenants.

44 (5%) made comments about the actual consultation process and asking why council housing was not included and that we should get our own house in order first. Several comments made were not relevant to the proposal.

5 Responses to questions directed to private landlords or managing agents who let property in the area.

5.1 Which of the following best describes your situation?

411 respondents identified themselves as landlords or managing agents with properties in the area. This accounted for 29.72% of the 1,383 respondents who answered this question.

Figure 33: Which of the following best describes your situation

Which of the following best describes your situation? (Please tick all that apply)			
Answer Choices		Response Percent	Response Total
A private landlord or managing agent who lets property in these areas (This option includes landlords who live in the property they let)		29.72%	411
A private tenant who is living or has lived in these areas, or someone responding on behalf of a tenant		16.85%	233
An owner-occupier or other resident currently living in these areas		48.52%	671
Other interested party (e.g., landlord with property outside this area, landlord organisation, councillor, etc.)		9.69%	134
		answered	1383
		skipped	28

5.2 How many properties do you own or manage in each of the proposed licence areas?

Of the landlords/managing agents who answered this question – 219 (55.44%) have properties in Bedminster ward, 111 (28.1% in Brislington West ward and 174 (44.05%) have properties in Horfield ward. The range of property numbers appear in the chart below.

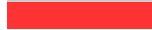


Figure 34: The numbers of properties owned in each ward.

If you are a landlord or managing agent, please state how many properties you own or manage in each of the wards within the proposed licence area. Please provide your answer in a numeric format (not words)		
Answer Choices	Response Percent	Response Total
Bedminster	55.44%	219
Brislington West	28.10%	111
Horfield	44.05%	174
	answered	395
	skipped	1016

5.3 Types of properties the landlord / agent respondents let

Of the 396 respondents who answered this question, 96 (24.24%) said they let HMOs and 268 (67.68%) that they let other rented accommodation and 39 (9.85%) said that they let both HMOs and non-HMOs.

Figure 35: The types of properties let by respondents

Are the properties that you let:			
		Response Percent	Response Total
HMOs		24.24%	96
Other rented accommodation		67.68%	268
Both		9.85%	39
		answered	396
		skipped	1015

5.4 Number of properties of each type let by respondent landlords/ agents

Based on respondents who stated how many of each type of properties that they let the ranges appear in Figure 25 below

Figure 36: Number of properties of each type let by respondent landlord / agents

How many properties of each type do you let? (HMOs are houses or flats let to three or more people who are not related and share some facilities like bathrooms or kitchens) Please provide your answer in a numeric format (not words)			
Answer Choices		Response Percent	Response Total
HMOs		45.08%	174
Other rented accommodation		77.20%	298
		answered	386
		skipped	1025

5.5 How often do respondent landlord / agents visit their properties?

Of the 401 responses to this question, 36 (8.98%) said they visited the property annually quarterly; 82 (20.45%) visited every 6 months and 130 (32.42%) visited quarterly and 11 (2.74%) were resident landlords. 142 (35.41%) said Other.

Figure 37: How often do you respondent landlords / agents visit their properties?

How often do you visit your properties?		Response Percent	Response Total
Annually		8.98%	36
Every 6 months		20.45%	82
Quarterly		32.42%	130
I live at the property		2.74%	11
Other (please specify):		35.41%	142
		answered	401
		skipped	1010

The 142 Other responses included:

- Weekly (5)
- Monthly (23)
- 2 monthly (8)
- Quarterly (5)
- 6 monthly (7)
- Every day (1)
- Several times a week (1)
- Every 2 weeks
- Regularly (7)
- Managed and inspected by agents (41)
- When required for repairs (18)
- Varies according to tenant (2)
- Rarely/Never (4)
- At change of tenancy (3)
- As often as necessary (8)
- Several times a year
- Covid permitting
- Often – daughter lives in property

5.6 Do landlords / agents comply with their legal responsibilities in relation to gas, electrical and fire safety?

Of the 402 respondents 99.5% (393) said they provided gas certificates; 99% (397) provided electrical safety certificates and 98% (389) provided fire safety certificates.




Figure 38: Number of respondents who supply relevant safety certificates.

Do you comply with your legal responsibilities in relation to?				
	Yes	No	Don't know	Response Total
Gas	99.5% (393)	0.3% (1)	0.3% (1)	395
Electrical	99.0% (397)	0.2% (1)	0.7% (3)	401
Fire safety	98.0% (389)	0.5% (2)	1.5% (6)	397
			answered	402
			skipped	1009

5.7 Do respondent landlords have a planned maintenance programme for their properties?

Of the 402 respondents 307 (76.37%) said they had a planned maintenance programme, 82 (20.4%) said no and 13 (3.23%) said they didn't know if they had a planned maintenance programme.



Figure 39: Number of landlords who say they have a planned maintenance programme

Do you have a planned maintenance programme for your properties?			
		Response Percent	Response Total
Yes		76.37%	307
No		20.40%	82
Don't know		3.23%	13
		answered	402
		skipped	1009

5.8 Do respondent landlords/agents issue a written tenancy agreement?

Of the 402 respondents, 392(97.51%) issued a written tenancy agreement, 9 (2.24%) said they didn't and 1 (0.25%) said they didn't know.




Figure 40: Number of respondents who issue a written tenancy agreement

Do you issue a written tenancy agreement?			
		Response Percent	Response Total
Yes		97.51%	392
No		2.24%	9
Don't know		0.25%	1
		answered	402
		skipped	1009

5.9 Do respondent landlords / agents have an agreement of how quickly they respond to requests for repairs etc.?

Of 401 respondents 307 (76.56%) have an agreement for how quickly they respond to requests for repairs, 79 (19.7%) do not have an agreed response time and 15 (3.74%) said they didn't know.




Figure 41: Number of respondents who have an agreed response time for repairs

Do you have an agreement of how quickly you respond to requests for repairs etc.?			
		Response Percent	Response Total
Yes		76.56%	307
No		19.70%	79
Don't know		3.74%	15
		answered	401
		skipped	1010

5.10 Do respondent landlords /agents provide a current Energy Performance Certificate (EPC)?

Of the 401 who responded, 356 (88.78%) said they provide a current EPC, 28 (6.98%) don't provide one and 17 (4.24%) don't know if they provide an EPC.



Figure 42: Number of respondents who provide a current Energy Performance Certificate (EPC)

Do you provide a current Energy Performance Certificate (EPC)?			
		Response Percent	Response Total
Yes		88.78%	356
No		6.98%	28
Don't know		4.24%	17
		answered	401
		skipped	1010

5.11 Do respondent landlord /agents provide emergency contact details?

Of the 399 respondents, 396 (99.25%) provide their tenants with emergency contact details, 3 (0.75%) said that they don't provide contact details.




43: Number of respondents who provide emergency contact details

Do you provide tenants with emergency contact details?			
		Response Percent	Response Total
Yes		99.25%	396
No		0.75%	3
Don't know		0.00%	0
		answered	399
		skipped	1012

5.12 Do respondent landlords /agents keep within overcrowding limits?

Of the 401 respondents to this question, 394 (98.25%) said they kept to within overcrowding limits, 1 (0.25%) didn't and 6 (1.5%) didn't know if they did or not.

Figure 44: Respondents who keep to overcrowding limits

Do you keep within overcrowding limits?			
		Response Percent	Response Total
Yes		98.25%	394
No		0.25%	1
Don't know		1.50%	6
		answered	401
		skipped	1010

5.13 Problems experienced by respondent landlords and agents

Of the 402 people who responded to this question, 49(12.3%) said they had experienced problems with antisocial behaviour by either their tenants or their visitors; 91 (22.8%) said there had been damage to their property; 51 (12.8%) had received noise complaints about their tenants; 38 (.9.5%) had received complaints about rubbish and waste; 36 (9.1%) had experienced difficulty evicting their tenants; 26 (6.5%) had received other complaints from neighbours and 17 (6.2%) other issues with the tenancy

Figure 45: Problems experienced by respondent landlords

Have you experienced any of the following problems?			
	Yes	No	Response Total
Antisocial behaviour from your tenants or their visitors	12.3% (49)	87.7% (350)	399
Damage to your property (more than reasonable wear and tear)	22.8% (91)	77.2% (308)	399
Noise complaints about your tenants	12.8% (51)	87.2% (346)	397
Complaints about rubbish/waste	9.5% (38)	90.5% (360)	398
Difficulty legally evicting your tenants	9.1% (36)	90.9% (360)	396
Other Complaints from neighbours	6.5% (26)	93.5% (371)	397
Other	6.2% (17)	93.8% (257)	274
		answered	402
		skipped	1009

5.14 Other problems experienced by respondent landlords / agents (Free Text).

Of the 401 people who responded to the consultation, 17 (6.2%) left comments about other problems experienced by landlords /agents in addition to the issues recorded above. These include:

- Council interfering with tenant's peace and quiet with appointments
- Rats
- Rent arrears (6)
- Disagreement amongst tenants
- Sub-letting without permission
- Property abandoned (2)
- Problems with neighbouring rental properties
- No problems (3)
- Problems evicting council nominated tenants through homeless initiative. Never again!
- Aggressive non-accountable council trying to levy a tax on citizens for letting
- Rubbish being dumped outside of property by non-residents
- Crime particularly bike theft
- Parking
- Damage to property left unreported and therefore allowed to escalate to something more serious
- Housing benefit not paid when obliged

6 Questions directed to private tenants who are living or have lived in the area



6.1 Status of respondents to tenant questions

Of 1,411 respondents who responded to this survey, when asked which best described their situation 233 (16.85%) stated that they were a private tenant living, or had lived, in the proposed licensing area. 9 (3.94%) of these were responding on behalf of a private tenant living in the area.

6.2 Types of properties rented by respondents

Of the 226 respondents to this question (59) 26.11% said they lived in an HMO and (167) 73.89% in a non-HMO.






Figure 46: What type of property do you live in (tenants)

Do you live in:			
		Response Percent	Response Total
an HMO		26.11%	59
Other type of private rented accommodation		73.89%	167
		answered	226
		skipped	1185

6.3 Does your landlord inspect the property regularly?

Of the 226 people who responded to this question, 54 (23.89%) said that their landlords visited annually; 44 (19.47%) visited every 6 months, 37 (16.37%) visited quarterly, 4 (1.77%) had a resident landlord and 87 (38.5%) said other frequency.

Figure 47: How often does your landlord inspect the property

Does your landlord inspect the property regularly?			
		Response Percent	Response Total
Annually		23.89%	54
Every 6 months		19.47%	44
Quarterly		16.37%	37
My landlord lives at the property		1.77%	4
Other (please specify):		38.50%	87
		answered	226
		skipped	1185

Of the 87 Other responses included:

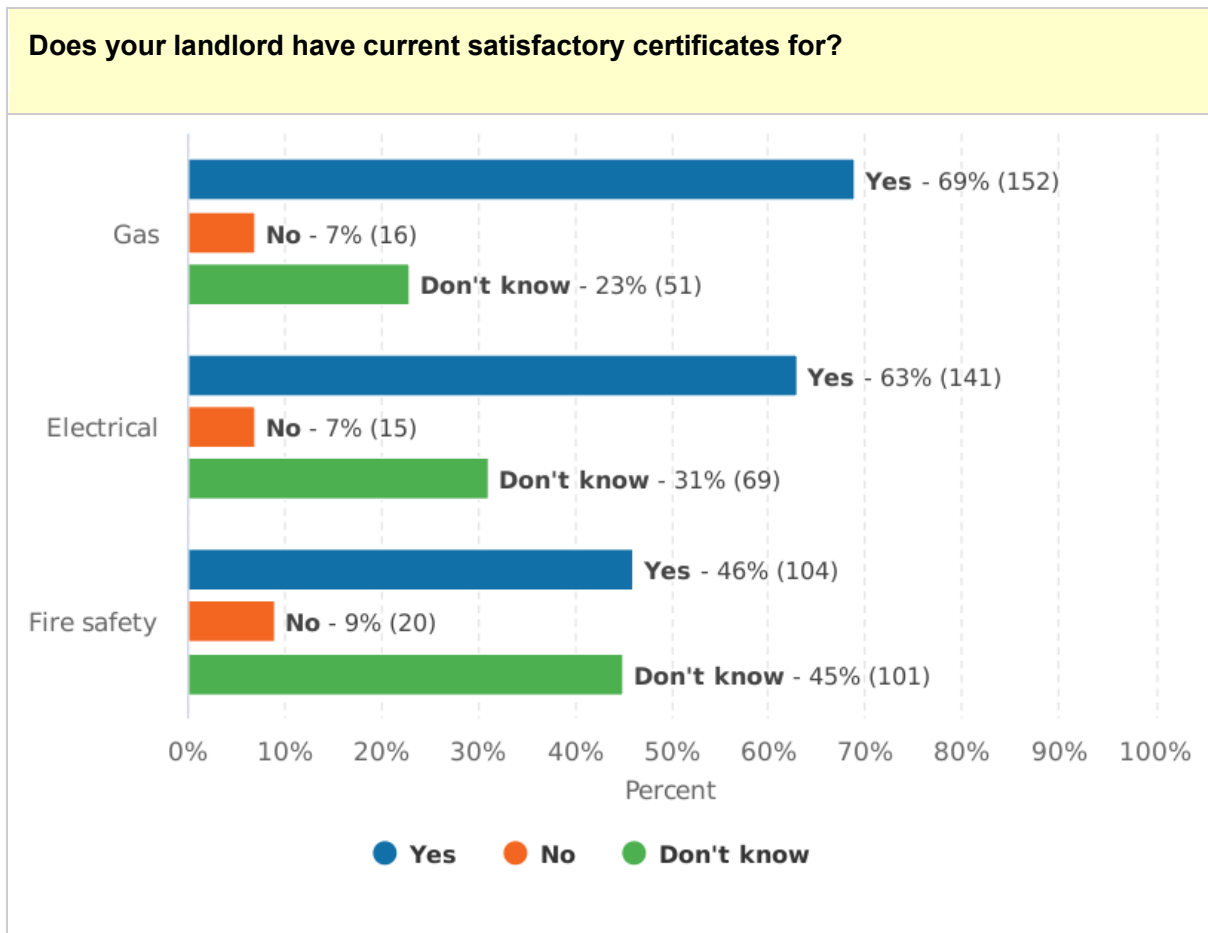
- 35 (40.23%) said the landlord has never visited,
- 10 (11.49%) said they come when asked,

- 10 (11.49%) said the managing agents carry out regular inspections,
- 6 (6.89%) didn't know or left it blank
- 5 (5.75%) said the landlord comes less than annually
- 4 (4.60%) said 1-2 monthly,
- 4 (4.60%) said they visited rarely,
- 4 (4.60%) said only at change of tenancy,
- 3 (3.45%) only for the annual gas safety checks,
- 2 (2.30%) said the landlord visits whenever they feel like it with no notice
- 1 (1.15%) said they visit regularly,
- 1 (1.15%) the manager is on site,
- 1 (1.15%) was an owner occupier,
- 1 (1.15%) landlord is a relative.

6.4 Do your landlords/agents have current satisfactory safety certificates?

Of 225 respondents 152 (69.4%) said there is a current gas safety certificate, 141 (62.7%) said there is a current electrical safety certificate and 104 (46.2%) said there is a current fire safety certificate.




Figure 48: Numbers of respondents who said their landlord/agent have relevant certificates



6.5 Does the landlord have a planned maintenance programme?

Of 226 respondents 50 (22.12%) said their landlord did have a planned maintenance programme, 72 (31.86%) said they did not have a planned maintenance programme and 104 (46.02%) didn't know.

Figure 49: Numbers of tenants whose landlord has a planned maintenance programme

Does your landlord have a planned maintenance programme?			
		Response Percent	Response Total
Yes		22.12%	50
No		31.86%	72
Don't know		46.02%	104
		answered	226
		skipped	1185

6.6 Does your landlord issue a written tenancy agreement?

Of 225 respondents 207 (92%) said yes, 13 (5.78%) said no they didn't have a written tenancy agreement and 5 (2.22%) said they didn't know.




Figure 50: Numbers of tenants whose landlord issues a written tenancy agreement

Does your landlord issue a written tenancy agreement?			
		Response Percent	Response Total
Yes		92.00%	207
No		5.78%	13
Don't know		2.22%	5
		answered	225
		skipped	1186

6.7 Does your landlord have an agreement of how quickly he/she responds to requests for repairs etc.?

Of 225 respondents 87 (38.67%) said there was no agreement on how quickly a landlord/manager would respond to requests for repairs, 89 (39.56%) said they didn't have an agreement and 49 (21.78%) didn't know.




Figure 51: Numbers of tenants whose landlord has an agreed response time for repairs

Does your landlord have an agreement of how quickly he/she responds to your requests for repairs etc.?			Response Percent	Response Total
Yes			38.67%	87
No			39.56%	89
Don't know			21.78%	49
			answered	225
			skipped	1186

6.8 Does your landlord provide emergency contact details?

Of 224 respondents to this question 172 (76.79%) said their landlord / manager did provide them with emergency contact details, 38 (16.96%) said they did not provide contact details and 14 (6.25%) said they didn't know.




Figure 52: Numbers of tenants whose landlord provides them with emergency contact details

Does your landlord provide you with emergency contact details?			Response Percent	Response Total
Yes			76.79%	172
No			16.96%	38
Don't know			6.25%	14
			answered	224
			skipped	1187

6.9 Does your landlord deal with anti-social behaviour of other tenants and their visitors?

Of 217 respondents, 65 (29.95%) said that their landlord / manager does deal with anti-social behaviour of other tenants or their visitors; 56 (25.81%) said they did not and 96 (44.24%) said they didn't know.

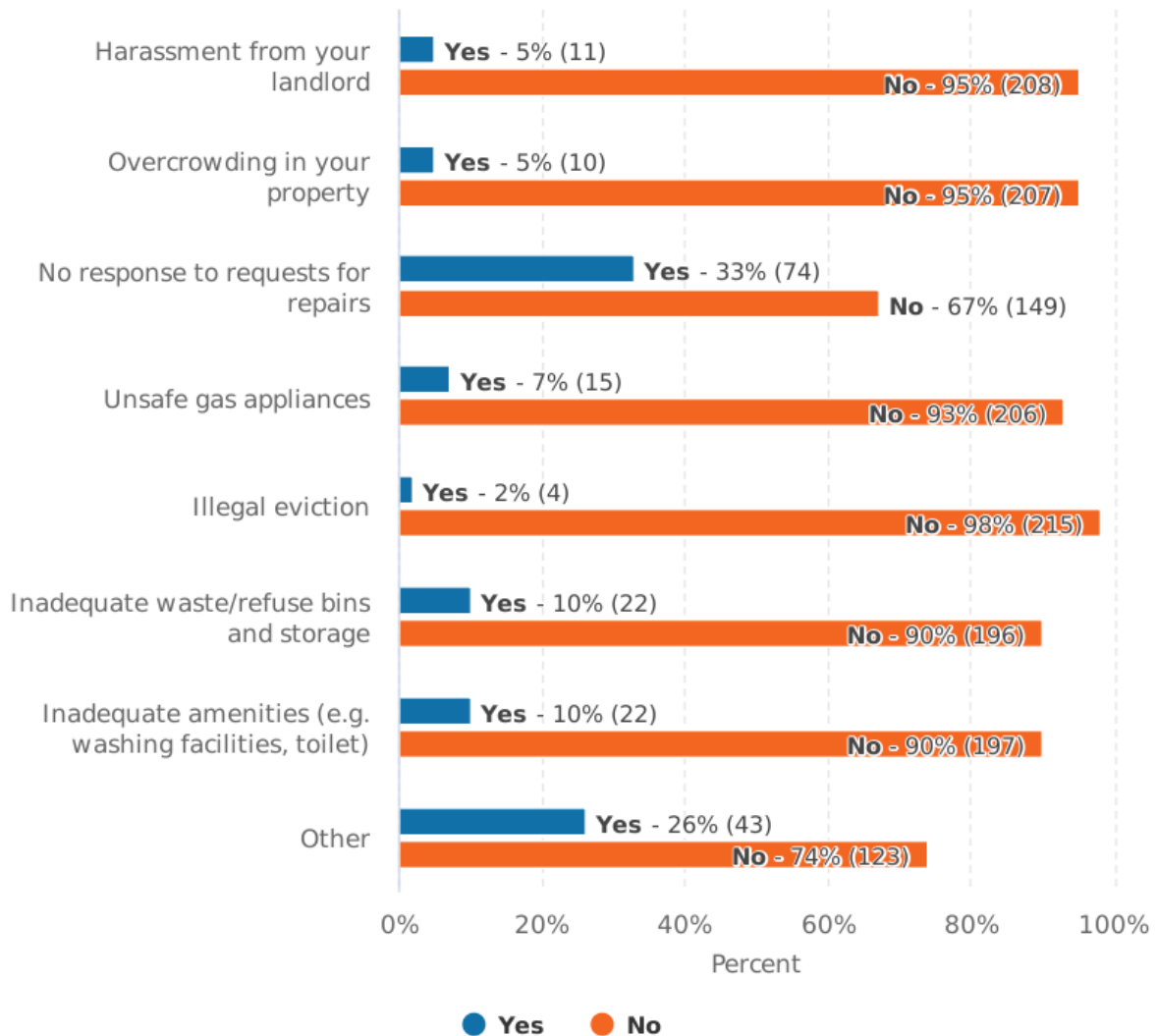
Figure 53: Numbers of tenants whose landlords deal with anti-social behaviour issues

Does your landlord deal with anti-social behaviour of other tenants and their visitors?			Response Percent	Response Total
Yes			29.95%	65
No			25.81%	56
Don't know			44.24%	96
			answered	217
			skipped	1194

6.10 Tenants were asked if they had experienced any problems with their tenancy.

Of those who have responded to this question 11 (5%) had experienced harassment by their landlord / manager; 10 (4.6%) had experienced overcrowding; 74 (33.2%) said their landlord had ignored requests for repairs; 15 (6.8%) had unsafe gas appliances, 4 (1.8%) had been illegally evicted; 22 (10.1%) said there was inadequate refuse bins or storage; 22 (10%) said there were inadequate amenities and 43 (25.9%) had experienced other issues.

Figure 54: Numbers of tenants experiencing problems



6.11 Other problems experienced by tenants.

Of those who said they had experienced other issues to the previous question, these included:

- 26% said requests for serious repairs were ignored
- 22% had issues with severe damp and mould
- 8% said repairs were poorly /cheaply done
- 8% said there had been unannounced visits by their landlord
- 8% said they had no issues with their landlord

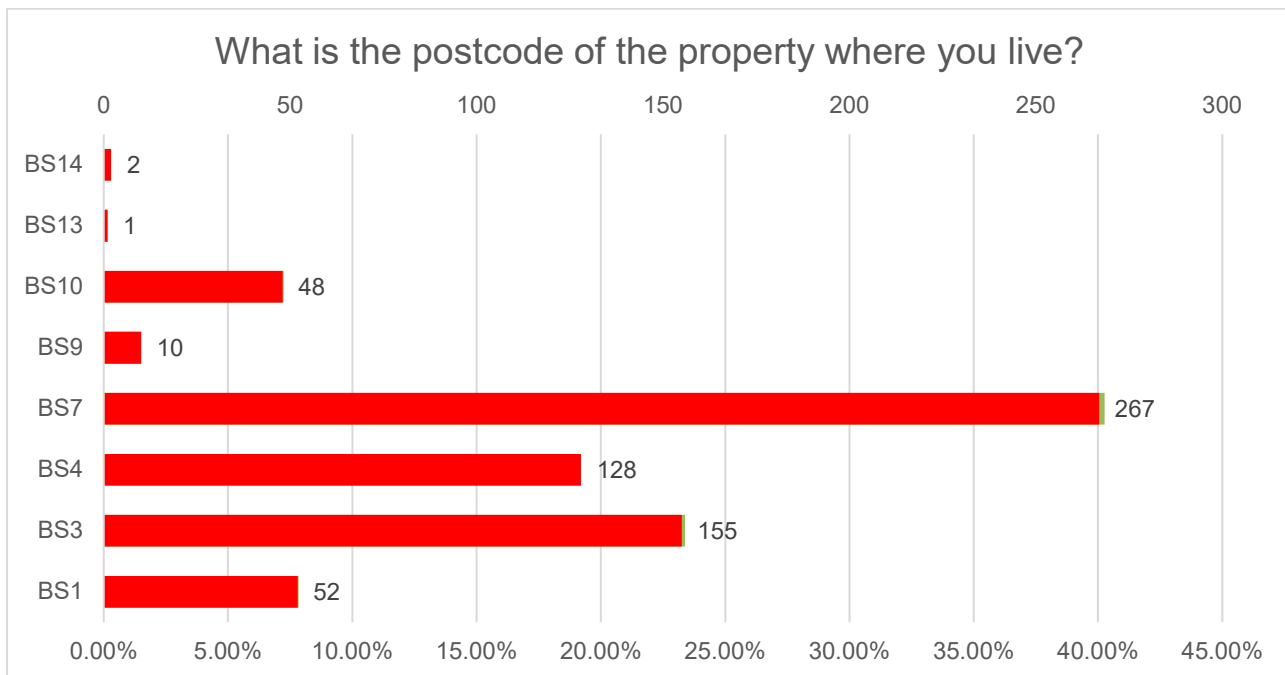
- 4% said landlord increases rent with no reason given
- 4% said there were no fire alarms or means of escape
- 6% said they had issues with mice, rats, moths and/or slugs
- 2% said their properties were insecure
- 2% said no safety certificates had been shown
- 2% had issues with parking and bins
- 2% said it was cold, had inadequate heating and insulation
- 2% said the landlord lied on the inventory about state of repair
- 2% said there were problems with contract when one of the tenants wanted to leave
- 2% said landlord created imaginary fees when leaving

7 Questions directed at owner-occupiers or other residents currently living in the area

7.1 What is the postcode of the property where you live?

Of the 671 who had identified themselves as owner occupiers in 4.2, 658 answered this question.

Figure 55: Postcode area of owner occupier respondents



7.2 How many private rented properties are there in your street?

Of 618 respondents who answered this question, 36 (5.83%) said they thought there were none; 242 (39.16%) said there were between 1 and 5, 234 (37.86%) said there were between 6 and 20 and 106 (17.15%) said that there were more than 20 privately rented properties in their street.

Figure 56: Numbers of PRS properties in respondents' street

How many privately rented houses are there in your street?			
		Response Percent	Response Total
None		5.83%	36
1-5		39.16%	242
6-20		37.86%	234
More than 20		17.15%	106
		answered	618
		skipped	793

7.3 How many HMOs are there in your street?

Of 601 respondents who answered this question, 120 (19.97%) said they thought there were no HMOs in their street; 316 (52.58%) said there were between 1 and 5 HMOs, 123 (20.47%) said there were between 6 and 20 and 42 (6.99%) said that there were more than 20 HMOs in their street.




Figure 57: Numbers of HMOs in respondents' street

How many Houses in Multiple Occupation (HMOs)* are there in your street?			
		Response Percent	Response Total
None		19.97%	120
1-5		52.58%	316
6-20		20.47%	123
More than 20		6.99%	42
		answered	601
		skipped	810

7.4 Do you know who the landlord /agents of the rented properties are?

Of the 641 who responded to this 425 (66.3%) did not know who the landlords or agents of these properties are; 197 (30.73%) said they knew who some of the landlords/agents are and 19 (2.96%) said they knew who most of the landlords / agents are.




Figure 58: Numbers of owner/occupiers who know who the landlord /agent of rented properties is

Do you know who the landlords/agents of the rented properties are?			
		Response Percent	Response Total
Most		2.96%	19
Some		30.73%	197
None		66.30%	425
		answered	641
		skipped	770

7.5 Have you ever had to make a complaint about noise from a rented property in your area?

Of the 662 owner-occupiers who have responded to this question 217 (32.78%) had made a complaint about noise from a privately rented property in their area, 418 (63.14%) had not made a complaint and 27 (4.08%) did not know if they had made a complaint.





Figure 59: Complaints about noise from PRS property in the area

Have you ever had to make a complaint about noise from a privately rented property in your area?			
		Response Percent	Response Total
Yes		32.78%	217
No		63.14%	418
Don't know		4.08%	27
		answered	662
		skipped	749

7.6 If you have made a complaint about noise, how often have you complained?

Of 662 respondents who had made a complaint noise, 22 (8.94%) said they complained most weeks, 47 (19.11%) said they complained once a month 64 (26.02%) said they complained once a year and 113 (45.93%) said other frequency.

Figure 60: How often had owner-occupiers who had experienced problems with noise, complained

If “Yes”, how often have you complained:			
Answer Choices		Response Percent	Response Total
Most weeks		8.94%	22
Once a month		19.11%	47
Once a year		26.02%	64
Other (please specify):		45.93%	113
		answered	246
		skipped	1165




Of those who answered “Other”:

- 32.65% said they frequently complained
- 20.4% said they had complained only once or twice
- 14.28% said they occasionally complain
- 10.2% said it depended on the tenants
- 8.16% said they never complain
- 3.06% said they tend to complain when students move in
- 3.06% said it was a waste of time complaining as nothing gets done
- 3.06% said they didn’t know
- 1.02% said they complain whenever necessary
- 1.02% said they complain monthly
- 1.02% said they rarely complain
- 1.02% said they would not complain as it may affect ability to sell house in future, but noisy parties were an issue in the area
- 1.02% said lockdown had improved the situation

7.7 Have you ever made a complaint about anti-social behaviour from a privately rented property in your area?

Of the 657 owner-occupiers who have responded to this question 149 (22.68%) had made a complaint, 479 (72.91%) had not made a complaint and 29 (4.41%) did not know if they had made a complaint.





Figure 61: Have you ever made a complaint about anti-social behaviour from a privately rented property in your area

Have you ever had to make a complaint about anti-social behaviour from a privately rented property in your area?			
		Response Percent	Response Total
Yes		22.68%	149
No		72.91%	479
Don't know		4.41%	29
		answered	657
		skipped	754

7.8 If you have made a complaint, how often have you complained about anti-social behaviour (ASB)?

Of the 173 respondents who had complained about anti-social behaviour 10 (5.78%) said that they complained most weeks, 25 (14.45%) complained once a month; 60 (34.68%) complained once a year and 78 (45.09%) said other.

Figure 62: How often had owner-occupiers who had experienced problems with ASB, complained

If Yes, how often have you complained:			
		Response Percent	Response Total
Most weeks		5.78%	10
Once a month		14.45%	25
Once a year		34.68%	60
Other (please specify):		45.09%	78
		answered	173
		skipped	1238

Of those who answered "Other":

22.22% said they frequently complained

23.81% said they had complained only once or twice

19.04% said they occasionally complain

4.76% said it depended on the tenants

9.52% said they never complain

4.76% said they complain whenever it occurs

9.52% said it was a waste of time complaining as nothing gets done

1.58% said they didn't know

- 1.58% said other tenants complain
- 1.58% said they complain every month
- 1.58% said they had issues but would not complain

7.9 Have you ever had to make a complaint about rubbish / waste from a privately rented property?

Of the 655 owner-occupiers who have responded to this question 207 (31.6%) had made a complaint, 424 (64.73%) had not made a complaint and 24 (3.66%) did not know if they had made a complaint.





Figure 63: Have you ever made a complaint about rubbish/waste from a privately rented property in your area

Have you ever had to make a complaint about the rubbish/waste from a privately rented property in your area?			
		Response Percent	Response Total
Yes		31.60%	207
No		64.73%	424
Don't know		3.66%	24
		answered	655
		skipped	756

7.10 If you have made a complaint, how often have you complained about rubbish/waste?

Of the 225 respondents who said they had complained about rubbish/waste 28 (12.44%) that they complained most weeks, 44 (19.56%) once a month; 78 (34.67%) once a year and 75 (33.33%) said other.

Figure 64: How often had owner-occupiers who had experienced problems with rubbish/waste complained

If Yes, how often have you complained:			
		Response Percent	Response Total
Most weeks		12.44%	28
Once a month		19.56%	44
Once a year		34.67%	78
Other (please specify):		33.33%	75
		answered	225
		skipped	1186

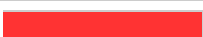


Of those who answered “Other”:

- 24.24% said they had complained only once or twice
- 21.21% said they frequently complained
- 18.18% said it was an issue but no point complaining as nothing gets done
- 18.18% said they occasionally complain
- 6.06% said they never complain
- 3.03% said they were unable to complain as didn’t know who landlord was
- 3.03% said the students took a while to understand the system and landlord never bothered to check
- 1.52% said they complain whenever it gets out of hand
- 1.52% said they didn’t know
- 1.52% said it depended on the tenants
- 1.52% said they took no notice of it

7.11 Do you think there is a problem with overcrowding in any of the privately rented properties in your area?

Of the 656 owner-occupiers who have responded to this question 201 (30.64%) thought there was an overcrowding problem, 194 (29.57%) did not think there was a problem and 261 (39.79%) did not know.






Figure 65: Do you think there is a problem with overcrowding in any of the privately rented properties in your area

Do you think there is a problem with overcrowding in any of the privately rented properties in your area?			
		Response Percent	Response Total
Yes		30.64%	201
No		29.57%	194
Don't know		39.79%	261
		answered	656
		skipped	755

7.12 If you have made a complaint, who did you complain to?

Of the 292 respondents 111 (38.01%) complained to the landlord; 64 (21.92%) complained to the Letting Agent; 122 (41.78%) complained to the council, 74 (25.34%) complained to the police and 92 (31.51%) said Other.

Figure 66: If an owner occupier made a complaint, who did they complain to?

48. If you made a complaint, who did you complain to? (please tick all that apply)			
		Response Percent	Response Total
Landlord		38.01%	111
Letting agent		21.92%	64
Council		41.78%	122
Police		25.34%	74
Other (please specify):		31.51%	92
		answered	292
		skipped	1119

Of those who they complained to someone else:

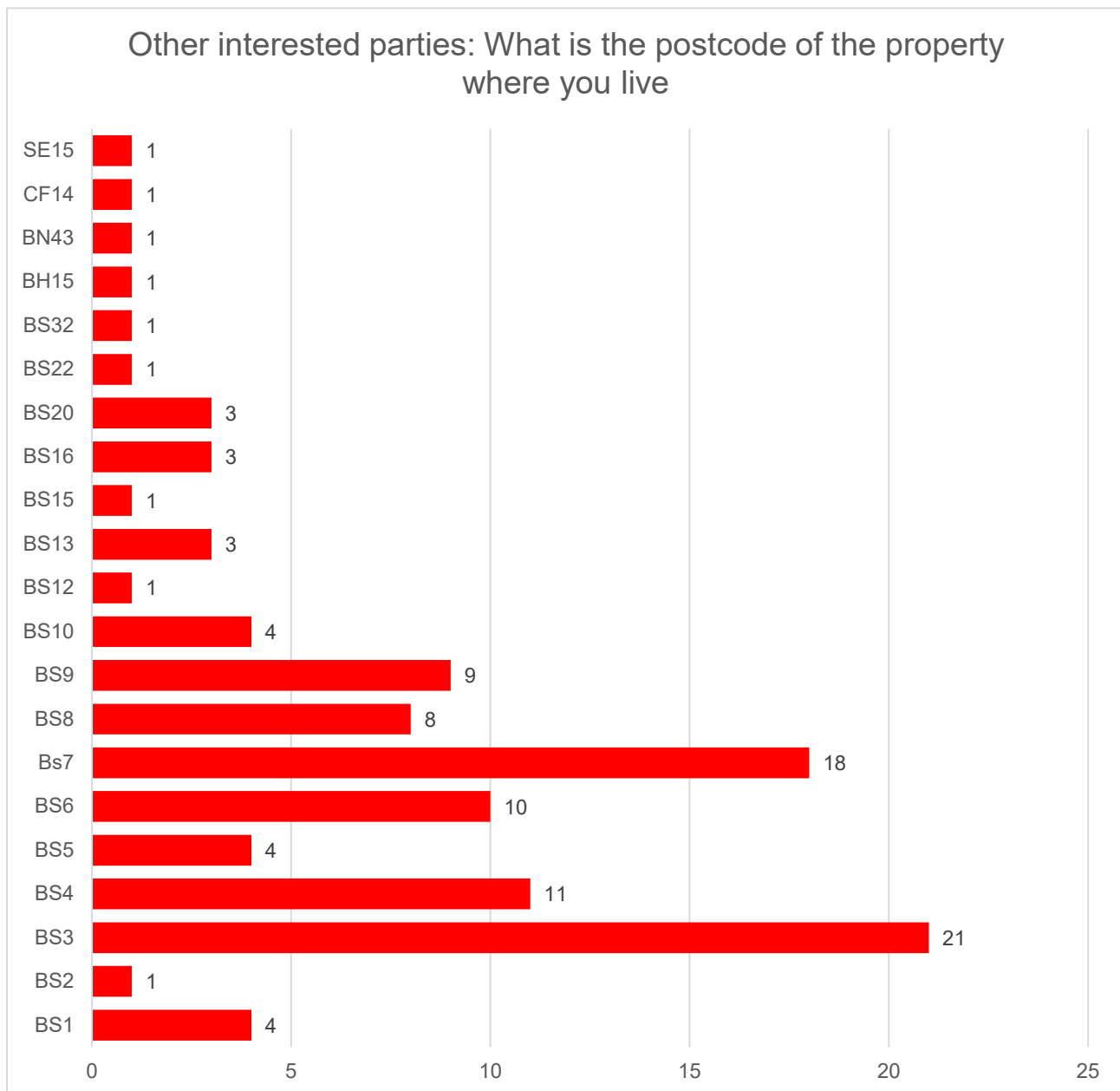
- 59.52% complained directly to occupant
- 15.48% complained to the universities
- 5.95% complained to the management company
- 4.76% complained to their local councillor
- 3.57% didn't know how they could complain
- 2.38% never complained
- 2.38% complained to Bristol Waste or Noise teams
- 1.19% complained to Bristol Post
- 1.19% complained to the building owner
- 1.19% complained to Police via neighbour as they were too scared to do it themselves
- 1.19% not worth complaining as they would just get labelled
- 1.19% can't remember

8 Questions directed to other interested parties

8.1 What is your postcode or if responding on behalf of an organisation, please provide the postcode of the organisation's premises in Bristol?

Of the 107 who responded to this question, 91.59% live within Bristol City Council boundary and 8.41% outside.

Figure 67: Numbers of responses from other interested parties by their postcode



8.2 What wards in the proposed area do you have an interest?

Of 91 respondents, 56 (61.54%) have an interest in Bedminster ward, 42 (46.15%) in Brislington West and 60 (65.93%) in Horfield ward.

Figure 68: Responses from other interested parties on wards where they have an interest

Please select all the wards where you have an interest in the proposed licensing scheme			
		Response Percent	Response Total
Bedminster		61.54%	56
Brislington West		46.15%	42
Horfield		65.93%	60
		answered	91
		skipped	1320

8.3 Reason for interest in the consultation in “Other” category

Of the 118 Other respondents who answered this question, 1 (0.85%) was a local councillor, 75 (63.56%) were landlords with properties outside of the proposal areas, 5 (4.24%) were landlords with property outside of the proposed area; 5 (4.24%) were from a Landlord Association; 11 (9.32%) were local businesses, 5 (4.24%) were council or housing association tenants in the area; 1 (0.85%) was a social housing provider. 43 (36.44%) selected the “Other” category. There was no response from tenant organisations despite being invited to participate.

Figure 69: Status of ‘Other Interested Party’ respondents

I am interested in the proposed licensing scheme because I am or represent a: (please tick all that apply)			
		Response Percent	Response Total
Local Councillor		0.85%	1
Landlord with a property outside of the area		63.56%	75
Landlord Association		4.24%	5
Local Business		9.32%	11
Tenants’ Organisation		0.00%	0
Council or housing association tenant in the area		4.24%	5
A provider of social housing		0.85%	1
Other (please specify):		36.44%	43
		answered	118
		skipped	1293

Of the 43 who stated Other included:

10 (23.25%) residents living nearby,

6 (13.95%) landlords,

4 (9.3%) citizens of Bristol,
3 (6.98%) former residents of proposed area,
2 (4.65%) managing agents,
2 (4.65%) tenants,
2 (4.65%) considering buying property in the area,
2 (4.65%) tenants or relatives of tenants who have experienced poor housing,
a former councillor,
a former president of BALMA,
a Housing Officer,
Council Care Home,
a South Gloucestershire tenant considering moving to area,
a volunteer with asylum seekers and refugees
a private class action group.
5 (11.62%) did not specify their status.

9 Letters received from landlord organisations.

We received xx letters from landlord /managing agent organisations, and these are added in their entirety as appendices.

- Appendix 1 Letter from Safe Agent Bristol
- Appendix 2 Letter from NRLA

10 How will this report be used?

This report will be considered as final proposals are developed by officers to be put to Cabinet for consideration at a Full Council meeting in the autumn of 2021.

Cabinet decisions will be published through normal procedures for Full Council and Cabinet decisions at democracy.bristol.gov.uk.

11 How can I keep track?

You can always find the latest consultations online at www.bristol.gov.uk/consultationhub where you can also sign up to receive automated email notifications about consultations.

All decisions related to the proposals in this consultation will be made publicly at the Full Council meeting or future Cabinet meetings.

You can find forthcoming meetings and their agenda at democracy.bristol.gov.uk.

Any decisions made by Full Council and Cabinet will also be shared at democracy.bristol.gov.uk.

12 Appendix 1
Letter from Safe Agent Bristol

13 Appendix 2
Letter from NRLA

APPENDIX B2 – Responses from written communication and free text comments from the survey forms during the consultations

The consultation on the proposal to introduce an additional licensing (of HMOs) scheme Bedminster, Brislington West and Horfield wards and a selective licensing scheme in Bedminster and Brislington west wards drew 1,411 survey responses and 206 emails and 7 letters. 814 (58%) respondents also left free text comments about the scheme.

This report is not the answers from the set survey questions which can be found in Appendix B but are the summary of the free text comments that were provided by consultation respondents.

We have considered all representations made in the consultations and these are set out below.

Consultation comment 1: Support for Additional Licensing

176 (22%) of respondents who left a free text comment supported the proposal as a way of improving conditions in this sector and improving management practises that impact on tenants, neighbours and local communities. 46 (6%) said they were opposed to the proposal especially extending licensing to family accommodation.

BCC Response:

Noted although the outcomes from the consultation broadly support the proposal. 1,411 responses were received and of those 818 (58.65%) agreed or strongly agreed that the proposed licensing schemes would help to resolve poor management and poor conditions of private rented properties in the proposed three wards.

Consultation comment 2: Good landlords are being penalised because of the poor landlords

194 (24%) of respondents who left a comment said this scheme penalises good landlords for the sake of finding and dealing with poor landlords.

BCC Response:

Unfortunately, we don't know exactly who the good or bad landlords are when we look at the statistical evidence to introduce a licensing scheme. There is no register of landlords giving us contact details. However, the BRE report identifies areas where they predict there are properties which would not meet standards and our experiences from previous property licensing schemes suggest that we will find issues once a licensing scheme commences.

The licensing scheme will enable the local authority to proactively inspect every licensable property in the designated area to identify and deal with poorly managed and sub-standard accommodation. In previous licensing schemes instances of poor housing and poor management were higher than we had predicted.

Without a licensing scheme we do not have the powers of entry to inspect all the qualifying properties in the area. The suggestion that only bad landlord property(s) should be inspected, and not good landlords, is not a feasible option as until we visit we are unable to confirm which properties are compliant or non-compliant.

There are a significant number of landlords who without licensing will continue to manage unsatisfactorily without being brought to our attention through a tenant complaint.

The BRE undertook a comparison between their 2017 report and 2020 report looking at declared licensing areas and the numbers of hazards in those areas. They found that 43% of licensable properties were improved in that two-year period.

Consultation comment 3: Licensing scheme is unnecessary as they believed the council already had sufficient powers to deal with poor landlords

23 (3%) of respondents who left a comment suggested that licensing was unnecessary as we had existing legislation that we could use to deal with rogue landlords.

BCC Response:

The council have powers to deal with non-compliant landlords that have been brought to our attention, however only licensing powers give us the resources to proactively visit every licensable property to assess conditions. Licensing also allows us to set standards higher than just a legal minimum. In many cases, licensable properties have often been found not to meet minimum legal standards even where a landlord believed he/she had a good property.

Many tenants do not report problems for fear of their tenancy being ended but where there is a licensing scheme we can inspect every property which means tenants should not need to fear that their tenancy is at risk.

In our previous schemes the number of hazards found, and formal notices served indicates that a good proportion of poor housing conditions and management practices had not been reported to us and would not therefore had been dealt with outside of a licensing scheme. In the Eastville / St George scheme we found 787 (22% of properties) with serious hazards or management breaches. We would therefore expect to find similar issues in the proposed area.

See response 2 above also.

Consultation comment 4: For the proposal to be effective the council must ensure they have adequate resources in place to do the job properly

19 (2.3%) of respondents who left a comment said that we must ensure we had sufficient resources in the service to deliver this scheme and undertake the necessary level of enforcement action.

BCC Response:

Without a licensing scheme the council could not generate enough income to pay for the resources to address the issues found in the PRS in this area. Work has been undertaken to estimate the number of licences expected and the resources required to licence and inspect these properties. From this work we have calculated the number of officers we need to undertake this work within the time frame of the scheme.

Consultation comment 5: Additional burden on already under pressure landlords – could lead to smaller landlords selling up

132 (16%) respondents who left a comment said that licensing was an additional burden at a time when landlords were already under pressure and could lead to some landlords leaving the market.

BCC Response:

Improving the health and safety of tenants in these properties is the primary objective of the scheme. The BRE report identified the likelihood of issues in the area with standards. Licensing is a tool that allows the Council to tackle the issues in the PRS (private rented sector). We must follow the legal process in the administration of the scheme, and this may appear to be somewhat bureaucratic. However, in most cases where standards are not met the landlord will be given the opportunity to remedy this before any other action is considered.

Analysis of numbers in previous areas where licensing has been declared has not led to the numbers of PRS properties being reduced and the PRS continues to increase.

Comparison between the BRE reports 2017 and 2020 for Eastville and St George scheme wards shows that the number of PRS properties in these two wards in 2017 was estimated to be 3,260 and in the 2020 report this had risen to 3,778. An increase of 16%.

Comparison between the BRE reports of 2017 and 2020 for the Central Area scheme wards shows that the number of PRS properties in these twelve wards in 2017 was estimated to be 34,705 and in the 2020 report this had risen to 37,515. An increase of 8%.

Consultation comment 6: Lack of evidence to support proposal

18 (2%) of respondents who left a comment said there was not sufficient evidence to justify introducing an additional licensing scheme.

BCC Response:

Section 56 of the Act states that an area can be designated where: -

“A significant proportion of the HMOs ... are being managed sufficiently ineffectively as to give rise to, or likely to give rise to one or more particular problems either for those occupying the HMOs or for members of the public”.

We believe there is sufficient evidence. We have set out our reasons for this in the proposal document. Appendix A.

Consultation comment 7: Licensing not necessary

26 (3%) of respondents who made a comment said that they believed licensing schemes were totally unnecessary in their ward as all the properties were in good conditions etc. and that we should look elsewhere.

BCC Response:

See response 6 and proposal document Appendix A.

Consultation comment 8: There are already too many HMOs in their area

49 (6%) of respondents who made a comment said they didn't want licensing as there were already too many HMOs in their street / area which were having a detrimental impact on the community.

BCC Response:

This seems to be a misunderstanding of what licensing is for as several emails were also received on the same subject.

The numbers of HMOs cannot be controlled by this licensing proposal. The numbers of HMOs in an area are controlled by planning law, - the councils Article 4 directive which limits the number of new HMOs in given areas of the city or through Planning decisions to permit new or larger HMOs.

Only sections of each of the three wards come under Article 4 Directive but not the whole of each ward.

Introducing licensing schemes does not create new HMOs rather it regulates those existing HMOs to ensure that they meet appropriate standards not cause resident more problems.

Consultation comment 9: Fees are too high

72 (9%) of respondents who left comments, said the fee was too high and 53 (21%) of respondents who left comments said the fees were too high and could not be justified for what landlords get in return.

BCC Response:

The fees are calculated to reflect the resources required to deliver the scheme. The cost of the scheme is based on a 'break-even' basis and does not generate a surplus. They have been signed off by the council's Finance team and meet legal requirements. They are not subsidised from other resources or Council Tax payments.

Consultation comment 10: Fees are too low

20 (2%) respondents who left a comment thought the fee level was too low and did not represent enough of a penalty for rogue landlords.

BCC Response:

See response 9. The licence fees can only cover the costs of the scheme.

Consultation comment 11: The fees will be passed onto tenants as higher rents

191 (23%) of respondents who made a comment said they were concerned that the fee charged to landlords will in turn be passed onto tenants in the form of higher rents.

BCC Response:

The licensing fees charged cover the costs of processing applications, administration of the scheme and its enforcement. Fees are calculated on a break-even basis (not for profit). We are aware that the cost to the scheme will need to be paid for by the landlord and that it may or may not be passed onto the tenant.

However, this must also be considered with the overall aims and objectives of the scheme and what it will achieve in raising standards of living conditions for many tenants living in the PRS as well as improved management and raise awareness of the landlord's legal responsibilities.

The demand for housing in Bristol is very high but the PRS continues to grow. Naturally market rents continue to rise as a result, and this is totally outside of our control and is generally due to market forces rather than licensing. An example of the high demand is the reported numbers of Bristol university students being housed in Bath because they could not find accommodation in Bristol.

Over the life of the five-year scheme the fee payable for an additional licence with discounts is £1,000 which equates to £16.66 per month / £3.85 per week per property which if it was passed on to each occupant would on average cost £5 per calendar month. For a selective licence fee, the cost with discounts is £499 which equates to £8.31 per month / £1.92 per week.

Rents outside London have risen by 3% year on year by March 2021 and the rents are rising fastest in the South West and North East due the high levels of tenant demand and a shortage of homes to rent. (source: [Zoopla](#)).

In Bristol in February 2020 the average rent for a 3 bed house was £1,279pcm and for a 3 bed flat £1,613pcm. By September 2021 those rental prices have risen to £1,533pcm and £1,631pcm respectively. (Source: [Zoopla](#)) an increase of 20% on the rent for a house and 1.1% on the average rental for a 3 bed flat.

Consultation comment 12: Council money making scheme

70 (9%) of respondents who left a comment said that this scheme was being driven by the need for the council to raise funds.

BCC Response:

The Housing Act 2004 allows local authorities to charge a fee for licensing. Each local council sets its own fees for licensing. The fees are required to only cover the costs of licensing and cannot be used to subsidise other local council work. See response 9.

Consultation comment 13: Would lead to landlords changing to let to families only rather than pay the higher HMO fee

39 (5%) of respondents who commented said that landlords of HMOs in Bristol are evicting their tenants and would rather let to families to avoid paying the Additional

licence fee making it difficult for people who can only afford to live in a shared house to find accommodation.

BCC Response:

We have had reports that in a small number of cases this has happened. However, we have undertaken analysis of existing areas where we have introduced licensing schemes to see what impact licensing was having on the numbers of HMO available. We have found that the PRS has continued to grow and the number of HMO licence applications we expected have been received. We are only halfway through the Central Area Licensing scheme that number may still increase and certainly some landlords appear to have increased occupancy in their HMOs to increase rental income.

The shortage of housing in Bristol is well documented and demand is already high. There is no evidence that this shortage has been as a result of the introduction of licensing as appears to be a national issue.

Consultation comment 14: Discounts proposed for providing certificates

48 (6%) of respondents who made a comment asked why discounts were being given where there is a legal obligation for landlords to provide various safety certificates i.e., for gas and energy performance anyway.

BCC Response:

Landlords have a legal obligation to ensure that the relevant gas and other safety certificates are current and satisfactory.

A discount for those landlords who are members of the Rent with Confidence scheme has been included as these landlords have actively engaged with this voluntary code of practice and therefore have demonstrated commitment to the management of their properties.

The discount for providing the relevant certificate is based on previous experience and expediency. As part of the licence conditions the council needs to ensure these certificates are satisfactory and up to date. Licensing conditions requires the landlord to provide evidence. The administration cost of chasing landlords for certificates is time consuming. Offering a discount has proved extremely effective for both landlords and the council. Sanctions will also be considered for those landlords who do not comply with licence standards and conditions, this can lead to further financial penalties for landlords who do not comply with requirements to provide the required certification.

Consultation comment 15: The Council should give discounts for those with Managing Agents

17 (2%) of respondents who made a comment said that we should include discounts for any approved accreditation schemes not just Rent with Confidence scheme. Also

they should not have to pay a fee where they have a managing agent who is looking after their property.

BCC Response:

Rent with Confidence scheme is a West of England scheme with seven approved accreditation providers who have been approved as meeting the standards set out by the West of England local authorities.

Membership of other accreditation schemes or having a managing agent does not necessarily mean that the same level of standards is met or that the properties are adequately monitored or have an acceptable complaints procedure etc. for tenants.

Although some landlords have paid managing agents to manage their properties, it does not replace the checks made by qualified council officers regarding housing standards. It would not be appropriate to delegate the legal enforcement of licensing standards to a managing agent who themselves may not meet standards we would expect.

Managing agents outside the Rent with Confidence Scheme benefit from the discount available if they join one of the Council approved accreditation providers.

Consultation comment 16: Alternative Suggestions to Licensing schemes

44 (5%) of respondents who left a comment offered alternatives or improvements to licensing schemes such as:

- the fee should be based on number of occupants.

BCC response: The number of occupants in an HMO makes a small difference to the amount of work required by the Council and there is a small additional charge in these circumstances.

- there should be regard to a maximum number of cars per property especially in HMOs.

BCC response: The law governing property licensing does not give the council the power to allow us to include this restriction as a condition of the licence

- that new or building built less than ten years ago should not be included in the scheme.

BCC response: Newer properties are likely to be as a whole be better insulated and constructed to higher standards than older properties. However, licensing is not just about the structure of the property but also the way it is managed, whether it has been kept in good repair and the facilities provided for the number of people occupying the property.

- more regard to improving energy efficiency.

BCC response: We require the minimum energy efficiency to be met which is an EPC of E or higher.

- all student properties should pay council tax.

BCC response: Separate legislation applies the rules for when council tax is applied and is outside the Housing Act 2004 which is the law under which this

scheme is proposed. This is not a power available under the law governing property licensing.

- All tenants should be protected therefore schemes should be introduced citywide.

BCC response: We continue to look at licensing on a ward-by-ward basis where the area meets the legal criteria for designation and is not our current proposal to introduce a citywide scheme.

- Why isn't social housing included?

BCC response: Social housing is excluded under the Housing Act legislation from licensing schemes. It has its own governing body

The format for discretionary licensing is set in legislation including what properties can and cannot be included in the scheme and what reasonable standards can be included in the licensing conditions and what can be included in fee setting.

Consultation comment 17: Comments on the consultation process

8 (0.9%) respondents who made comments said that the consultation was biased and did not give people the opportunity to say whether they agreed with it.

BCC Response:

The consultation has followed due legal process, has been checked by our legal team that all documentation meets the required criteria and then overseen and checked by the council's Consultation Team who have a huge amount of experience in this area.

We received 1,411 completed survey responses and of those 818 (58.65%) agreed or strongly agreed that the proposed licensing schemes would help to resolve poor management and poor conditions of private rented properties in the proposed three wards.

814 respondents also left free-text responses which are being responded to in this document.

Letters received from Landlord and Agent Organisations

In addition to the survey and emails, we also received letters from Safe Agent and National Residential Landlords Association (NRLA) be found in full in the consultation reports B. Our responses to them appear below.

18. Safeagent

18.1 Discounts

The letter from Safeagent covered many issues but the main one being that they felt their members should also be able to claim the same discounts as those approved under the West of England (WoE) Rent with Confidence scheme and gave full details about their schemes and what benefit it is to both their members and to licensing.

*“It seems to us that many of the licencing requirements in the Bristol City scheme highlight how important it is for landlords to work with reputable agents such as **safeagent** members. Offering a discount to licence holders who work with a **safeagent** accredited agent would help to promote this.*

***safeagent** would welcome a collaborative approach with Bristol City Council, based on shared objectives. We believe that agents who are members of a recognised body are more likely to embrace Selective and Additional Licensing and less likely to generate complaints or breaches of their licence. Discounted fees for **safeagent** members would be a significant incentive to positive engagement by agents. In return, the Council would experience reduced administration and compliance costs.”*

BCC Response:

The Rent with Confidence scheme was introduced to encourage all accrediting bodies to meet similar standards set by the 4 West of England local authorities. Those who have applied to become approved providers of accreditation schemes are vetted by the 4 WoE LAs and pay a fee to join the scheme.

SafeAgent have previously been invited to apply but decided not to complete their application. We are aware of Safeagent’s business aims to improve how properties are managed in the Private Rented Sector and repeat we welcome them to apply to join the scheme, which if approved would give their clients access to the discount. If approved, the small cost of applying would be soon be recovered by refunds on any applications to agents under their membership.

18.2 Anti-social Behaviour (ASB) - conditions

SafeAgent also had concerns about licensing conditions including a requirement for landlords to monitor ASB and to make quarterly inspections of the property to assess. They state that the PRS tenants are not the only perpetrators of ASB in a neighbourhood and the council should not align private landlords with social housing landlords who have responsibility to the wider community that private landlords do not.

BCC Response:

The Council does expect landlords to take responsibility for the management of their properties to make sure as far as is reasonably possible the behaviour of their tenants or their tenants visitors in the vicinity of the property. This is a legal requirement under the Housing Act relating to licensing and does set higher standards than where licensing does not apply.

This condition reflects that expectation that landlords / agents issue new tenants with a tenancy or written agreement that include clauses that will allow the licence holder to take reasonable steps to tackle anti-social behaviour.

This includes responsibilities to ensure they have provided sufficient space for the receptacles that meet the Council's refuse and recycling requirements. . It is important also that landlords and agents make their tenants aware of Bristol's recycling / waste collection days and requirements.

Landlords and residents have access to other council departments whose duty it is to handle ASB issues and who can work with landlords to ensure tenants have respect for their neighbourhood.

We appreciate that there are some circumstances where landlords cannot be held responsible for a tenant's behaviour, and the Council provides information and advice in those circumstances..

18.3 Measuring the success of the scheme

We would urge the council to:

- Ensure consistency, in advice given about and implementation of, license conditions, especially during inspections. Agents tend to pick up on any inconsistencies amongst LA staff, for example in advising on smoke alarm requirements
- Avoid heavy handed communications, sometimes threatening fines and criminal proceedings, where these are disproportionate to the breach in question
- Avoid processing delays and slow responses to inquiries. If the LA is demanding actions from agents and landlords within set time scales, it should feel obliged to be equally timebound.

We believe that regular information on implementation of the scheme should be made available in a clear and consistent format. Reports to local landlord and agent forums, representative bodies and other stakeholders should include at minimum:

- The estimated number of private rented properties that require licensing under the Additional and Selective licensing schemes
- The number of applications received in respect of these properties
- Progress in processing (granting, querying or refusing) the licence applications received
- Analysis of the reasons for any queries or refusals and the extent to which remedial action is identified and taken as a result
- Analysis of the outcomes of ongoing inspections and the extent to which remedial action is identified and taken as a result
- Progress reports across the whole 5-year period covered by the scheme.

This should help to enable the Council to work in partnership with landlords, agents, representative bodies and other stakeholders to ensure the success of the scheme.

BCC response:

We thank Safeagent for their constructive remarks. A review is generally undertaken halfway through a scheme and reported to Cabinet member, but some key details are shared in the Landlord Newsletter and which includes all licensed landlords in the mailing. Updates on outputs are also provided in the WoE Landlord Forum meetings. This can be expanded so regular updates are given on scheme progress as necessary.

19. NRLA (National Residential Landlords Association)

The NRLA stated their opposition to the proposal to introduce licensing scheme. Their main objections are:

19.1 Waste management in the PRS

NRLA say that LAs need to consider a strategy for collecting excess waste at the end of a tenancy in place of selective licensing.

BCC Response:

The key objective of selective licensing is to improve housing conditions for the tenants. There is already in place a scheme in Bristol for removal of bulk items that either landlords or tenants could access to remove waste items at the end of a tenancy.

Bristol Waste generally provide extra resources at the end of student year to help with the removal of waste items and encourage students to donate items in good condition to local charities rather than binning them at the end of their tenancy.

Please see link to information for students to waste and recycling – [Student Move Out – Bristol Waste Company](#)

19.2 Criminal Activity with PRS properties

Among the criminals' activities, rent to rent is a significant issue that the council should consider a barrier to selective licensing effectiveness. Criminals will always play the system. For instance, there is no provision for landlords who have legally rented out a property that has later been illegally sublet.

A landlord will tell a tenant how many people are permitted to live in the property and that the tenant is not to sublet it or allow additional people to reside there. Excessive monitoring and contact from the landlord could impede the tenant's right to quiet enjoyment.

The licence holder can end the tenancy (of the superior tenant, the subtenants have no legal redress) and support the local authority in criminal prosecution. Often, landlords are victims, just as much as tenants. What support will the council provide for landlords to whom this has happened? Will the council support an accelerated possession order?

BCC Response:

In our experience, rent-to-rent has not been a significant barrier to selective licensing effectiveness. There are licence conditions in place which require landlords to regularly inspect their properties to assess if there is evidence of anti-social behaviour, and this together with other landlord checks should provide the landlord with evidence of how the property is occupied and enable them to take action to reduce occupation where necessary.

Where a tenant has sub-let a property and is receiving the rent they can be subject to enforcement action by the Council using licensing powers.

In terms of supporting landlords where they are victims of rent-to-rent, we have Tenancy Relations Officers who can offer advice to landlords about their rights and responsibilities.

19.3 Antisocial Behaviour

NRLA state: "As part of the licence conditions, the council has identified that ASB is a prominent issue, focusing on noise complaints, fly-tipping and neighbour disputes, which forms the main criteria for the continuation of licensing in these areas.

Landlords are usually not experienced in managing antisocial behaviour and do not have the professional capacity to resolve tenants' mental health issues or substance dependency. Suppose there are allegations about a tenant causing problems, and a landlord ends the tenancy. In that case, the landlord will have dispatched their obligations under the property licensing scheme, even if the tenant is suffering from any of the above issues.

At the commencement of a tenancy, the landlord outlines the tenant's obligations concerning noise (and other matters such as waste disposal, compliance with relevant legislation, and consideration for surrounding neighbours). The landlord can manage a tenant only to the extent of their mutually signed and agreed contract for living in the property- not for a tenant's activities beyond this.

Bristol City council has many existing enforcing powers that can rectify the identified problems as part of the council's housing strategy."

BCC Response:

We do not understand NRLA's comments as we have not identified ASB as the main criteria for licensing in these areas.

ASB is one of the issues found in the PRS and Licence conditions are included which place obligations on licence holders regarding ASB, as permitted under the Housing Act 2004. This includes at the start of a tenancy and during tenancies and are applied to all licensed properties.

Landlords do have capacity to deal with some issues by ensuring they have provided waste facilities etc. and that tenants are aware of Bristol's recycling / waste collection procedures.

Landlords and residents have access to other council departments whose duty it is to handle these issues and who can work with landlords to ensure tenants have respect for their neighbourhood.

We appreciate that there are some circumstances where landlords cannot be held responsible for a tenant's behaviour, and the Council provides information and advice in those circumstances.

19.4 NRLA Conclusions

"The NRLA advocates using council tax records to identify tenures used by the private rented sector and those landlords in charge of those properties. Unlike discretionary

licensing, landlords do not require self-identification, making it harder for criminal landlords to operate under the radar and continuing to provide a low standard of housing.

It would be a more effective method of targeting these criminals and rooting them out of the sector using existing enforcement powers granted by the Housing Act and the Housing and Planning Act 2016 and generate funds for the council via this method instead of licencing fees. The NRLA believes that local authorities need a healthy private rented sector to balance the other housing areas. This provides a variety of housing types and can be flexible around meeting the needs of both residents and landlords in the area.

The sector is regulated, and enforcement is an essential part of maintaining the sector from criminals who exploit landlords and tenants. An active enforcement policy that supports good landlords is crucial as it will remove those who use others and create a level playing field. It is essential to understand how the sector operates as landlords can often be criminal activity victims with their properties exploited for illicit purposes. “

BCC Response:

The council already uses council tax records to try to identify the PRS and where possible the responsible landlords. Without licensing we would not have the resources to deal with the issues at the scale we are presented with in Bristol. Council tax only has a duty to record the details of the bill payer (usually the occupant) and other information including tenure and ownership is not always up to date or collected so is no replacement for the powers licensing schemes can bring to require landlords to come forward and apply for a licence. We use council tax records to contact as many landlords as possible to participate in consultation and to update on the outcome of the Cabinet decision. The process of creating a record of properties in the PRS and contacts of landlords is time consuming and is an ever-changing database which we do not have the resources to keep totally updated throughout the 18 month process of preparing for a potential new licensing scheme declaration.

19.5 Furthermore, the council should consider if the scheme is approved, providing an annual summary of outcomes to demonstrate to both tenants and landlords' improvements of behaviour and the impact of licensing on the designated area over the scheme's lifetime. This would improve transparency overall.

BCC Response:

A review is generally undertaken halfway through a scheme and reported to Cabinet member, but some key details are shared in the Landlord Newsletter and which includes all licensed landlords in the mailing. Updates on outputs are also provided in the WoE Landlord Forum meetings. This can be expanded so regular updates are given on scheme progress as necessary.

19.6 The NRLA has a shared interest with Bristol City Council in ensuring a high-quality private rented sector but disagrees that the further introduction of selective and additional licensing is the most effective approach to achieve this aim.

BCC Response:

Noted. The alternative proposed by NRLA will not in our view allow the Council to deal with the issues of poor standards of rented accommodation and management in the areas within this proposal.

Proposal to introduce property licensing schemes to Bedminster, Brislington West wards and Additional licensing to Horfield ward

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

Ref	Risk Description	Key Causes	Key Consequence	Status Open / Closed	Strategic Theme	Risk Category	Risk Owner	Key Mitigations	Direction of travel	Current Risk Level			Monetary Impact of Risk £k	Risk Tolerance			
										Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating	Date
1	Under estimation of numbers of properties needing to be licensed	More applications submitted than expected from pre scheme analysis	There will be delays in processing and inspecting properties	Open		Service Provision	Housing	We will recruit extra officers to handle expected increase and review procedures and ICT to make the process more efficient.	Stable	2	2	4				0	
2	Risk to tenants	Landlords may withdraw their properties due to fees or increase rent to cover their additional costs	Landlords can choose whether to rent to families only (to pay a lower fee) or sale the property thus removing the numbers of affordable units to tenants in these wards.	Open		Communities	Housing	A landlord can choose how he rents his properties but the rents are based on market conditions and demand for housing in the city is high. Landlords are receiving a high income from these properties so would be giving up a lucrative income source if they pulled out of the market for the sake of paying a one-off licence fee. Experience from previous schemes indicates no overall loss in private rented properties and in fact the sector continues to increase.	Stable	1	1	1				0	
3	Legal challenge	Landlords unhappy with proposal	The start of the scheme will be delayed or even stopped while we respond to the challenge.	Open		Reputation	Finance, Governance and performance	The evidence obtained to make the proposal satisfied the criteria for designation. Evidence was supplied by the BRE - an expert in this field. The fee structure has been reviewed and we are satisfied that the fee structure and level of fee is reasonable. The results of consultation has proved positive and endorsed officers recommendations to proceed with the sheme (subject to cabinet approval)	Stable	1	3	3				0	
4	Scheme not implemented	Cabinet do not authorise designation	Conditions in the PRS in proposed areas will remain / deteriorate and badly managed properties will continue.	Open		Communities	Housing	The proposed scheme meets all the relevant legal requirements. This type of targeted action is in line with a BCC corporate priority, "Fair and Inclusive". There is support for the scheme from councillors in the wards affected and the cabinet member for housing. The results from the public consultation agrees with the proposal (58.64%).	Stable	1	3	3	xxx	1	1	1	
5	Fewer applications made than predicted thus reducing income	More properties meet the exemption criterion than expected	Less income from scheme than predicted	Open		Financial Loss / Gain	Finance, Governance and performance	The current predicted numbers of staff to deliver the scheme is not at full establishment level. The scheme will operate with fewer staffing resources than predicted and recruitment halted. New legislation that came into place in October 2018 brought additional private rented properties into licensing and therefore these will increase the overall licence fee income.	Stable	2	2	4	xxx	2	2	4	
6																	



Equality Impact Assessment [version 2.9]

Title: Proposal to introduce property licensing in Bedminster, Brislington West and Horfield wards.	
<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 checked="" type="checkbox"/> Changing
Directorate: Growth & Regeneration	Lead Officer name: Tom Gilchrist
Service Area: Private Housing & Accessible Homes	Lead Officer role: Service 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.

We are proposing to introduce property licensing to three wards – Bedminster, Brislington West and Horfield. In Bedminster and Brislington West we propose that most privately rented properties would require a licence to continue letting. In Horfield only HMOs (Houses in Multiple Occupation) will be required to be licensed. Some buildings are exempt from licensing such as social housing, owner occupied, purpose student accommodation, leased properties etc.

The council recognises the need for good quality rented accommodation in the city and the positive impacts it has on the tenants of this sector however many tenants are not in a position of choice and live in accommodation that does not meet minimum housing standards but with the lack of available social housing the PRS is filling the gap. The demand for housing in Bristol is very high and some private landlords have taken advantage in these market conditions to let sub standard property.

The areas have been targeted because there are high concentrations of private rented sector (PRS) housing which are in poor condition or are being poorly managed. Many vulnerable people live in HMOs as this is the cheapest option for them and they are some of the worst housing in the city and impact hugely on the local community when they are poorly managed.

Licensing will enable us to inspect each licensable property to ensure they meet licensing standards and thereby improving standards for many private tenants in the selected areas. Licensing gives us additional powers that other enforcement powers do not. Licensing conditions must be met for both property standard and good management practice. We will provide advice on the necessary improvements (and loans to finance the improvements if necessary) and enforce when landlords do not comply with the licensing standards or apply for a licence.

Once a scheme has been declared it is illegal for a landlord or agent to let a property without a licence nor can they evict their tenants under a section 21 if the property is unlicensed.

We commissioned a report from the Building Research establishment (BRE) to identify areas in the city which met licensing criteria for poor housing / poor management and where the density of PRS was higher than 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]
--	------------------------------------	-----------------

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 of Bristol August 2021 Bristol Key Fact 2021 (March 2021 update)	The population of Bristol is estimated to be 465,900 people and has become increasingly diverse.

Age: Bristol has a relatively young age profile with more children aged 0-15 than people aged 65 and over. Bristol's 60,300 older people make up 13% of the total population. The median age of people living in Bristol in 2019 was 32.4 years old. At 69% Bristol has a higher-than-average proportion of working age (16-64 years old) people than nationally (62%). Almost a third (31%) are aged between 20-34 and many people in this age group will be students.

Race: The proportion of the population who are not 'White British' is at 22% of the total population. The proportion of people living in Bristol who were not born in the UK has increased from 8% to 15% of the total population. In Bristol, at least 187 countries of birth represented and at least 91 main languages spoken by people living in Bristol.

Religion: In Bristol, there are now at least 45 religions. 47% of population state they are Christian. 37% of the population state they have no religion.

This is general population data which shows the general population being affected by the proposal.

[Quality of Life 2020-21 — Open Data Bristol](#)

% Satisfied overall with their current accommodation

Characteristic	% Percentage
16 to 24 years	80.6
50 years and older	88.8
65 years and older	92.0
Female	88.1
Male	85.6
Disabled	76.0
Black Asian & Minority Ethnic	76.8
White Minority Ethnic	82.7
White British	89.0
Asian/Asian British	82.2
Black/Black British	56.7
Mixed Ethnicity	82.9
White	88.2
Lesbian Gay or Bisexual	85.5
No Religion or Faith	87.1
Christian Religion	88.8
Other Religions	74.6
Carer	81.4
Full Time Carer	68.5
Part Time Carer	85.6
Single Parent	69.8
Two Parent	90.2
Parent (all)	87.7
No Qualifications	84.9
Non-Degree Qualified	84.1
Degree Qualified	88.3
Rented (Council)	59.5
Rented (HA)	79.2
Rented (Private)	76.2
Owner Occupier	93.1

Most Deprived 10%	68.0
Bedminster	91.7
Brislington West	88.6
Horfield	91.6
Bristol Average	86.9

Source: Quality of Life in Bristol 2020-

21

Property Licensing Consultation 2020- Equalities Monitoring - Age



















What is your age?			
Answer Choices		Response Percent	Response Total
0-10		0.08%	1
11-15		0.08%	1
16-17		0.00%	0
18-24		1.96%	26
25-34		16.52%	219
35-44		22.62%	300
45-54		17.80%	236
55-64		18.25%	242
65-74		13.65%	181
75-84		4.30%	57
85 +		0.45%	6
Prefer not to say		4.30%	57
		answered	1326

Property Licensing Consultation 2020- Equalities Monitoring - Disability

Do you consider yourself to be a disabled person?			
Answer Choices		Response Percent	Response Total
Yes		5.45%	72
No		88.18%	1164
Prefer not to say		6.36%	84
		answered	1320
		skipped	91

Property Licensing Consultation 2020- Equalities Monitoring - Sex

What is your sex?			
Answer Choices		Response Percent	Response Total
Female		42.44%	559
Male		45.71%	602
Prefer not to say		10.93%	144
Other (please describe):		0.91%	12
		answered	1317
		skipped	94

Property Licensing Consultation 2020- Equalities Monitoring - Gender Reassignment	Have you gone through any part of a gender reassignment process or do you intend to?		
Answer Choices		Response Percent	Response Total
Yes		0.39%	5
No		88.07%	1137
Prefer not to say		11.54%	149
		answered	1291
		skipped	120
Property Licensing Consultation 2020- Equalities Monitoring - Ethnicity	What is your ethnic group? (please tick one box only)		
Answer Choices		Response Percent	Response Total
White British		75.65%	994
White Irish		1.07%	14
White Other		5.56%	73
Black /African / Caribbean / Black British		0.68%	9
Asian / Asian British		1.83%	24
Mixed / Multiethnic group		1.45%	19
Gypsy / Roma / Irish Traveller		0.15%	2
Prefer not to say		11.49%	151
Any other ethnic background (please describe):		2.13%	28
		answered	1314
		skipped	97
Property Licensing Consultation 2020- Equalities Monitoring – Sexual orientation	What is your sexual orientation?		
Answer Choices		Response Percent	Response Total
Bisexual		3.50%	45
Gay Man		2.02%	26
Gay Woman / Lesbian		0.86%	11
Heterosexual / Straight		73.54%	945
Prefer not to say		18.13%	233
Other (please describe):		1.95%	25
		answered	1285
		skipped	126

<p>Property Licensing Consultation 2020- Equalities Monitoring – Religion or belief</p>	<table border="1"> <thead> <tr> <th colspan="4" style="background-color: #ffffcc;">What is your religion/faith?</th> </tr> <tr> <th colspan="2">Answer Choices</th> <th>Response Percent</th> <th>Response Total</th> </tr> </thead> <tbody> <tr> <td>No Religion</td> <td></td> <td>49.34%</td> <td>639</td> </tr> <tr> <td>Buddhist</td> <td></td> <td>0.54%</td> <td>7</td> </tr> <tr> <td>Christian</td> <td></td> <td>31.27%</td> <td>405</td> </tr> <tr> <td>Hindu</td> <td></td> <td>0.54%</td> <td>7</td> </tr> <tr> <td>Jewish</td> <td></td> <td>0.15%</td> <td>2</td> </tr> <tr> <td>Muslim</td> <td></td> <td>0.85%</td> <td>11</td> </tr> <tr> <td>Pagan</td> <td></td> <td>0.54%</td> <td>7</td> </tr> <tr> <td>Sikh</td> <td></td> <td>0.31%</td> <td>4</td> </tr> <tr> <td>Prefer not to say</td> <td></td> <td>13.82%</td> <td>179</td> </tr> <tr> <td>Other (please describe):</td> <td></td> <td>2.63%</td> <td>34</td> </tr> <tr> <td colspan="2"></td> <td>answered</td> <td>1295</td> </tr> <tr> <td colspan="2"></td> <td>skipped</td> <td>116</td> </tr> </tbody> </table>	What is your religion/faith?				Answer Choices		Response Percent	Response Total	No Religion		49.34%	639	Buddhist		0.54%	7	Christian		31.27%	405	Hindu		0.54%	7	Jewish		0.15%	2	Muslim		0.85%	11	Pagan		0.54%	7	Sikh		0.31%	4	Prefer not to say		13.82%	179	Other (please describe):		2.63%	34			answered	1295			skipped	116
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<p>BRE Integrated Dwelling Level Housing Stock Modelling and Database for Bristol City Council February 2020</p>	<p>There are 202,911 dwellings in Bristol, 50% are owner occupied, 30% private rented and 20% social rented. Overall, the percentage of dwellings in the private rented sector across Bristol is 30% compared to the national average of 19%.</p>																																																								
<p>A public consultation was undertaken between 17th March and 26th May 2021 on the proposal to extend property licensing into 3 wards – Bedminster, Brislington West and Horfield.</p>	<p>The results of the consultation have been published on the 25 August 2021. Private Landlords, private tenants and other residents living in the proposed areas were invited to participate along with landlord and tenant organisations, local ward councillors and neighbouring LAs. Information was also posted online, on Facebook and on Twitter. Landlords who had signed up for the Private Housing Landlord newsletter were also emailed with full details of the consultation and links to the consultation web pages. A Press release was issued, and the private Housing pages of the council’s website was updated. The consultation ran online for ten weeks via the BCC Consultation Hub and paper copies of the consultation documents were available on request.</p>																																																								

	The majority of the 1,411 respondents who answered the question agreed or strongly agreed (58.64%) that the proposal would help to resolve poor management and property conditions of properties in the PRS in the selected areas. (33.40% disagreed.)
House of Commons Library. Home ownership and renting: Demographics. June 2017	<ul style="list-style-type: none"> Households led by younger people are less likely to own their home and more likely to rent privately. 10% of households led by 16–24-year-olds own their own home and 65% rent privately. For 25–34-year-olds the split is 39% to 42%. Only for households led by someone aged 35 or over do the majority own their home. Owner-occupation is most common amongst households led by people who are Indian, White or Pakistani (67%, 66% and 60% of households respectively). Households led by a Black HRP are least likely to be owner-occupiers (29% are). Private renting is common amongst people of ethnicities categorised as ‘Other’ (39%), ‘Other Asian’ (35%) and ‘Mixed or multiple’ (28%). Households led by a White HRP are least likely to rent privately (16%). <p>This data indicates that younger people tend to live in the private rented sector as do some Black, Asian and minority ethnic groups.</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 checked="" type="checkbox"/> Gender Reassignment
<input 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 team’s diversity data may be redacted. A high proportion of not known/not disclosed may require an action to address under-reporting.

The above information is collected through the consultation so doesn’t cover the entire profile of those affected in the area. We *have not* collected data on the Marriage or Civil partnership characteristic.

The BRE report focuses on the property details as licensing is property led irrespective of the tenants except by the number and relationship of the households who occupy these properties to determine the type of licence required where licensing is introduced.

Many private landlords and tenants are unknown to us and therefore we do not hold equalities data for the majority of these. We do collect the equalities data through our consultations however and we have just completed our 4th consultation on licensing across different areas of the city. Of course, this information is only on those who complete the consultation questionnaires.

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.

A public consultation was undertaken between 17th March and 26th May 2021 (ten weeks). The [results of the consultation](#) were published on the Consultation Hub from 25 August 2021.

Private Landlords, private tenants and other residents living in the proposed areas were invited to participate along with landlord and tenant organisations, local ward councillors and neighbouring LAs. Information was also posted online, on Facebook and on Twitter.

Landlords who had signed up for the Private Housing Landlord newsletter were also emailed with full details of the consultation and proposals.

A Press release was issued, and the council's private housing website was updated with details about the consultation. The consultation ran for ten weeks via the Consultation Hub with an online survey form and paper copies of the consultation documents made available on request and pre-paid envelopes provided for the completed surveys to be returned and uploaded.

The majority of the 1,411 respondents who answered the question agreed or strongly agreed (58.64%) that the proposal would help to resolve poor management and property conditions of properties in the PRS in the selected areas. (33.40% disagreed.)

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 contact will be made until the Cabinet decision is known at which time we will once again write to all known landlords with properties in the area, with residents living in the area and with consultees who wished to be kept informed of the decision.

If the scheme was approved by Cabinet in December, prescribed Public notices must be published in two local papers every other week for ten weeks. We will also write out to all those affected again – mainly landlords and tenants and other stakeholders and equalities groups when the scheme goes live (usually 3 months post decision) and update our web pages, newsletters etc. to publicise as widely as possible with details about how to apply for a licence.

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 to 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)	
<p>The aim of licensing is to improve property conditions and poor management practises in the PRS. The positive impact of licensing schemes are the numbers of improvements made to properties that are below minimum standard. The negative impact is that for the landlord there is a financial cost and for some tenants, landlords will increase rents to cover these additional costs even though for the majority the costs are low – maximum £5 or £3 per week before discounts.</p> <p>There are risks that landlords may leave the rental market rather pay the fees but the rental income they can receive far outweighs this one-off cost of selective and additional licensing. Analysis from previous schemes has shown that although there is a churn in the market, the level of PRS is still rising so there always seems to be another landlord who is willing to step in.</p> <p>Rental costs have increased over the last few years and now demand is so high in Bristol, landlords have been increasing rents anyway because of market conditions. Those increases are totally outside of our control and are down to the individual landlord.</p> <p>Landlords who do not make an application for a licence when they should be at risk of enforcement action or even prosecution if they do not licence their properties and yet continue to rent them out. Tenants can apply for Rent Repayment Order if a landlord continues to let a property that has no licence. This means they can get some or all their rent back for the time the property was unlicensed when it should have been.</p> <p>There will be a lot of publicity about the scheme to make as many landlords and agents as possible aware of the scheme (and relevant private tenants) and those who do not licence when they should, will be investigated by caseworkers to encourage and assist them to apply for a licence to avoid enforcement action. We will work with voluntary and community sector also to ensure the message reaches those who need it.</p>	
PROTECTED CHARACTERISTICS	
Age: Young People	Does your analysis indicate a disproportionate impact? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	As most people renting in the PRS are younger people they will be impacted the most by licensing.
Mitigations:	Licensing aims to improve living conditions for those renting in the PRS so the overall impact should be positive.
Age: Older People	Does your analysis indicate a disproportionate impact? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	Some landlords rent out property as a retirement fund so licensing and the additional costs involved may impact those and potentially reduce their profit in the first year.
Mitigations:	See general comments
Disability	Does your analysis indicate a disproportionate impact? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	Disabled people in Bristol are less likely to be satisfied overall with their current accommodation.
Mitigations:	Licensing aims to improve living conditions for those renting in the PRS so the overall impact should be positive.
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 checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	In previous schemes, consultees expressed concern that co-habiting same sex couples will be forced to come out to their landlord to avoid paying licence fees.
Mitigations:	If any three or more people are living in a privately rented property which is not rented as a family dwelling it would be licensable regardless of their relationship status to each other – however they would not be required to declare what the nature of their relationship is. The definition of a family for the purposes of HMO licensing is defined by central government and outside the scope of this proposal. https://www.gov.uk/private-renting/houses-in-multiple-occupation

	Under this proposal however we are also licensing family accommodation, so the landlord does not need to be made aware of a relationship as all properties need to be licensed and will be based on numbers of occupants on whether it is an HMO or non-HMO. No other detail is necessary.
Pregnancy / Maternity	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	
Mitigations:	Babies and children do not count as an occupant under this legislation so are not included in HMO occupants for the purposes of licensing. As family accommodation is also licensable under this proposal there is no discrimination between how the property is occupied except for HMO definition.
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 checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	If English is not a landlords first language, there may be misunderstanding of the requirement to licence which could lead to non-compliance and enforcement action. Private tenants who do not speak English as a first language may not be aware of the scheme or their rights as a tenant. Black, Asian and minority ethnic people in Bristol are also less likely to be satisfied overall with their current accommodation.
Mitigations:	Information about the potential schemes will be disseminated to landlord and tenant groups and stakeholder contacts as well as posting on social media, online and by mail including information about how to access translation and interpretation services. The renting of private properties is a business, and all landlords of private rented properties should be competent to manage their property(s). If they are not and then it is likely they have an agent or an appointed manager to manage the property for them. Licensing aims to improve living conditions for those renting in the PRS so the overall impact should be positive
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 checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	Co-habiting couples who live in rented accommodation with other are not disproportionately affected by this proposal
Mitigations:	As all accommodation is subject to licensing under this proposal including family accommodation and HMO licencing applies regardless where there are 3 or more people in occupation.
OTHER RELEVANT CHARACTERISTICS	
Socio-Economic (deprivation)	Does your analysis indicate a disproportionate impact? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	Financial impact on landlords, and tenants if additional costs are passed on.
Mitigations:	See general comments.
Carers	Does your analysis indicate a disproportionate impact? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	People who are carers in Bristol are less likely to be satisfied overall with their current accommodation.
Mitigations:	Licensing aims to improve living conditions for those renting in the PRS so the overall impact should be positive.
Other groups -	
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 aim of licensing is to improve property conditions and as most private tenants are young people, they will feel the improvements more than other groups. All tenants of licensed properties have better protection and are more able to access services if there are issues as each property will have an assigned case officer who can be contacted.

Tenants from particular protected characteristic groups are overrepresented in the private rented sector. Any scheme which encourages better accommodation and better management of the accommodation would therefore benefit people from equalities communities.

People who spend a large proportion of their time at home should benefit from better quality accommodation in particular – e.g., some Disabled people, single parents with small children, some older people.

Tenants with additional vulnerabilities, for example people with mental health needs, women leaving refuges, homeless men and women are increasingly placed in private rented accommodation. The scheme will make it easier for vulnerable tenants and their support workers to identify landlords and letting agencies who are licenced and offer good standards of accommodation.

Some private rented tenants are less settled within their communities than those in social housing or homeowners. Some accommodation sees a high turnover of tenants for example students. Poor quality accommodation can include severe overcrowding and result in a high turnover of tenants. High turnover can cause community cohesion issues with neighbours and creates additional strain on local services e.g., local schools.

Details of landlords who license their properties are placed on a 'Public register' and this information will be available to all. Our web site will also give information and how to contact the council if there are issues with the condition or management of these properties. It is a requirement of the licence to display the contact details of landlord within the rented property and inform the neighbouring property owners the details of the landlord/agent. This will enable tenants and neighbours to report concerns which will ease community cohesion tensions.

It should also make it easier for people to stay in rented accommodation for longer, rather than needing to move because of poor quality accommodation.

We know that some Black, Asian and minority ethnic people and migrants are particularly vulnerable to exploitation regarding poor housing as they are less likely to know their rights and the standards that are deemed acceptable and appropriate. Licensing will highlight their rights and provide the necessary contacts

For most private tenants licensing will have a positive impact in that the council will ensure that their home is safe and properly managed. Under a declared licensing scheme, every licensable property in the area will be inspected and steps taken to ensure the properties meet licensing conditions. This is done without any need for the tenant to contact us as would be necessary outside of licensing in a reactive complaint service.

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 are concerns around the cost of the fees both on landlords and on the tenants - if the costs are passed on to the tenants but at a maximum fee equivalent of £5 pw or £3pw it is hoped that increase is minimal given the income collected from the rent and all tenants will benefit from any improvements and better management that licensing can bring.

There are risks that landlords may leave the rental market rather pay the fees but the rental income they can receive far outweighs this one-off cost of selective and additional licensing. Analysis from previous schemes has shown that although there is a churn in the market, the level of PRS is still rising so there always seems to be another landlord who is willing to step in.

Rental costs have increased over the last few years across the city and now demand is so high in Bristol, landlords have been increasing rents to take advantage of this market. Those increases are totally outside of our control and are down to the individual landlord.

Some landlords may try to continue to operate below the radar and not apply for a licence. However, we have a team of officers who investigate those properties that we believe require a licence and will encourage them to apply for a licence and meet licensing conditions or face prosecution if they still fail to engage. In those situations, we can assist tenants to make an application for a Rent Repayment Order as a landlord cannot legally charge a rent while being unlicensed when the property is required to be licensed.

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

Licensing will improve property conditions and poor management practises in PRS properties in the area and should have a positive impact on the local community if property standards are being improved and issues around ASB, noise etc are being dealt with. So, all people who live in these privately rented properties and other residents of various characteristics will feel the benefit.

We hope that individuals will be empowered to report poor conditions and poor management practises as we will already be involved in an inspection programme etc. so the tenants do not have to fear retaliatory action if they report anything because the landlord will assume that the actions, we take are normal licensing activity.

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
Private Housing Service is reviewing the data that we are collecting to improve analysis of equalities information of our service users.	Richard Johnson/ Onn Kee Davies	March 2022

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 monitor progress throughout to ensure that all properties are licensed, and all properties inspected and action to remedy any failings are undertaken. A review of the scheme is taken halfway through and again at the end to check progress is being made and to measure its impact on the number of properties improved, enforcement action taken and analysis of the PRS market.

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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: Donald Graham
Date: 13/9/2021	Date: 23.9.2021

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: New rented property licensing scheme in three wards of the city				
Report author: Tom Gilchrist				
Anticipated date of key decision 14 th December 2021				
<p>1) Summary of proposals: It is estimated that there are approximately 2,222 dwellings that will require a selective licence and 686 HMOs that will require an additional licence. The total number expected to require a licence is 3060. There are 14,345 dwellings in private ownership in these wards which means 21% of the dwellings in private ownership will need a licence.</p> <p>2) The introduction of selective licensing would bring a general improvement of property conditions that are adversely affecting the occupants in the area. This will be achieved by inspecting every property that will be subject to selective licensing in the area to identify and remedy serious hazards. This will be remedied through enforcement under Part 1 of the Act or other enforcement powers as appropriate, to ensure compliance with licensing conditions.</p> <p>3) Properties in the proposed areas were found to have lower energy efficiency levels compared to the citywide average. Bedminster and Brislington wards have an average SAP rating in the PRS of 59 and in Horfield 60. The SAP is the methodology used by the government to assess and compare the energy and environmental performance of dwellings. The higher the rating under simple SAP, the better. The scores run from 1 to 100.</p> <p>4) Within these three wards there are also notably higher levels of fuel poverty – using the low income, high-cost definition – in HMOs (23% compared to the 15% citywide average) and low-income households (38% compared to the 20% citywide average). A property that is not well maintained to a satisfactory standard or properly insulated can be harder to heat as costs are higher. In turn this can lead to ill health.</p>				
Will the proposal impact on...	Yes/ No	+ive or -ive	If Yes...	
			Briefly describe impact	Briefly describe Mitigation measures
Emission of Climate Changing Gases?	Yes	-ive +ive	Physical inspections of 3,060 properties will lead to emissions associated with transport. Based on existing licensing schemes which have led to improved energy efficiency in 416 properties so far, it is expected that the	Route planning should be considered to ensure that inspections are carried out efficiently, using the least number of car miles possible, with preference given to sustainable travel options wherever possible.

			proposal will lead to upwards of 200+ further improvement works which will reduce emissions over the lifetime of the buildings. The impact on emissions is extremely likely to be net positive with significantly more carbon saved from improvements than produced from vehicle travel.	
Bristol's resilience to the effects of climate change?	Yes	+ive	A number of properties will receive energy efficiency upgrades improving their overall performance and resilience to climate change.	
Consumption of non-renewable resources?	Yes	-ive	Energy efficiency works will require use of non-renewable resources.	BCC has no direct control over use of materials as these works will be arranged privately by individual landlords, however over the lifetime of the works they should make a net positive contribution to reducing fossil fuel use.
Production, recycling or disposal of waste	Yes	-ive	Remedial works will lead to some production of waste.	BCC has no direct control over waste generated as these works will be arranged privately by individual landlords, however standard requirements for disposal of waste will ensure that correct disposal routes are followed.
The appearance of the city?	No			
Pollution to land, water, or	No			

air?				
Wildlife and habitats?	No			
Consulted with:				
Summary of impacts and Mitigation - <u>to go into the main Cabinet/ Council Report</u>				
<p>The significant impacts of this proposal are... a net positive impact on carbon emissions from housing which receives remedial works.</p> <p>The proposals include the following measures to mitigate the impacts... implement efficient travel planning for undertaking physical inspections to reduce total vehicle miles driven and encourage active travel where possible.</p> <p>The net effects of the proposals are positive.</p>				
Checklist completed by:				
Name:	Jan Hamilton			
Dept.:	Private Housing Service			
Extension:	0117 3521804			
Date:	14.09.21			
Verified by Environmental Performance Team	Daniel Shelton			

Decision Pathway – Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 14 December 2021

TITLE	Block contracts for Temporary Accommodation		
Ward(s)	Citywide		
Author: Paul Sylvester	Job title: Head of Housing Options		
Cabinet lead: Cllr Tom Renhard, Cabinet Member for Housing Delivery and Homes	Executive Director lead: Stephen Peacock, Executive Director for 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 update Cabinet on the procurement of block contracts for Temporary Accommodation. Block contracts provide Temporary Accommodation at lower cost than spot purchased Temporary Accommodation, therefore reducing Bristol City Council expenditure 2. To approve the award of contracts if procurement is completed in time or delegating the decision to approve contract awards to the Executive director Growth and Regeneration in consultation with the Cabinet Member Housing Delivery and Homes 3. To update cabinet on the total spend on temporary accommodation since the introduction of the Emergency Accommodation Framework. 4. To approve the future spend during the remaining lifetime of the emergency accommodation framework and confirm the lifespan of the framework. 			
Evidence Base:			
Background			
<ol style="list-style-type: none"> 1. Impact of the pandemic on homelessness <p>Tackling homelessness and providing everyone with a secure roof over their head is a top priority for the council. We are working hard to make sure that people who find themselves homeless are supported to access help and accommodation. Temporary accommodation allows people to move on from rough sleeping and other forms of homelessness, giving them a chance to get back on their feet.</p> <p>Ultimately, we know that the only way to truly end homelessness is provide enough affordable housing, but temporary accommodation allows us to house people who are at risk of homelessness, while we work towards our long-term goals.</p> <p>The impact of the pandemic has resulted in increased levels of homelessness in Bristol. There are currently 970 households in Temporary Accommodation (TA). This is a 50% increase on pre-pandemic numbers.</p>			
	28/2/20 (pre-pandemic)	31/3/21 (peak)	1/11/21
Households in TA	650	1122	970

Bristol City Council has a £2.3m budgetary pressure because of the increased use of Temporary Accommodation. With high homelessness presentations, the use of TA is unlikely to reduce in the next 12 months. Implementing block contracts for TA will help reduce our overspend.

2. Emergency Accommodation Framework

Since 2016 the provision of most emergency Temporary Accommodation in Bristol has been through our Emergency Accommodation Framework procured on a nightly spot purchase basis, directly from a list of accredited commissioned suppliers (providers). Nightly spot prices are set by suppliers through a pricing matrix.

The framework commenced in in February 2016. Since that time the spend on temporary accommodation has been £44,935,318.1.

The original intention was that the framework would run for 8 years ending in February 2024 and we are seeking confirmation that the framework continues until then. The total forecast expenditure is £11m p/a

3. Proposal for additional block contracts

In July 2020, as part of the Covid-19 recovery plan to manage costs and respond to a rapid increase in demand for TA for singles, we used the Emergency Accommodation Framework as a vehicle to procure additional shared accommodation. A new procurement call-off from the Framework was drafted. This set out the number and type of units of accommodation in specific geographical areas of the city at a capped price, by means of a mini block call-off contract. To date we have procured 128 shared single units of accommodation supplied by two providers at a capped price of £23.50 per person per night. This contract has delivered a much needed boost to the supply of shared singles TA at a lower cost than the spot purchased supply to the framework.

Housing Options are leading a project focussing on reducing the net unit cost of TA. Several options are being explored, one of which is to reduce our use of expensive nightly paid spot purchased Temporary Accommodation by procuring lower cost accommodation using additional block contracts.

Procuring additional block contract accommodation is also a recommendation from our Strategic Partner V4S in their 2021 Contract Review of TA, in order to lower contract value and reduce spend.

We have carried out an assessment of current and future demand for shared singles based on financial modelling and lessons learned from the 2020 shared singles block procurement and we propose adding a further 150 units of shared singles accommodation at a capped price of £26.00pppn for 1 year with an option to extend by one year.

Through the same modelling we have analysed family sizes in our TA Framework from April 2021 to date, in order to assess and understand the numbers of families currently placed in the system and the likely future demand. From this we have been able to predict potential demand for different sized family units and plan a fixed price procurement that will reflect this. Our recommended procurement number and value is listed in the table below:

Unit size	Recommended fixed price per night	Evidence from current spot prices data	Numbers intended to procure	Value of intended procurement PA
1-bed shared	£26	Average £38	150	£1,423,500
1-bed (couple only)	£45	Average £54	8	£131,400
2-bed	£46	100 out of 110 > £50	40	£671,600
3-bed	£55	68 out of 71 > £60	35	£702, 625
4-bed	£62	24 out of 26 > £65	15	£339,450
5-bed	£70	2 out of 2 >£70	2	£51,100
Total				£3,319,675

On the 5th August 2021 all active suppliers to the EA Framework were invited to an online market engagement exercise to share views on the future plans for the Framework itself. This event was followed up by a series of one-to-one discussions with each supplier. During the pandemic we have been working closely with our TA suppliers and updating them on changing demand. They are now ready to engage with this procurement exercise.

If we secure all 250 properties, BCC will make an annual saving of £1m on Temporary Accommodation expenditure.

4. Timeline

We have invited suppliers to bid for two block contracts of temporary accommodation covering the following specifications:

- 150 units of shared singles accommodation (in blocks of 8) at a capped price of £26.00 pppn for one year with an option to extend for a further 12 months. Total value of £1.42m p/a
- 100 units of assorted bed size self-contained fixed price accommodation (in blocks of 5) for one year with an option to extend for a further 12 months. Total value of £1.9m p/a

The timeline for the procurement is below:

8/11/21 - Publication of opportunity
16/11/21 – Provider Event
19/11/21 – Closing date
26/11/21 – Panel meeting to evaluate blocks to be called off.
29/11/21 – Award report and then contracting.
1/2/2022 – Staggered start to contracts

Cabinet Member / Officer Recommendations:

That Cabinet:

1. Authorises the Executive Director of Growth and Regeneration in consultation with the Cabinet Member for Housing Delivery and Homes to award the contract(s) under the Emergency Accommodation Framework necessary for the implementation of block contracts for Temporary Accommodation, in-line with the procurement routes and maximum budget envelopes outlined in this report noting the associated Procurement and Legal commentaries
2. Authorises the Executive Director of Growth and Regeneration in consultation with the Cabinet Member for Housing Delivery and Homes to invoke extensions of up to one year to each call off up to the maximum budget envelope outlined in this report
3. Authorises the Executive Director of Growth and Regeneration in consultation with the Cabinet Member for Housing Delivery and Homes to continue the use of the emergency accommodation framework until February 2024, with a forecast expenditure of £11m p/a

Corporate Strategy alignment:

Improving the availability of good quality Temporary Accommodation whilst reducing the cost to the Council aligns with the corporate strategy priority to reduce and prevent homelessness and rough sleeping. It will contribute to supporting good mental and physical health of clients.

City Benefits:

Improving availability of good quality Temporary Accommodation that meets needs has significant benefits for people who are homeless in Bristol which in turn have wider city benefits:

1. Is essential to the health and wellbeing of clients recovering from the trauma of being homeless.
2. Enables clients to focus on activities to support them moving on into settled accommodation
3. Reduces the number of failed Temporary Accommodation placements

Consultation Details: N/A

Background Documents: N/A

Revenue Cost	£3,319,675	Source of Revenue Funding	Housing Options 10507
Capital Cost	N/A	Source of Capital Funding	N/A
One off cost <input type="checkbox"/>	Ongoing cost <input type="checkbox"/>	Saving Proposal <input type="checkbox"/>	Income generation proposal <input type="checkbox"/>

Required information to be completed by Financial/Legal/ICT/ HR partners:		
1. Finance Advice:		
<p>The cost of procuring additional Block Contract would be £3.3m based on purchasing 250 properties. The cost will be funded from existing revenue budget.</p> <p>The current Block contract with 2 providers for single shared unit which was commenced in Sep 20 had been analysed to assess contract performance in relation to savings and void level.</p> <p>The analysis suggested that Block contract achieved savings of Circa £210k or cost reduction of 22% compared with Spot purchase. (Please see Appendix G; Table 1). However, the actual number of placements were lower than payments made for Block Contract, resulted in void loss of £134k or 22%. (Please Appendix G; Table 2)</p> <p>The estimated savings from new contract is expected to be £1m based on savings and void level of existing contract for 1 bed. (Please see Appendix G; Table 3).</p> <p>The potential savings of £1m is reliant on contract performance and savings may be realised over two financial years depending when contract commences.</p> <p>The lower rent charged for a block contract placement will also reduce the level of subsidy loss on Temporary Accommodation.</p>		
Finance Business Partner:		
Aisha Bapu, Finance Business Partner 5 th November 2021		
2. Legal Advice: These contracts are being called off from an existing framework and therefore are being procured in a way that is compliant with both the Public Contracts Regulations 2015 and the council's internal procurement rules. Support from Legal Services will be provided during the procurement process as required.		
Legal Team Leader: Eric Andrews, Team Leader, 29 th October 2021		
3. Implications on IT:		
I can see no IT implications in this proposal.		
IT Team Leader: Gavin Arbuckle – Head of Service Operations, Digital Transformation 8 th November 2021		
4. HR Advice: There are no HR implications evident		
HR Partner: Celia Williams 2 nd November 2021		
EDM Sign-off	Donald Graham	10/11/21
Cabinet Member sign-off	Clr Tom Renhard	12/11/21
For Key Decisions - Mayor's Office sign-off	Mayor's Office	15/11/21

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

Property and Pricing Schedule

Bristol City Council is looking to secure blocks of accommodation to house households that have become unavoidably homeless. The accommodation will be provided as described in the instructions for bidders document. Please use the form in the next tab called 'Property List' to complete details of the accommodation that you are proposing for this. All accommodation should be within the Bristol City Council boundary area.

The nightly price must be all inclusive, including rent, support and utilities (except in self-contained family properties), as described in the specifications. There will be no charge payable from households occupying the accommodation to the provider.

A minimum of 8 units of shared accommodation per bidder are required for the Singles block contract and a minimum of 5 units of self contained accommodation per bidder for the Families block contract.

There must be no breach of planning consent if this accommodation is to be used as supported housing. Please see guidance on HMO licencing and Planning Permissions required (If property falls within the Article 4 Directions Area) in the tab called 'Licencing and Article4 Guidance'.

The ceiling price for the Singles shared block contract accommodation is £26.00 per room per night and the council will exclude bids that are over this price.

The ceiling prices for the Families self-contained block contract is as below, and the council will exclude bids that are over these prices:

Unit size	Recommended fixed price per night
1-bed (couple only)	£45
2-bed	£46
3-bed	£55
4-bed	£62
5-bed	£70

As a provider of emergency accommodation, we ask that you commit to the following recommendations to reduce your business' impact on the environment:

- Maintain existing green spaces
- Install smart meters
- Seek renewable energy tariffs
- Ensure that properties have appropriate waste and recycling provision with a proactive approach to information and guidance
- Ensure properties are appropriately insulated, ventilated, and install mitigation measures where excessive heat is found to be an issue

Types of property licence for HMOs

Your property is a house in multiple occupation (HMO) if both of the following apply:

- at least 3 tenants live there, forming more than 1 household
- there are shared facilities such as toilet, bathroom or kitchen facilities

There are two types of private HMO property licences:

Mandatory HMO licence

You need a mandatory HMO licence if you're renting out a property, in any part of Bristol, that has:

- 5 or more people from 2 or more households
- shared toilets, bathrooms or cooking facilities

This means that houses, flats or converted flats on any number of storeys are licensable.

Central Bristol Additional HMO licence

Additional licensing applies to HMOs in central areas of the city where Bristol City Council have declared additional licensing schemes.

It applies to privately rented or leased flats or houses, where:

- 3 or 4 unrelated people live in 2 or more households
- and share some basic facilities.

The Central Bristol licensing scheme covers the 12 wards:

Ashley
Bishopston and Ashley Down
Central
Clifton
Clifton Down
Cotham
Easton
Hotwells and Harbourside
Lawrence Hill
Redland
Southville
Windmill Hill

Follow this link : <https://www.bristol.gov.uk/licences-permits/apply-for-a-property-licence-page> if you're not sure if you need a licence or which type.
<https://www.gov.uk/guidance/homelessness-code-of-guidance-for-local-authorities/chapter-17-suitability-of-accommodation>

Please follow this link for additional government guidance on standards of accommodation for local authorities:

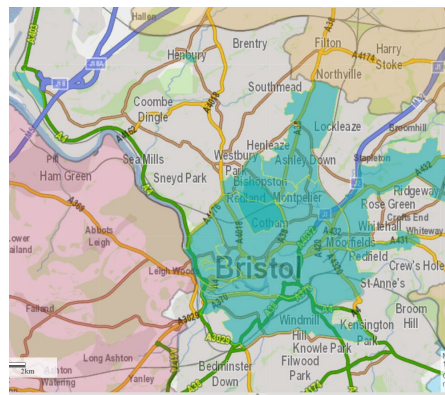
<https://www.gov.uk/guidance/homelessness-code-of-guidance-for-local-authorities/chapter-17-suitability-of-accommodation>

If your property sits within **the Article 4 Directions Area** then you will need to obtain **planning consent** in addition to licencing the property as a HMO.

In certain areas of the city, Article 4 Directions are in place which remove permitted development rights and you may need to **submit a planning application for change of use** between a dwelling house i.e. occupied by a single person or household (Use Class C3) and a small HMO (Use Class C4), or a larger HMO if the property has 6 or more bedrooms (Sui Generis Use class).

Please follow this link for a map of the areas covered by Article 4 here: <https://www.bristol.gov.uk/planning-and-building-regulations/additional-planning-restrictions-article-4>

or search for a specific property and whether it falls within the Article 4 boundaries here: <https://maps.bristol.gov.uk/pinpoint/> (search for your property by post code > click Local information > click Environment and planning > click Article 4 Directions > if the pin point falls in the green area then it is within Article 4 boundaries).



If the property does fall within the Article 4 Directions area **but has an existing HMO licence** (issued before 29 June 2020) then a Lawfulness Development Certificate will need to be obtained, rather than full planning permission. For example, this would be applicable to former student properties that are already licenced as HMO. This is cheaper and quicker to obtain than full planning permission.

Properties identified as HMO outside the defined Article 4 Directions boundary do not require planning permission, unless the change of use is from a small HMO of up to 6 persons (Use Class C4) to a larger HMO of over 6 persons (Sui Generis Use) then full planning permissions will be required.

For more information please follow this link: <https://www.bristol.gov.uk/planning-and-building-regulations/additional-planning-restrictions-article-4>

	Full Postal Address	Post Code	Description of Propety (E.g. House, Miasonette, Semi or Flat)	Number of reception rooms	Number of Accessible Units of Accommodation	Energy Costs?	Weekly or Nightly Price?? ? £xx.xx	Own/Management Agreement/Lease.
1								
2								
3								
4								
5								
6								
7								
8								
9								
10								
	Total Number of Units							

Please add rows as necessary.

	Full Postal Address	Post Code	Description of Propety (E.g. House, Miasonette, Semi or House Type Flat, High Rise)	Number of Units of Accommodation	Number of reception rooms	Energy Costs?	Is the Property in Article 4 Directions Area? Y/N	If so, do you have planning permission or an LDC for HMO use of the property? If yes please include details of type of consent obtained.	Weekly or Nightly Price?? ? £xx.xx	Own/Management Agreement/Lease.
1										
2										
3										
4										
5										
6										
7										
8										
9										
10										
	Total Number of Units									

Please add rows as necessary.

Block Contracts for Temporary Accommodation Risk Register

Negative Risks that offer a threat to the two new block purchased contracts 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
BCTA-11-001	High levels of void rooms and/or self-contained properties that have been purchased for a block of 12 months.	Demand for block emergency accommodation does not meet the numbers of units purchased.	BCC end up paying for empty units.	Open	Empowering and Caring	Financial	Paul Sylvester	Numbers of units being purchased are based on rigorous assessment of current needs and realistic projections of future demand. All new homelessness presentations will be allocated to block purchased accommodation. Providers will be encouraged to transfer properties they have on the Spot purchased contract over to Block where appropriate. Contract length is limited to one year plus one year optional extension.	↔	2	1	2	2	1	2	Nov-21	
BCTA-11-002	Providers do not come forward or do not offer enough properties for the block contracts.	The capped nightly rates are not competitive enough to providers. Planning restrictions regarding the Article 4 Directions area HMO limit the pool of properties available to providers (for singles shared properties only).	BCC maintain reliance on using costly Spot purchased accommodation.	Open	Empowering and Caring	Financial	Paul Sylvester	The prices offered on both block contracts are based on feedback from providers and the performance of the family fixed price pilot and current block purchased singles accommodation. Clear guidance regarding the Article 4 Directions area will be given to providers in the tendering paperwork and during the information training event for providers planning to bid on the block contracts.	↔	2	1	2	2	2	4	Nov-21	
BCTA-11-003	Additional HMO properties in the city cause anti-social disturbance to local communities.	HMO properties are poorly managed by the providers. Occupants of shared emergency accommodation impact the balance of local communities.	Local communities are negatively affected by anti social behaviour (ASB). This reflects badly on the reputation of BCC and its response to homelessness provision.	Open	Empowering and Caring	Communities and Reputational	Paul Sylvester	Housing Option's staff will manage emergency placements appropriately. Regular communications will be kept between Housing Options staff and the providers to prevent and swiftly resolve ASB issues. Service specifications in place will outline BCC's expectations for effective and high quality housing management of properties and occupants. Ensure properties offered to the framework comply with geography related to restrictions on permitted development Article 4 Directions and HMO licencing schemes	↔	2	2	4	2	2	4	Nov-21	
BCTA-11-004	An increased risk of Covid19 transmission within shared HMO households.	Occupants living in close proximity to each other and sharing cooking and bathroom facilities. Occupants may also fail to comply with social distancing guidance and house rules. Providers do not communicate clear social distancing and infection control guidelines.	Covid-19 outbreak occurs in shared properties amongst adults who may have poor physical health and are particularly vulnerable to catching Covid. Properties need to self-isolate creating voids that cannot be filled until the house is clear of Covid.	Open	Wellbeing / Empowering and Caring	Communities and Service Delivery	Paul Sylvester	Contract monitoring and collaborative working with all providers will take place to ensure suppliers comply with government and public health guidance. If/where needed resource will be sought from homelessness floating support services to support HMO houses to self-isolate and access essentials such as food and testing supplies (this happened with success during previous national lockdowns).	↔	2	3	6	2	2	4	Nov-21	
BCTA-11-005	Poor quality temporary accommodation stock contributing to negative environmental impact and disrepair.	Properties are poorly managed and maintained by providers.	Occupants develop low mental and physical health due to living in poor housing conditions. Local neighbours complain about disrepair of property.	Open	Wellbeing	Communities, Service Delivery and Reputational	Paul Sylvester	All properties offered to the framework are inspected with reference to West of England property standard, fire safety, electrical inspection and gas safety. Guidance is given to providers on how to limit impact on the environment, for example maintaining green spaces, manage recycling and waste and seek renewable energy tariffs.	↔	1	1	1	1	2	2	Nov-21	

Equality Impact Assessment [version 2.9]



Title: Block contracts for Temporary Accommodation	
<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: Paul Sylvester
Service Area: Homelessness Prevention	Lead Officer role: Head of Housing Options

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 meet the increased demand for temporary accommodation during the Covid recovery and reduce cost we are procuring 100 units of fixed price accommodation and 150 units of shared singles accommodation for one year with an option to extend for an additional 12 months. The accommodation is to be procured from the existing Emergency Accommodation Framework. This procurement reflects a strategic change in the profile of placements into Temporary Accommodation to move away from a dependency on high-cost nightly rate spot purchased accommodation to lower cost fixed price provision.

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

As we enter a period of recovery from COVID this procurement will help the city respond to the impact of the pandemic and mitigate the increased demand for temporary accommodation placed current supply particularly by those groups who are currently experiencing or at risk of homelessness in the city.

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
Housing Support Register	Case specific database for at risk and vulnerable citywide Homelessness prevention placements
Abritas	Case specific database for citywide Homelessness Prevention Service to capture those assessed under the Homelessness Reduction Act - linked to gov.uk H-CLIC
Joint Strategic Needs Assessment	Citywide quarterly data, population, housing, health
National Statistics (Department of Levelling up Housing & Communities)	National Homelessness Data from quarterly returns by local government through H-CLIC returns
Homelessness Trends	Quarterly report on citywide homeless trends
Rough Sleeping snapshot	Citywide monthly and annual street count reported to gov.uk

Additional comments:

Statutory homeless [statistics](#) capture data on everyone who has been assessed under the Homelessness Reduction Act. This is easily one of the best sources of homelessness statistics in the world.

The latest national statistics (2020-21) indicate that homelessness has disproportionately affected certain communities, with single households, young people, and people of colour (especially Black/Black British people) who have seen the greatest increases.

National statistics show 84.9% of the overall population is White British, compared to 69.6% of people experiencing or at risk of homelessness. Black/Black British is the most overrepresented ethnic group comprising 9.7% of those owed a homelessness duty. In Bristol these national figures are broadly replicated with 16% of the population who are Black, Asian and minority ethnicity, compared to 30-40% of homeless acceptances between 2012 and 2018.

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.

Data collected for the homelessness review indicates that there are gaps in existing ethnicity data, with ethnicity not always stated or recorded. From what data there is, indicates that Black, Asian and minority ethnic homelessness applicants are over-represented compared to their relative proportion in the Bristol Community as a whole.

We also know that there are gaps in our data relating to sexual orientation. We know that there are higher than average numbers of women and non-EU nationals represented in the Bristol rough sleeping population, but we do not currently know enough about the reasons why.

In general, we acknowledge that there are gaps in our knowledge about the future demands on homelessness services as it affects a range of equalities groups and will be looking to improve the range of equalities data we gather, both as a local authority and through the homelessness services we commission.

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 [Homelessness & Rough Sleeping Strategy 2019-24](#), which was informed by a full public consultation with external stakeholders and service users etc., underwrites the provision of statutory homelessness prevention services in the city. Services that include the supply of temporary accommodation. This strategy applies multi-agency governance that includes stakeholders and those with lived experience of homelessness.

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.

- A market engagement event with existing suppliers
- Online Q&A session with all suppliers ahead of tender submissions.
- Compliance inspection of all units supplied to the framework .
- Regular weekly updates with accredited suppliers and checks on accommodation to ensure standards.

- Monthly engagement meetings with all suppliers awarded this contract
- Regular Feedback reports from placements on TA

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)	
The provision of shared singles temporary accommodation in this block presents a greater risk of adverse impacts based on the protected characteristics than those placements in self-contained households.	
PROTECTED CHARACTERISTICS	
Age: Young People	Does your analysis indicate a disproportionate impact? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	The experience of the shared accommodation environment might negatively impact on some placements. Some young people may feel isolated or cut off from networks and/or insecure or unsafe or be more likely to be victims of abuse or crime. Younger people may be vulnerable to becoming engaged with criminal or antisocial activity (either voluntarily or by coercion/intimidation) if this occurs.
Mitigations:	We include suitability for shared accommodation in triage and risk assessment. Where possible young people will be accommodated in specialist YP accommodation. We will liaise with providers to allocate YP only shared accommodation as appropriate.
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 checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	The range of accommodation may not be sufficiently accessible for e.g. wheelchair users or have limited access for people with mobility issues.
Mitigations:	We will aim to ensure that a suitable proportion of properties in the block purchase meet accessibility requirement e.g. level access. We will ensure property details are accurate and work with suppliers on detail to ensure placements are suitable. People with other disability such as sight loss are likely to be accommodated via other mechanisms.
Sex	Does your analysis indicate a disproportionate impact? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	Mixed gender households may not be suitable for some placements, and we need to ensure we are providing safe and appropriate accommodation for women.
Mitigations:	We plan to offer an apportioned number of single gender shared households
Sexual orientation	Does your analysis indicate a disproportionate impact? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	Lack of diversity in the locality, or within shared properties may mean increased likelihood of discrimination and hate incidents.
Mitigations:	We have a collaborative relationship with providers to select and place people in appropriate accommodation across the city. Providers are required to have robust policies to tackle discrimination, harassment, victimisations and hate incidents.
Pregnancy / Maternity	Does your analysis indicate a disproportionate impact? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>

Potential impacts:	Placement away from support networks
Mitigations:	
Gender reassignment	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	Lack of diversity in the locality, or within shared properties may mean increased likelihood of discrimination and hate incidents.
Mitigations:	We have a collaborative relationship with providers to select and place people in appropriate accommodation across the city. Providers are required to have robust policies to tackle discrimination, harassment, victimisations and hate incidents.
Race	Does your analysis indicate a disproportionate impact? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	Lack of diversity in the locality, or within shared properties may mean increased likelihood of discrimination and hate incidents, or do not have their cultural needs met
Mitigations:	We have a collaborative relationship with providers to select and place people in appropriate accommodation across the city. Providers are required to have robust policies to tackle discrimination, harassment, victimisations and hate incidents.
Religion or Belief	Does your analysis indicate a disproportionate impact? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	Lack of diversity in the locality, or within shared properties may mean increased likelihood of discrimination and hate incidents, or do not have their cultural needs met
Mitigations:	We have a collaborative relationship with providers to select and place people in appropriate accommodation across the city – e.g. nearer to places of workshop. Providers are required to have robust policies to tackle discrimination, harassment, victimisations and hate incidents.
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 checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	Isolation, if placement is not near to work, schools, support networks and transport
Mitigations:	Careful consideration at placement
Carers	Does your analysis indicate a disproportionate impact? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	Placement away from carer
Mitigations:	Careful consideration of location and access to carer network for placement
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:	Location of asylum seekers and refugee placements away from support networks
Mitigations:	Careful consideration and discussion with relevant support providers about support networks ahead of placement.

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 potentially increases supply and choice of temporary accommodation which will indirectly benefit people based on their protected characteristics and certainly mitigates the additional risk of street homelessness for these groups

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:
--

Poor placement creating local community imbalance

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

Supply of good quality temporary accommodation to support the homelessness prevention service in the city

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
Through a close and collaborative relationship - ensure all suppliers offering accommodation to these blocks provide quality accommodation in the right place to meet the needs of the service and the placements made	Graham Jones	Ongoing


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.

High rates of occupancy, low rates of void empties and successful move on to more sustainable accommodation for those placed.

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: Donald Graham - Director Housing and Landlord Services 
Date: 3/11/2021	Date: 02/12/2021

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: Block contracts for Temporary Accommodation				
Report author: Paul Sylvester				
Anticipated date of key decision 7th December 2021				
Summary of proposals:				
Procurement exercise to increase supply and decrease cost of emergency temporary accommodation.				
We have carried out an assessment of current and future demand for shared singles based on financial modelling and lessons learned from the 2020 shared singles block procurement and we propose adding a further 150 units of shared singles accommodation at a capped price of £26.00pppn for 1 year with an option to extend by one year.				
We will be inviting suppliers to bid for two Lots of temporary accommodation covering the following specifications:				
<ul style="list-style-type: none"> • Lot 1 - 150 units of shared singles accommodation (in blocks of 8) at a capped price of £26.00 pppn for one year with an option to extend for a further year at a value of £1.42m • Lot 2 – 100 units of assorted bed size self-contained fixed price accommodation (in blocks of 5) at a total value of £1.9m for one year with an option to extend for a further 12 months 				
Will the proposal impact on...	Yes/No	+ive or -ive	If Yes...	
			Briefly describe impact	Briefly describe Mitigation measures
Emission of Climate Changing Gases?	Yes	-ive	Emissions of greenhouse gasses associated with standard residential occupancy needs.	Moving to greater proportion of residents with responsibility for utilities usage will incentivise careful consumption. Additionally, through the procurement contract service providers will be asked to give preference to renewable energy suppliers and install smart meters in properties wherever possible.
Bristol's resilience to the effects of climate change?	Yes	-ive	HMO's in particular are susceptible to overheating pressures which will increase as our	Opportunity exists through the procurement contract, ongoing relationship management with service providers

			climate warms.	and inspections to properties, to encourage uptake of insulation (particularly around hot water / heating services and roof spaces), appropriate levels of cross-ventilation throughout properties, and installation of shading for windows where needed.
Consumption of non-renewable resources?				
Production, recycling or disposal of waste	Yes	-ive	Creation of household waste and recycling associated with residential occupancy which may be exacerbated by transitory nature of tenancies.	Opportunity exists through the procurement contract, ongoing relationship management with service providers and inspections to properties, to encourage good provision of appropriate space for separate bins and clear information and guidance for residents so that they are well informed about waste protocols.
The appearance of the city?				
Pollution to land, water, or air?	Yes	-ive	There is danger that noise disturbances may be caused in residential areas not used to this.	Careful relationship management with both service providers and residents to ensure that persistent problems are dealt with appropriately which may require the installation of additional soundproofing where necessary.
Wildlife and habitats?	Yes	+ive	By actively encouraging service providers to maintain existing tree cover and green spaces this should contribute to keeping existing spaces for nature	

			and sustainable urban drainage.	
Consulted with: Daniel Shelton (Environmental Performance Team)				
Summary of impacts and Mitigation - <u>to go into the main Cabinet/ Council Report</u>				
<p>The significant impacts of this proposal are...</p> <p>Standard environmental impacts associated with residential dwellings with additional impacts around waste, recycling and energy usage due to transitory tenancies.</p> <p>The proposals include the following measures to mitigate the impacts...</p> <p>Inclusion within the procurement details and ongoing relationship management to encourage service providers to:</p> <ul style="list-style-type: none"> • maintain existing green spaces • install smart meters and seek renewable energy tariffs • ensure that properties have appropriate waste and recycling provision with a proactive approach to information and guidance • ensure properties are appropriately insulated, ventilated and to install mitigation measures where excessive heat is found to be an issue <p>The net effects of the proposals are positive in that they should contribute to better performing housing stock in terms of energy consumption as well as household recycling.</p>				
Checklist completed by:				
Name: Louise Mines				
Dept.: Housing Options				
Extension: Housing and Landlord Services				
Date: 1/11/2021				
Verified by Environmental Performance Team		Daniel Shelton 01/11/2021		

Appendix G – Financial Advice

Table 1

COST SAVINGS FROM EXISTING BLOCK CONTRACT				
	Block Contract Paid	Spot Cost (if there was no Block Contract)	(Savings)/pressure	(Savings)/pressure
Sep20 to Sep 21	£748,809	£958,510	-£209,701	-22%

1. The table 1 analysis of block contract is based on two providers for the period of Sep 20 to Sep 21.
2. Spot cost is based on average rent of £38.27 per day for spot purchase for 1 bed.
3. The Existing Block Contract was for 1 bed (single unit)

Table 2

VOID LEVEL BASED ON EXISTING BLOCK CONTRACT				
	Cost based on actual number of placements used	Block Contract Paid	Void level	Void Level
Sep20 to Sep 21	£614,448	£748,809	£134,362	22%

1. The cost based on actual number of placements used is based on agreed amount paid to provider for the period Sep 20 to Sep 21.

Table 3

The table below compares cost and savings between **NEW Block Contract** and **Spot Purchase**

	Fixed Price	Spot Price	No of Properties	Nightly Spot spend Per Year	Block spend Per Year	(Gross Saving Per year)	Net savings (Per year) after Void level @ 22%
1 bed (shared house)	£26	£38	150	£2,080,500	£1,423,500	-£657,000	-£512,460
1 bed (s/c couple only)	£45	£54	8	£157,680	£131,400	-£26,280	-£20,498
2-bed	£46	£62	40	£905,200	£671,600	-£233,600	-£182,208
3-bed	£55	£73	35	£932,575	£702,625	-£229,950	-£179,361
4-bed	£62	£85	15	£465,375	£339,450	-£125,925	-£98,222
5-bed	£70	£125	2	£91,250	£51,100	-£40,150	-£31,317
Total Spend				£4,632,580	£3,319,675	£1,312,905	£1,024,066

1. The nightly Spot assumes that properties will be occupied for full year.
2. Net savings assumes that properties will not be occupied for full year and adjusts savings to take consideration of void period.

Decision Pathway – Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 14 December 2021

TITLE	Housing IT Transformation and procurement		
Ward(s)	All		
Author: Myriam Selfe / Sarah Spicer	Job title: Project Manager / Business Innovation Manager		
Cabinet lead: Cllr Renhard, Cabinet Member 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: Seek Cabinet approval to:			
<ol style="list-style-type: none"> 1. Implement and deliver a housing IT transformation programme, that includes procurement of multiple systems reaching end of life or end of contact 2. Re-procure three critical IT applications: a housing management system, housing needs system and an asset management system. All three applications are currently delivered under a single contract with Civica (CxHousing, Abrisas and Keystone applications) which expires in May 2022 3. Delegate authority to the Executive Director to award the contract(s) necessary for the continued provision of Cx Housing, Abrisas and Keystone beyond May 2022, for a period of two years. 			
Evidence Base:			
Housing IT transformation programme			
<p>Housing IT provides the tools required to deliver a range of housing services to the citizens of Bristol. Multiple systems are reaching end of contract or end of life. This brings an opportunity to explore and implement the best IT solutions available.</p> <p>To manage these opportunities, it is proposed that a housing IT transformation programme is developed and implemented. The purpose of the programme is to enable change and put in place tools that will allow Housing and Landlord Services to enhance service delivery, achieve efficiencies and improve working practices. This will support delivery of Moving Forward Together, our service transformation plan.</p> <p>The programme will explore options to replace end of contract applications and to deliver un-met business needs and requirements including:</p> <ul style="list-style-type: none"> - Housing management system: current contract ends on 2022 (activity to reprocure for 2 years and to undertake a competitive procurement process for the end of the reprocured contract) - Housing needs system: current contract ends on 2022 (activity to reprocure for 2 years and to undertake a competitive procurement process for the end of the reprocured contract) - Asset management system: current contract ends on 2022 (activity to reprocure for 2 years and to undertake a competitive procurement process for the end of the reprocured contract) - Field service management system (scheduling): contract ends in July 2023 and the system will be reaching its end of life 			

- Private housing case management: the system is reaching the end of contract and end of life
- Job costing solution: there is no solution in place, functionality is required to calculate repair job costings and support analysis of value for money and savings opportunities
- Building compliance and information: functionality required to meet the new legislative requirements for regulating the safety of high-rise blocks
- Digital Services: explore opportunities for improvement, including more opportunities for users to choose self-service
- Data and analytics: review options to improve data and analytics and align to the corporate solution

It is estimated that the next phase of work, developing an Outline Business Case, will cost up to £775k. The budget requirements are for resources that will:

- undertake detailed planning and mobilisation (Jan 2022)
- develop requirements (Jan/Feb 2022)
- identify solutions and undertake soft market testing (Feb/March 2022)
- soft market testing and option appraisal (March/April 2022)
- determine recommended procurement approach (April 2022)
- procurement phase planning (May 2022)
- deliver Outline Business Case (May 2022)

There are multiple systems reaching end of contract or end of life, plus gaps in functionality that need solutions. Due to the number of different requirements, there will be multiple projects and project teams within the programme. As a result we will secure additional, time-limited resources to resource this work. The costs identified are to resources these teams.

The programme will be overseen by a programme board, with representatives from multiple areas of the organisation including: Housing and Landlord Services, ICT, Finance, Audit, Legal Services and Procurement Services.

Extending the use of the Civica systems

Our housing services above are underpinned by a suite of business-critical systems. This includes three systems procured over the last 15 years and now owned by Civica. These are:

Cx Housing – Housing management system added to Bristol’s estate in 2015 through a competitive process for the replacement of its housing management system. A 5+2-year contract with Civica was secured through a LASA framework. Workarounds which have made the system fiddly and not easy to use, perhaps due to the configuration.

Keystone Asset Management – The application was initially procured to meet the requirements of the Housing Health and Safety Rating System (Housing Act 2004) in 2005 and help the council assess condition of its housing stock. It holds asset data, safety records and replacement dates for investment planning.

Abritas – Procured and implemented as Choice Based Lettings module in 2008 for Bristol City Council and over 14 housing associations, used to advertise and select tenants for vacant properties.

It is many years since we explored the market to identify the best possible software solutions for delivering housing services. This is a key factor in the decision to extend the use of Civica in the short term, whilst implementing an IT transformation programme that will manage a competitive procurement process. We need to ensure that our suite of systems enable both our aspirations for delivering high quality services, and compliance with financial and business practices. We aim to do this in the most cost-effective way whilst also ensuring flexibility to extend the arrangements if needed or to give notice on the contract.

Re-procuring these systems ensures that H&LS continue to have access to its three critical line of business applications when the contract ends in May 2022, providing Housing with stable systems whilst it is completing the procurement exercises. Information regarding budget provision for costs of the extension is commercially sensitive and contained in exempt Appendix I.

Context

Housing & Landlord Services manage 28,562 rented/leased homes, accounting for approximately 31,000 tenants and 2,000 leaseholders. We estimate to have 64,000 people living in our homes, which is approximately 14% of Bristol’s

population.

Our service raises rent charges totalling c. £112.5m per year, which funds core HRA services:
 Management of 28.5k tenancies inc. processing of tenancy changes, investigation of ASB incidents, tenancy enforcement and management of empty council homes
 Provision of a caretaking service to over 8,500 tenants and leaseholders
 Provision of critical responsive repairs and planned maintenance service, completing approximately c.80,000 repairs per year and over 27,000 services appointments to ensure the safety of our gas and electrical appliances
 Maintenance, servicing and improvement of services and facilities to more than 450 blocks of flats
 Improvement and replacement programme to homes and blocks
 Administration and management of the Bristol Housing Register and choice-based lettings system.
 Building new homes

Our housing IT systems are tools and enablers, the programme aims to bring benefits for residents that include:

- Improved options for self-serving, providing easy channels through which to seek information and make service requests
- Systems that allow processes to be simplified and where possible automated, bringing improved efficiencies
- Improves data and insights, that can be used to improve services and value for money

That Cabinet:

1. Authorise the Executive Director for Growth & Regeneration, in consultation with Cabinet Member – Housing Delivery and Homes and the Section 151 officer to take all steps required to award the contract(s) necessary for the continued provision of Cx Housing, Abrisas and Keystone for two years from May 2022, in-line with the procurement routes and maximum budget envelope outlined in this report and exempt appendix I
2. Approve the commencement of a Housing IT transformation programme including the procurement of replacement major housing business systems reaching end of life or end of contract.
3. Authorise the Executive Director Growth and Regeneration to take all steps required to develop the outline business case including procuring and awarding contracts at a cost of up to £775k, with most costs met through existing budget provision in the HRA budget and Medium-Term Financial Plan, approved at Full Council in Feb 2021.

Corporate Strategy alignment:
 Equip our colleagues to be as productive and efficient as possible.

City Benefits:
 Secure the provision of critical housing systems to enable the business to discharge its legal functions citizens of Bristol
 Supports the corporate strategy priorities:

- an effective organisation, making data driven decisions
- enables services that tackle homelessness and reduce carbon emissions through retrofitting of council homes

Consultation Details:
 Public consultation is not applicable.

Background Documents:
 None – no public documents to date to refer to.

Revenue Cost		Source of Revenue Funding	
Capital Cost	£775k	Source of Capital Funding	Up to £665k Housing Revenue Account Up to £110k general fund
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:		
<p>The current annual cost of the 3 systems provided by Civica is £456k, for 2021/22. This excludes costs for licences and the hosting environment. There is further information regarding potential contract costs for the new contract within the Exemption Appendix</p> <p>The cost of developing the outline business case is estimated at up to £775k, of which it is estimated that up to £665k will be costs to the Housing Revenue Account. There is a capital budget provision of £2.5m for the IT transformation within the HRA 5 year capital programme, as agreed at Full Council in February 2021.</p> <p>Two of the IT systems under review are for the provision of services which are funded via the General Fund. Therefore, there needs to be a contribution from the general fund for the next stage of activity, building the outline business case. This contribution is estimated at £110k.</p> <p>Full detail of the breakdown of the financial costs per stage per system is provided in the Exemption Appendix</p>		
Finance Business Partner: Aisha Bapu, 01 st Dec 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 regards to the conduct of the procurement process and the resulting contractual arrangements.		
Legal Team Leader: Husinara Jones, Team Leader/Solicitor 6 December 2021		
3. Implications on IT: "IT/Digital Services are fully supportive of the need to extend current contracts whilst a thorough review of wider working practices and supporting systems/technology is undertaken to meet the stated Housing and Landlord strategy. It is highlighted that an investment in Data and Insights would significantly widen the opportunities available and this should be considered a key enabler of the IT element of the transformation work and should be a consideration for investment alongside the stated platforms. We will continue to work with Housing and Landlord colleagues to ensure plans are technically robust, make the most of the digital technology investments made so far and provide best value"		
IT Team Leader: Simon Oliver, 13/10/2021		
4. HR Advice: Additional staffing resource will be required to develop the Outline Business Case. The recruitment to the roles should follow BCC HR policies and procedures		
HR Partner: Celia Williams, 01 st Dec 2021		
EDM Sign-off	Stephen Peacock	04 th Nov 2022
Cabinet Member sign-off	Councillor Tom Renhard	15 th Nov 2022
For Key Decisions - Mayor's Office sign-off	Mayor's office	15 th Nov 2022

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

Appendix G – Financial Advice	NO
Appendix H – Legal Advice	NO
Appendix I – Exempt Information	Yes
Appendix J – HR advice	NO
Appendix K – ICT	NO
Appendix L – Procurement	NO

Equality Impact Assessment [version 2.9]



Title: Procurement exercise for applications in the Civica contract (housing management system, housing needs and HCB, asset management system)	
<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 checked="" type="checkbox"/> Changing
Directorate: Growth & Regeneration	Lead Officer name: Myriam Selfe
Service Area: Housing & Landlord Service	Lead Officer role: Project manager (IT)

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.

This proposal is about starting a procurement exercise for the provision of the applications in a housing management system for Housing & Landlord Services, CxHousing, as well as the housing needs solution (Abritas) and asset management solution (Keystone) all owned by the same supplier, Civica.

CxHousing has been live since October 2018 and the initial 5-year contract was extended in May 2020 for an additional 2 years. There was an opportunity to bring Abritas and Keystone into the same contract as they had been purchased by Civica during the initial 5-year CxHousing contract.

The contract is coming to an end in May 2022 with no option to extend further. Given the size and value of the contract, the decision to review business requirements and start a procurement process is being proposed. Regardless of the outcome of the procurement exercise, the project will necessitate for the contract to be 'extended' to ensure business continuity whilst this critical procurement and development work takes place.

The housing management system (CxHousing) is used for managing over 30,000 residential and non-residential tenancies, raising and collecting rents, management of repairs and empty properties, and enforcement action. Built around the customer, the solution is also used as a customer relationship management (CRM) system and communications engine for over 60,000 tenants.

The full scope of the procurement exercise is not yet decided but may include the procurement of new solutions(s).

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 checked="" type="checkbox"/> City 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 proposal deals with the procurement of critical Housing's back-office system(s). This necessitates the 'extension' of the arrangements with Civica to continue access to CxHousing, Abrisas and Keystone. The proposal, i.e. to 'extend' the contract with the existing supplier with no loss of functionality means that there are no negative impact, however, any adverse impact caused by loss of functionality or system(s) would be universally experienced (BCC applicants, tenants, RSLs, BCC workforce, contractors...).

As core line of business system(s) which contain personal information, access to data is restricted to authorised users and in accordance with the provisions of the Data Protection Act 2018. User access is reviewed regularly.

Being web-based, the application(s) need to comply to the Accessibility Regulations 2018 and will be assessed to ensure that they are compliant.

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	Summary of what this tells us	
Source: <i>Census 2011 and Equality Profile report 01</i> –	Bristol population %	BCC Tenant population %

Tenants and Leaseholders as at 01/04/2021

BAME	16 (2011)	19
Female	50 (Mid-2019)	61
Male	50 (Mid-2019)	38
Disability	8 (2011)	28
LGB	9 (2018/19 QoL)	1
Trans	N/A	N/A
16 – 24	16 (2019)	2
25 – 34	39	13
35 - 49		18
50 - 64	14 (2019)	31
65+	13 (2019)	13 (65-74 y/o)

It is likely that Bristol population data (census) figures have changed over the last decade. It would be useful to review these results and trends once the 2021 Census results are published.

Disability:

- More than three times as many BCC tenants who experience a disability than in comparison to the Bristol population
- Most reported types of disabilities (11%-12%) include: long term illness, mental distress and mobility impairment

Age:

- Under-representation of young people (16-24) as BCC tenants and aging resident base (50-64 yo represent 31% of BCC tenants population in comparison to 14% of Bristol population).

Source: 2011 Census & BCC Workforce Diversity Head count for Housing & Landlord Services (30/06/2021)

	Bristol population %	Housing and Landlord Services (H&LS) employees %
BAME	16 (2011)	11
Female	50 (Mid-2019)	37
Male	50 (Mid-2019)	63
Disability	8 (2011)	9
LGB	9 (2018/19 QoL)	4.4
Trans	N/A	N/A
16 – 24	16 (2019)	5
25 – 34	39	19
35 - 49		36
50 - 64	14 (2019)	37

	65+	13 (2019)	3 (65-74 y/o)
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 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.

Although data is collected around Marriage and Civil Partnership and may be used to manage individual cases (such as a tenancy succession...), it is not actively monitored in standard management reports. Our existing housing management system does not hold data on Pregnancy/Maternity and gender re-assignment. However, we would like to obtain this information going forward.

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 project ran an independent IT review last winter (2020) which included 25 workshops (attended by c. 200 colleagues, mainly in housing but also citizen services) and an internal online survey which generated around 200 responses. Whilst users shared usual gripes, the review found that given the current IT landscape, there would be no benefit in changing solution. This was the outcome of a soft market test exercise carried out in June 2021 for housing management systems.

There is no further community involvement planned as the proposed changes are internal only and citizens and BCC workforce will have limited if any visibility of the changes.

CxHousing has been in use for three years now within Housing & Landlord Service (c. active 1,200 users) and other areas such as Citizens Services, with no reported issues with the Assistive Technology products used by staff with a disability so far. We do not perceive there to be any further impact on staff or service users.

If an 'extension' includes system(s)'s updates (e.g., potential new modules purchased, system upgrade etc.), these will be subject to the accessibility regulations checks before going live and we do not anticipate issues with assistive technologies.

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.

The project team will continue to engage with Digital Services to ensure that the solutions / modules implemented are accessibility compliant. The compatibility with systems such as Dragon is important, there will be users testing if some of the systems functionality changes with the tenant and BCC workforce. The scope of the project is still to be determined.

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)	
As stated above, the proposal deals with the procurement of the housing management back-office system. The proposed solution, i.e. to retain the existing supplier with no loss of functionality means that there are no negative impact, however, any adverse impact caused by loss of functionality or system would be universally experienced (BCC applicants, tenants, RSLs, BCC workforce, contractors...).	
The application(s) will be assessed to ensure that it meets accessibility regulations as part of the process.	
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:	
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

It is possible that as part of the procurement process, there is an opportunity to implement new functionality or streamline processes which would improve the speed of processing or quality of information / documentation available to improve the delivery of services.

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:

None identified

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

The EqiA has provided the opportunity to review opportunities to provide improved outcomes.

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
Improve data monitoring for equality groups, focusing on marital status and gender reassignment.	Myriam Selfe	6 months
Ensure that the useability of the software is checked by disabled employees and staff	Myriam Selfe	3 months
Ensure that we use this time as opportunity to engage residents in better more effective use of the system and software	Myriam Selfe	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.

Continuing with the current supplier – maintaining at minimum a status quo and where possible, improve the solution / service provision so that any potential for new risks being introduced is minimised and managed.

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:
Date: 07 October	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.

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: Key decision

MEETING: Cabinet

DATE: 14 December 2021

TITLE	Family Hub Transformation Fund Bid		
Ward(s)	All Wards		
Author: Harry Angus	Job title: Programme Manager		
Cabinet lead: Cllr Asher Craig Deputy Mayor – Children’s Services, Education and Equalities	Executive Director lead: Hugh Evans – Executive Director, People		
Proposal origin: Other			
Decision maker: Cabinet Member			
Decision forum: Cabinet			
Purpose of Report:			
<ol style="list-style-type: none"> 1. The Department for Education has announced a £10m ‘Family Hub Transformation Fund’ and will be awarding up to £1m to at least 12 Local Authorities. Local Authorities are expected to bid for between £650k - £1m to be spent between April 2022 and April 2024. A maximum of £137k can be spent on capital expenditure. This is a time-distinct project to establish Family Hubs, with no ongoing costs anticipated. 2. The money is not for direct service provision, more to enable the transition from the current model into a ‘Family Hub’ model of working, with a commitment to opening ‘Family Hubs’ by April 2024. Bristol has been working with partners in this space for the last 12 months to prepare for this transition 3. Family Hubs are a non-stigmatising entry point into a wide range of integrated services, where families with children from conception to nineteen (twenty-five with SEND) can access the services they need. There is a focus on early intervention from a young age to prevent the escalation of issues. 4. The bid is currently being written, however, the funding will broadly be split between the following: staffing to support the project, development of a web/virtual offer, branding, development of a workforce training and development package, a consultation exercise with families and the development of a Family Hubs outcomes/governance framework aligned to the Belonging Strategy. 			
Evidence Base:			
<ol style="list-style-type: none"> 1. The service landscape for families can be confusing, with a range of disparate services working with families but often being unaware what other work is taking place. This results in families having to repeat their story and getting frustrated with the system, leading to disengagement. 2. Family Hubs are already firmly on the local agenda, being written into the new corporate strategy and the belonging strategy. This is very much the direction of travel for children and family early intervention services and we are well positioned to take advantage of the funding being made available by DfE. 3. Family Hubs will help Bristol to achieve its objectives as set out in the Belonging Strategy and equip it to better deliver its ‘Start for Life’ offer. Family hubs are a key part of the Best Start for Life vision. The Best Start for Life: A Vision for the 1,001 Critical Days, chaired by Andrea Leadsom, was published by the Department for Health and Social Care in March 2021. Family Hubs are at the heart of this vision for baby-centred services, designed to give every baby the best start for life. Although family hubs are designed to support families from conception all the way up to young people of 19 (or older if they have special educational needs or are disabled), the Best Start for Life Review described a Vision for the 1,001 critical days, and a Start for Life offer, to be a core part of the family hub network 			

4. Family Hubs are distinct from Children’s Centres, in that Children’s Centres are focussed around the prebirth-5 offer where Family Hubs deliver services from prebirth-18 (25 with SEND). Some LA’s are taking the approach that their Children’s Centres are rebranding as Family Hubs. We are proposing in the bid that Bristol takes a ‘kitemark’ approach, so that any building/service can operate as a family hub
5. Evidence shows that disadvantaged and vulnerable children are more likely to suffer from poor outcomes compared to their peers across the four key domains of development (physical, intellectual, social and emotional, and behavioural) from conception to 19. Children in school who are either a Child in Need, have a Special Education Need or Disability, or receive Free School Meals are likely to do much worse than their peers. These domains are key drivers of later life chances, including long-term employment and health. It is believe that Family Hubs will help to improve outcomes for young people facing adversity and help the LA to deliver on its commitments to tackling ACE’s in the city.
6. We already know that a child’s experiences from conception to five play a critical role in their development, and that the early years represent a key opportunity for families, policymakers and the economy. However, we know that measurable gaps in outcomes between disadvantaged and vulnerable children and their better off peers can emerge early, before children are two years of age, and are difficult and costly to close once open.
7. There is evidence to show that a child’s home environment, family stability and parent-child relationships are central to children and young people’s development and their success in life. Local and national services have a vital role to play in supporting families with this and reducing disparities. However, disadvantaged and vulnerable families often experience significant difficulty as they interact with a complex service landscape and have to constantly ‘re-tell their story’ to different services. Often professionals working in these services face practical barriers to working together as a team around the family, such as information sharing.
8. For families, there is no consistent public-facing point for access, assessment, and navigation of family services that directs them to the services across the myriad of needs they might have – such as maternity services, support for SEND, mental health, housing, parental support, and debt advice.
9. A single gateway for family support services, such as family hubs, could improve join-up between organisations, offer a whole family approach with relationships at the heart of family help, manage statutory pressures more effectively, reduce waiting times for early help interventions and ensure that families are offered support at the first time of asking.
10. A transition to Family Hubs will support the delivery of the vision set out in the Belonging Strategy.

Cabinet Member / Officer Recommendations:

That Cabinet:

1. Approve submission of a bid of up to £1m from the Family Hub Transformation Fund to allow for a transition into a Family Hub model.
2. Authorise, if the bid is successful, the Executive Director, People in consultation with the Cabinet Member for Children’s Services, Education and Equalities to take all steps necessary spend the funding up to the budget envelope which may be above the key decision threshold (including procuring and awarding contracts) to implement the work as outlined in this report Including any decisions above the key decision threshold.

Corporate Strategy alignment:

1. Corporate strategy directly references Family Hubs: Through the development of Family Hubs, we will ensure that services are joined up, easily accessible and make sense for families, with universal services providing a straightforward and non-stigmatising ‘gateway’ into targeted support for those who need it. Embedding trauma-informed approaches across council services and partner services will provide an emphasis on the relationships and connections children have with their families, teachers, professionals, community and city. Children and families will benefit from inclusive and cohesive support networks that develop around them. We are also committed to developing a Youth Zone in the south of the city which will offer world class, everyday provision to support young people through an expansive offer of leisure and support. Our vision for this is that it will be fully inclusive and will work alongside the web of local support that already exists across our communities

2. Helping families isn't just about the children's services that the council delivers, but also how we design our neighbourhoods and build communities to be safe for children, have access to play and green spaces, or areas for young people to enjoy safely.
3. Allow for us to embed Trauma Informed approaches across the system - We are embedding trauma-informed approaches to help recognise children that may be at greater risk of violence and harm and understand adverse childhood experiences (ACES) that have potential to negatively affect their health and life outcomes. These approaches will build on strengths to help repair and restore relationships for children and families that have experienced trauma
4. We believe that children, young people, parents and carers should all have access to and benefit from investment in lifelong services to support them in this. Children should have their needs recognised at the earliest point in a system that collaborates to help them thrive.

City Benefits:

1. Lead to better connected services, better quality of services for Families and efficiency savings for staff so they can focus on helping the families they serve
2. Create amazing, non-stigmatising spaces in the community so Bristolians can access the services they need, no matter where they live or where they come from
3. Facilitate better connectivity with partners in the VCS sector and health settings, supporting the work of the Integrated Care System/Partnership
4. Foundation to provide better outcomes for Children and Families
5. Clearer service landscape
6. At the forefront of national development of Family Hubs
7. Better equipped services to address issues involving teams coming around families

Consultation Details:

1. If the bid is successful external consultation exercises will be launched with families to help shape the emerging model

Background Documents:

[Family hubs transformation fund - GOV.UK \(www.gov.uk\)](https://www.gov.uk)

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

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

1. Finance Advice: At this stage that new operation (running as Families Hubs) will not require additional budget. The project is advised to review its resources requirements once the service is operationalised under new model to ensure its long term financial viability.

Finance Business Partner Angel Lai – Finance Manager 29th November 2021

2. Legal Advice: The submission of a bid for grant funding raises no particular legal issues. If successful, the procurement process must be conducted in line with the 2015 Procurement Regulations and the Councils own procurement rules. Legal services will advise and assist officers with regard to the conduct of the procurement process and the resulting contractual arrangements.

Legal Team Leader: Husinara Jones, Team Leader/Solicitor 11th November 2021

3. Implications on IT: Network and IT infrastructure at each of the Hubs will need scoping and installing, it is

important IT are involved as early as possible		
IT Team Leader: Iain Godding, Head of Enterprise Architecture 29 th November 2021		
HR Advice: The report is seeking approval to bid for funding from the Family Hub Transformation Fund to allow for a transition into a Family Hub model. There are no significant HR implications for Bristol City Council employees arising from this report.		
HR Partner: Lorna Laing, HR Strategic People Partner 11 th November 2021		
EDM Sign-off	People EDM	17 th November 2021
Cabinet Member sign-off	Cllr Asher Craig	22 nd November 2021
For Key Decisions - Mayor's Office sign-off	Mayor's Office	15 th November 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	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

Decision Pathway – Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 14 December 2021

TITLE	Intensive Positive Behaviour Support		
Ward(s)	All		
Author:	Sonia Davies/Amanda Chappell		Job title: Strategic Commissioning Manager/Commissioning Manager
Cabinet lead:	Clr Helen Holland		Executive Director lead: Hugh Evans
Proposal origin: BCC Staff			
Decision maker: Cabinet Member			
Decision forum: Cabinet			
Purpose of Report:			
<ol style="list-style-type: none"> 1. To approve the spend of a total of £1,004,778 which has been awarded to Bristol City Council from the BNSSG Clinical Commissioning Group. Bristol City Council is the lead partner in a joint project on behalf of Bristol City, North Somerset and South Gloucestershire Councils, in partnership with the CCG. This is specifically to establish and evaluate a 2-year pilot project offering Intensive Positive Behaviour Support (IPBS) to adults with Learning Disabilities / Autism, following a successful pilot for children. 			
Evidence Base:			
<ol style="list-style-type: none"> 1. IPBS is a person centred, evidence-based framework for supporting people with learning disabilities (PWL) and autism with behaviour that is viewed by services to challenge. The overall aim of Positive Behaviour Support (PBS) is to improve the quality of a person’s life and that of the people around them. PBS provides the right support for a person, their family and friends to help people lead a meaningful life and learn new skills without unnecessary restrictions. It is not simply about getting rid of what is seen to be problematic behaviour. 2. The aim of the pilot is to support individuals and their families to prevent the breakdown of placements for vulnerable adults, which in turn reduces their reliance on formal, costly, interventions across the health and social care system. 3. This pilot project has been designed and developed in partnership between Bristol City Council, South Gloucestershire Council, North Somerset Council, Avon & Wiltshire Partnership Trust, and BNSSG Clinical Commissioning Group, with Bristol City Council identified as the lead coordinating partner. 4. Funding for the pilot has been approved by the Healthier Together Executive, via a Section 256 bid. A copy of the funding bid is attached at Appendix A. 5. The original aim was to extend and vary the current children’s PBS contract (delivered by AWP) for the purpose of this pilot and to ensure a joined-up approach between children’s and adult social care. Work is underway (cross BNSSG), using an options appraisal methodology to approve this or as an alternative offer, to go out to tender. The request to Cabinet is to delegate responsibility to the Director of Adult Social Care and The Healthier Together LD and Autism Board, who have oversight and governance of this programme. 			
Cabinet Member Recommendations:			
That Cabinet:			
<ol style="list-style-type: none"> 1. Approves the receipt and spend of £1,004,778 to deliver the Intensive Positive Behaviour Support pilot for adults, on behalf of Bristol City Council, North Somerset Council and South Gloucestershire Council. 2. Authorises the Executive Director – People in consultation with Cabinet Member Adult Social Care to procure and award any contracts necessary for the implementation of the pilot project, within the approved level of funding, including any decisions above the key decision threshold. 			
Corporate Strategy alignment:			
<ol style="list-style-type: none"> 1. Empowering and Caring – working with some of our most vulnerable citizens to increase their independence and ensuring the support they receive is appropriate and empowering. 2. Fair and Inclusive - ensuring that vulnerable people are given the best opportunity to live independently in 			

their own homes, to access the opportunities that will make their lives meaningful as citizens.

3. **Wellbeing** – supporting adults with disabilities to live as an integral part of their community and have the same opportunities as others.

City Benefits:

1. Significant benefits for people with complex / challenging behaviour as a result of disabilities.
2. Supporting citizens who have traditionally been sent to out of area to live in adult social care commissioned settings, to live locally amongst their local communities
3. Skills development and capacity building for local adult social care providers
4. Opportunity to better understand how iPBS can improve outcomes for citizens who access adult social care support from black and minoritised communities

Consultation Details:

1. No formal consultation has taken place, however the pilot has been developed jointly by partner agencies, and this will continue as the project delivery plan is developed.

Background Documents:

- [Corporate Strategy 2018-23](#)

Revenue Cost	£1,004,778	Source of Revenue Funding	S256 funding from BNSSG CCG with contributions from Bristol, North Somerset and South Gloucestershire Councils.
Capital Cost	£0	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: As reported to Cabinet (April 13th and November 4th 2021) the Council entered into an agreement with Bristol, North Somerset and South Gloucestershire (BNSSG) CCG for transfer of £10.199m funding to the Council to support the implementation of the BNSSG Healthier Together Single System Plan. This funding was to be used to fund a programme of investment and services designed to improve integration, reduce demand the growth for secondary health care and social care, and improve independence for individuals.

This funding was to be overseen by the Healthier Together Executive and detailed proposals were submitted for an initial £5m approval. The Positive Behavioural Support project was approved as part of this £5m investment, at an estimated cost of c£1.005m.

This project spans the BNSSG CCG area and contributions are being made by each local authority from their S256 funding envelope as follows:

Bristol City Council	£0.513m
North Somerset Council	£0.241m
South Gloucestershire Council	£0.251m

The project is a pilot and will undertake an evaluation of outcomes, including any financial benefits delivered and will recommend any future investment requirements. This would need to become self-sustaining in terms of funding, as the S256 monies are not recurring. On this basis there would need to be either an exit strategy at the end of the pilot or a further business case clarifying any ongoing costs and benefits of a proposed plan, as agreed by partners. This would need to go through a further decision pathway.

Finance Business Partner: Denise Hunt 26.11.21

2. Legal Advice: The pilot is to be wholly funded by monies from the Healthier Together Executive. The commissioning of services to support the pilot will need to comply with the Public Contracts Regulations 2015 and the Councils own procurement rules and stay within the approved budget. In addition care will need to be taken to

ensure compliance with any conditions attached to the funding from HTE.		
Legal Team Leader: Eric Andrews, Legal Services; 26/11/21		
3. Implications on IT: I can see no IT implications in this proposal.		
IT Team Leader: Gavin Arbuckle – Head of Service Operations, Digital Transformation		
4. HR Advice: The report seeks approval for spending a sum of money on behalf of the BNSSG CCG for a pilot project and there are no HR issues arising from this request for Bristol City Council employees.		
HR Partner: Lorna Laing – 09/11/21		
EDM Sign-off	Hugh Evans	03/11/2021
Cabinet Member sign-off	Cllr Helen Holland	08/11/2021
For Key Decisions - Mayor's Office sign-off	Mayor	22/11/2021

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

Table 1

To be completed in all cases of STR and S256 funding

Business case reference:	To be allocated by PMO	Date:	Date submitted to PMO
Business Case title	Positive Behaviour Support (PBS) Pilot		
Author & job title	Sonia Davies, Strategic Commissioning Manager, Amanda Chappell, Commissioning Manager Bristol City Council		
Outcome: <i>To be signed once approval is granted</i>	Approval/requirement for further information		
Funding Source	Section 256		
Financial summary	Y1 in year spend¹	Y2 in year spend	Recurrent cost implications
Cost of delivery – Non - recurrent revenue requirement (£):	£1,004,778* *Note that costs are front loaded to set up the pilot. A one off investment in year 1 will enable the project to run over 2 full calendar years (3 financial years).	0	A part of the project will be to undertake an evaluation and recommend future investment requirements, however the expectation is that the project will become self-sustaining due to the savings achieved exceeding the costs
Financial Benefits	£353,757	£1,276,054	
Non-Financial Benefits			

¹ Note STR funding should have Y1 in year spend only

Table 2

This table is not required for STR applications which fall within the allocations which have been delegated to Transformation Steering Groups ([detailed above](#))

BRIEF SCHEME OVERVIEW	<p>This bid is submitted on behalf of Bristol City Council, North Somerset Council, and South Gloucestershire Council jointly.</p> <p>Positive Behaviour Support (PBS) is a person centred, evidence-based framework for supporting people with learning disabilities (PWLD) and autism with behaviour that is viewed by services to challenge.</p> <p>Within Bristol, North Somerset and South Gloucestershire we commission on behalf of a number of People with Learning Disabilities (PWLD), Autism or Mental Health dual diagnosis who have behaviour that is seen to challenge services, which can result in a high cost placement either through the placement they occupy and/or through the hours of support they receive</p> <p>The purpose of this project is to jointly fund and commission with Bristol City, North Somerset and South Gloucestershire Council an Intensive Positive Behaviour Support (IPBS) pilot. This follows the success of a pilot that has been running within Children's services over the last 2 years.</p>
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<p>SYSTEM TRANSFORMATION BENEFITS</p>	<p>The Key aims of the pilot are:</p> <ul style="list-style-type: none"> • To help prevent placement breakdown when an individual's behaviour becomes exceptionally challenging. • To reduce reliance on costly OOA placements • Improve service quality and effectiveness. • Reduce or avoid excessively high placement costs. • Contribute to placement development (i.e. employment, community inclusion and repatriation to local community housing with support) and quality improvement for commissioners, LD nurses, social workers etc. • Provide clear pathways that are closely monitored. • Maximise resource allocation and minimise drift, mission creep, and creating unnecessary dependence by others on specialist support. • Develop a standardised approach to behaviour that is seen to challenge services across BNSSG (shared strategy and jointly commissioned IPBS framework) to Improve service quality and effectiveness • Create opportunities to integrate IPBS outcomes into our commissioning contractual processes, and into operational practices i.e. care management; care act assessments, support planning and reviewing (including Education Health and Care Plans) <p>System Wide benefits</p> <ul style="list-style-type: none"> - Opportunities to improve quality of life and reduce spend across the BNSSG health and social care system - A standardised approach to behaviour that challenges across BNSSG (to also include economies of scale) - Reduce the use of restrictive practice across BNSSG. - We currently, in many cases offer heavily resourced and expensive approaches to care, with the central approach being about managing, instead of enabling. PBS provides an opportunity to rectify this. - There are opportunities to integrate PBS and behaviour management outcomes into our commissioning processes and into operational practices, such as our contract specifications, care act assessments, support planning and reviewing (and EHCPs) 	
<p>IMPLICATIONS ON OTHER FUNCTIONS</p>	<p>Within Bristol City Council, we will need to involve financial and legal support, along with any potential procurement processes that may be developed to deliver the pilot. This will be done in conjunction with North Somerset and South Gloucestershire Councils to ensure an embedded partnership approach.</p>	
<p>PRIORITISATION ASSESSMENT:</p>	<p>Please score each facet below and provide a narrative justification for the score. These will be used to prioritise spending.</p>	
	<p>Score</p>	<p>Narrative</p>
<p>Alignment with system priorities</p>	<p>1</p>	<p>This bid is a joint bid across the three Local Authorities within BNSSG.</p> <p>This project has been developed in partnership with key agencies, and the steering group which oversees this reports directly into the BNSSG Learning Disabilities and Autism Programme Board. As such the pilot has been designed to ensure delivery against the Long Term Plan for people with LD and / or Autism, and this is embedded within the approach.</p>

Risk of recurrent/ capital costs	3	As this is a pilot project, it will include evaluation throughout. If successful, it will incur recurring costs at the end of the project, however this will only be progressed if the level of savings delivered outweighs the costs, and a business case will be developed to demonstrate this. From that regard it will become self-funding.
Impact on health inequalities	1	This pilot focuses strongly on improving quality of life for people who have historically been at a disadvantage due to challenging behaviour patterns. Many are currently placed out of area, and their life chances are significantly reduced as a result. This pilot will bring people from out of area back into BNSSG and, by taking an holistic approach to the person's quality of life, will improve health outcomes (evidenced through the Annual Health Check) and also reduce over-medication. It will also bring a skill set into the local market place to deliver ongoing support for people in this cohort, in line with national best practice.
Measure of project risk/ maturity/ uncertainty	4	There is work to be done to finalise the delivery model for the project, and undertake more detailed work to identify the specific individuals who may be able to take part in the pilot. Also internal BCC governance routes still need to be completed. However this work is already underway, and is anticipated to be delivered within the planned timescales.
TOTAL	9	
VALUE ASSESSMENT	<p>Mental Health, LD & Autism: Reduced cost of Out of Area LD, Acute, PICU and Locked Rehabilitation packages:</p> <ul style="list-style-type: none"> - Successful return from a OOA placement - Successful mitigation against the use of an OOA placement <p>Mental Health, LD & Autism: Reduce nursing/residential care packages for LD and Autism</p> <ul style="list-style-type: none"> - Reduction of 1:1 hours within residential / nursing home settings - Relocation from Nursing / Residential settings to alternate independent options <p>Children and Families: support the development of services that prevent children needing to access high cost placements in the NHS, reduce placements out of the BNSSG area and transition to adulthood and lifecycle costs</p> <p>Successful transitions planning</p> <p>Avoidance of need for OOA placement</p> <p>Avoidance of need for residential placement</p>	

Table 3

This table is only required for Section 256 funding applications.

NHS FUNDING AREA	Outline the priority area(s) to which funding will apply		
Financial Impacts of scheme to:	Costs		Savings
NHS	£0	£142,000	
Local Authority	£1,004,778	£1,487,811	
VALUE FOR MONEY TO NHS	<p>Potential saving for Health due to joint-funded participants, S117 etc. Estimated at 3-5 participants Different Health / ASC splits between LAs, aggregate estimated around 10% of net savings</p> <p>Please note that the savings attributed here are only in relation to the 3 years of this project. In reality, savings will be realised over the lifetime of the individual as they move to far greater independence in their lives, and ultimately less reliance on the whole system. This delivers against system-wide priorities including the 3 year plan for Learning Disabilities / Autism.</p> <p>Savings are attributed to a full 2 calendar years, which will span 3 financial accounting years. Therefore year 1 (to April 2022) is showing a zero savings figure due to the delay from launch of the project to realisation of savings</p>		
	Year 1	Year 2	Year 3
	£0	£353,757	£1,276,054

Equality Impact Assessment [version 2.9]



Title: BNSSG IPBS Pilot	
<input type="checkbox"/> Policy <input checked="" type="checkbox"/> Strategy <input checked="" 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: People	Lead Officer name: Amanda Chappell
Service Area: Commissioning	Lead Officer role: Commissioning Manager

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 proposal is for a jointly commissioned Intensive Positive Behavioural Support (IPBS) pilot intervention across BNSSG, bringing together PBS best practice and learning from self-managing team (SMT) operational methodologies.

The pilot will be co-designed with providers and may involve all or a combination of advice, guidance, training, and hands on support from PBS experts.

The beneficiaries of the pilot intervention will be a small cohort of individuals, predominantly those in our 'PFA' (Preparing for Adulthood) cohort with Learning Disabilities / Autism whose behaviours have significantly challenged services across BNSSG, as well as their provider organisations. The purpose is to develop strategies and joint-working principles that lead to improved outcomes for those service users, and then to take that learning to inform development of a PBS framework across the patch.

The key aims of the project are:

- To help prevent placement breakdown when an individual's behaviour becomes exceptionally challenging. Using a personalised approach where possible (using individual service funds and shared support planning)
- To reduce reliance on costly OOA placements
- To improve service quality and effectiveness.
- To reduce or avoid excessively high placement costs.
- To contribute to placement development (i.e., employment, community inclusion and repatriation to local community housing with support) and quality improvement for commissioners, LD nurses, social workers etc.
- To provide clear pathways that are closely monitored.
- To maximise resource allocation and minimise drift, mission creep, and unnecessary dependence on specialist support.

- To develop a standardised (and culturally appropriate where necessary) approach to behaviour that is seen to challenge services across BNSSG (shared strategy and jointly commissioned IPBS framework) to Improve service quality and effectiveness
- To create opportunities to integrate IPBS outcomes into our commissioning contractual processes, and into operational practices i.e., care management; care act assessments, support planning, reviewing (including Education Health and Care Plans) quality assurance and contract performance management

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 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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1.1 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
<ul style="list-style-type: none"> • Bristol Population Survey 2019 • Bristol Equality Profile Disabilities (Data from 2011 Census) • Adult Social Care Tier 3 Power BI Dashboard 	<p>Ethnicity</p> <p>Of all disabled people in Bristol, 11% belong to a Black or minority ethnic (BME) group (this figure from the Equality Profile encapsulates all ‘non white’ groups). This compares to 16% BME in the population as a whole. The BME population generally has a younger age profile than the population as a whole and this would explain the lower levels of disability in these groups.</p> <p>In the PFA group reported on Power BI, those in the ‘BME’ (non-white) group represent 23%, suggesting a significant overrepresentation. Evidence suggests that autism and learning disabilities are disproportionately higher amongst some Black and minoritised groups. Therefore, comparing uptake against the 2011 census may require a more sophisticated modelling analysis to understand local prevalence within the city. This will be highlighted to our Public Health team.</p> <p>Disability</p> <p>Of the PFA cohort reported on Power BI, the significant majority (77%) are identified as having a primary support reason of Learning Disability. However, as a Local Authority, historically we do not code autism. New processes have been put in place (2020) to capture this as a primary or secondary need, but care management practitioners have been slow to complete this within their assessment and support planning processes</p> <p>Of the 39 service users without a learning disability, 5% are identified as ‘Black, African, Caribbean, Black British’. In the group identified as having a Learning Disability, 10% are identified as ‘Black, African, Caribbean, Black British’. This discrepancy contrasts with the group identified as ‘white’ which remains constant at 61% in both groups. This suggests an overrepresentation of black service users in the Learning-Disabled subset of the PFA cohort, if we are to benchmark against the 2011 census and not take into consideration the evidence suggesting higher prevalence rates within our modelling practices.</p> <p>There are significant differences in the ethnic makeup of the three localities in Bristol: North & West, Central & East, and South, with the Black, Asian and minority ethnic population making up roughly 3% in the North and South localities and 19.7% in the Central & East locality.</p> <p>Sex / Gender</p> <p>The PFA cohort is 70% male and 30% female, indicating a significant overrepresentation of males. Autism is evidenced to be higher in males.</p> <p>Sexual Orientation</p>

	There is an under-reporting or under-recording of sexual orientation in our 18-25 services. Figures from our internal data collection do not match what would be expected from the Bristol Population Survey.
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Additional comments:

1.2 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 checked="" type="checkbox"/> Religion or Belief	<input checked="" type="checkbox"/> Sex	<input checked="" type="checkbox"/> Sexual Orientation

1.3 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.

There is a lack of reliable data recorded on Sexual Orientation. There is no data on marriage and civil partnership, pregnancy and maternity, and gender reassignment. There is around a 10% gap in the recording of Ethnicity and around a 5% gap in the reporting of Disability (Primary Support Reason).

In addition, during our needs assessment processes, we need to develop our skills to model population need against prevalence rates and other sources of secondary data and research to inform actual prevalence rates, so that we can ensure that all citizens with protected characteristics have equitable access and support from commissioned services. Public Health has a system leadership role in developing the joint strategic needs assessment and coordinating the health and wellbeing boards, they are aware of this gap in intelligence and will work to address this soon.

There are gaps in overall diversity data at a local and national level for some characteristics e.g. gender reassignment – especially where this has not historically been included in statutory reporting. As council we rarely monitor marriage and civil partnership. There is a corporate approach to diversity monitoring for service users and our workforce, however the quality of available evidence across various council service areas is variable.

1.4 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 proposals outlined in this document are at an early stage and the final delivery model will be co-produced with stakeholder advocacy and representation organisations, for example Challenging Behaviour Foundation, Bristol Disability Commission. Specific interventions offered to participants will be developed in partnership

with those service users, their families, their circles of support and local community organisations to ensure that our approach aligns with our personalisation agenda.

1.5 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.

This pilot will be subject to continual evaluation seeking feedback from the pilot participants, their carers, associated equalities groups.

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 \(EqIA\) \(sharepoint.com\)](#)

1.6 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)

No significant negative impacts from this proposal have been identified. However, we are aware of existing issues for people based on their characteristics which this proposal should seek to address.

The commissioned service provider (whether in house, a current partner like Sirona or an external expert organisation) will be required to demonstrate through the ongoing pilot evaluation and quality assurance that they will operate in accordance with the Equality Act 2010 and the s.149 Public Sector Equality Duty; that as an employer that equality of opportunity is integral to vacancy advertising, recruitment, retention, promotion, training and grievances; and that services will be tailored and regularly reviewed to include understanding of the various service user needs, backgrounds and their differing requirements.

PROTECTED CHARACTERISTICS

Age: Young People	Does your analysis indicate a disproportionate impact? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	The focus of this pilot will likely be the PFA/CDS cohorts between the ages of 16-25. As such, there is the potential that any conclusions drawn omit the specific and different needs of much older individuals.
Mitigations:	The scope of this work will be limited to younger adults and the conclusions drawn from this pilot specifically will not be extrapolated to the design and delivery of services for older people without further investigation.
Age: Older People	Does your analysis indicate a disproportionate impact? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	These proposals do not include any work with older people. As such, if further exploration of the pilot principles are not conducted with specifically older individuals the target group, there is a risk that older people in Bristol will not have their support needs met appropriately. This would have adverse effects upon their health and wellbeing.
Mitigations:	This proposal seeks to pilot ways of working that can eventually contribute to a larger evidence base and delivery framework that can meet the needs of people of all ages with behaviours that are seen to challenge services.
Disability	Does your analysis indicate a disproportionate impact? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>

Potential impacts:	These proposals will have a significant impact for people with learning disabilities and/or autism. If the correct service is not identified and put in place, there is a risk that learning-disabled people in Bristol will not have their support needs met. This would have adverse effects upon their health and wellbeing.
Mitigations:	This proposal seeks to procure a commissioned service that will more effectively meet the needs of learning-disabled citizens in Bristol than services that are currently offered
Sex	Does your analysis indicate a disproportionate impact? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	THE EQIA has identified a significant overrepresentation of males in the pool of potential participants. There are different ways that learning disabilities, autism and associated behaviours manifest between the sexes
Mitigations:	The pilot will work with a representative number of males and females based on broader population estimates.
Sexual orientation	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	There is a lack of profile data on sexual orientation. There is no evidence that the proposals would have an adverse impact.
Mitigations:	None.
Pregnancy / Maternity	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	There is a lack of profile data on pregnancy and maternity. There is no evidence that the proposals would have an adverse impact.
Mitigations:	None.
Gender reassignment	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	There is a lack of profile data on gender reassignment. There is no evidence that the proposals would have an adverse impact.
Mitigations:	None.
Race	Does your analysis indicate a disproportionate impact? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	There is an overrepresentation of Black, Asian and Minority Ethnic service users in the potential pilot cohort in comparison to the general population.
Mitigations:	The proposed service specification will seek to procure services that accurately represent and appropriately meet the varying needs of the different ethnicities they support. Accurate and up to date demographic data will be used to specify the most appropriate type of service in each of the three Bristol localities. Diversity monitoring will be conducted and any diversity of outcomes will inform the development of any future services
Religion or Belief	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	There is no evidence that these proposals would have an adverse impact, however we need to ensure that providers are able to meet the religious and cultural needs of service users including through having strong links with other community organisations.
Mitigations:	None.
Marriage & civil partnership	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	There is a lack of profile data on marriage and civil partnership. There is no evidence that the proposals would have an adverse impact.
Mitigations:	None.
OTHER RELEVANT CHARACTERISTICS	
Socio-Economic (deprivation)	Does your analysis indicate a disproportionate impact? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	Data suggests that economically disadvantaged individuals are more likely to exhibit the kinds of behaviours that challenge services that would make them suitable for this pilot.
Mitigations:	This proposal seeks to procure a commissioned service that will meet the needs of economically disadvantaged people in Bristol.
Carers	Does your analysis indicate a disproportionate impact? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	These proposals will have a significant impact on the carers people with learning disabilities and/or autism. If the correct service is not identified and put in place, there

	is a risk that the carers learning-disabled people in Bristol will not have their support needs met. This would have adverse effects upon their health and wellbeing.
Mitigations:	This proposal seeks to procure a commissioned service that will effectively meet the needs of the carers of pilot participants, as well as the participants themselves. Cares will be key stakeholders and their own experience and outcomes will be evaluated throughout the pilot.
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:	None
Mitigations:	n/a

1.7 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 aim to increase the availability and quality of care and support services which has clear benefits young people with learning disabilities / autism and behaviours that challenge. These services are designed to help people to stay well and live meaningful lives in a place of their choosing.

1.8 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 however we will aim to address and mitigate existing disparities through ensuing there is accessible and inclusive service provision.
Summary of positive impacts / opportunities to promote the Public Sector Equality Duty:
<p>The EQIA has highlighted the need for this pilot to:</p> <ul style="list-style-type: none"> - Ensure we commission providers that are representative and can meet the needs of the local population. - Ensure that diversity of outcomes for people from ethnic minority backgrounds are recorded and go on to inform the development of future services. - Ensure that diversity of outcomes for males and females are recorded and evaluated, and efforts are taken to ensure that the pilot effectively meets the needs of both sexes. - Ensure our service specifications specify that needs assessments take account any needs in relation to the Protected Characteristics - Consider whether equalities service standards and targets should be used in the contract specification or Performance Management Frameworks. - Ensure that any evaluation of the pilot is clear about the highly specific targeting of the cohort and is not extrapolated to make claims or develop services aimed and different groups. - Work alongside Public Health (who have a systems leadership role around data and intelligence across the city to inform our commissioning intentions and service delivery - Work alongside culturally appropriate community-based services to ensure that the cultural needs of citizens who access the pilot are taken into consideration

1.9 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
Work alongside Public Health to identify local prevalence rates for citizens who do or do not access our commissioned services	Christina Gray	One Year
Work alongside local Black and Minority communities to ensure that our offer (including the pilot) is culturally appropriate	Penny Germon	Over the period of the pilot
As part of the evaluation better understand how iPBS improves the quality of life and outcomes for Black and Minority citizens	Helen Pitches	As above

1.10 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.

The impact of this proposal and the actions will be measured through ongoing contract management and quality assurance of the contracts. In addition, the impact of the project will be measured using BCC's internal business intelligence platform to ascertain whether it has achieved its benefits.

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:	Director Sign-Off:
Equalities Team	
Date: 15/11/21	Date: 16/11/2021

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 December 2021

TITLE	Parking Permit and Tariff Review Oct 21 – Residents’ Parking Schemes (RPS) and Permit Parking Areas (PPA)		
Ward(s)	Citywide		
Author: David Bunting		Job title: Service Manager, Traffic & Highways Maintenance	
Cabinet lead: Cllr Alexander, Cabinet Member Transport		Executive Director lead: Stephen Peacock, Executive Director Growth & Regeneration	
Proposal origin: BCC Staff			
Decision maker: Cabinet Member			
Decision forum: Cabinet			
Purpose of Report:			
<ol style="list-style-type: none"> 1. To approve an inflationary increase of all RPS permit and Pay & Display charges. 2. To approve the structure and pricing for Easton St Philips RPS to be brought in line with all other RPS & PPAs over two inflationary tariff change cycles to minimise the impact on residents and business in the short term. 3. Note that future inflationary increases to RPS Permit and Pay & Display prices will be reviewed on an annual basis in line with the Council annual process and when appropriate will be increased as part of the formal Fees & Charges process. 			
Evidence Base:			
<ol style="list-style-type: none"> 1. RPS’s were initially created to provide a protective ring around the city centre where parking is prioritised for residents, businesses and organisations based inside the zones, which were historically flooded with commuter parkers seeking to avoid city centre parking fees. It is to be noted that although there is some minor overlap, the majority of the RPS areas are located outside of the proposed Clean Air Zone (CAZ) and may therefore also prove a draw for parkers trying to avoid the CAZ. 2. A limited amount of Pay & Display parking is provided within each RPS (although not currently in the much smaller PPAs). These spaces are provided to facilitate visitor parking in the RPS, to support local community facilities and to support retail & leisure activities. Parking in pay and display bays is restricted in terms of time and charges are set at a level to encourage modal shift away from the use of the private motor vehicle, in line with the requirements of the Joint Local Transport plan. The hourly rate for Pay & Display parking in the RPS was set at £1/hr when the first RPS was introduced in Kingsdown in 2011. All subsequent RPS have consistently adopted the same rate (the only limited exception to this being evening parking in some parts of Clifton Village RPS & Clifton East RPS). In line with the recent uplift in City Centre parking charges and to continue to ensure transport policy objectives remain effective, the parking tariff should be increased in line with inflation. It is proposed that the hourly rate is increased to £1.30 per hour. It is proposed the existing 30-minute free parking option will continue to remain in place. 3. Permit prices were last reviewed in 2015 at which time each of the RPS’s were formally reviewed. At that time permit charges were uplifted and as each Scheme Review took place the permit prices and allocations in each RPS were standardised to the levels agreed in 2015. Consequently, all RPS areas have the same charges and the same permit allocations with the following exceptions: <ol style="list-style-type: none"> a. Clifton Village RPS has features which allow some qualifying organisations to obtain more permits than standard. b. Allocations in the very small PPAs vary slightly and reflect local requirements. c. Easton & St Phillips did not undergo the full Scheme Review to bring permit prices and permit allocations in line with the other schemes, so it still retains the original pricing and permit structure agreed in 2011. 4. As permit prices were last set in 2015 (ES RPS went live in 2014 with prices that were set in 2011), this report seeks approval to update all prices in line with inflation to ensure they remain relative in real terms and to update ES RPS to 			

provide consistency of entitlement and charges with all other RPS.

5. As the combined financial impact of adopting standardised pricing at the same time as the inflationary uplift could be significant to both businesses and residents of ES RPS, we propose that the structure of Easton & St Philips is changed to reflect the other schemes but that the cost increases are spread over two tariff change cycles on the basis of half now and half at the next tariff review.
6. Annual inflation may amount to very small increases which cannot be practically be applied (Pay & Display machines do not accept 1ps, 2ps or 5ps for example). Permit & Pay & Display charges will therefore be reviewed on an annual basis to determine if an inflationary increase should be applied or deferred to the following year.
7. Appendix A has more details on:
 - a. current and proposed prices
 - b. what the changes in ES RPS mean in practice.
 - c. the likely financial implications of the proposed changes.

Cabinet Member / Officer Recommendations:

1. Approve an inflationary increase in parking permit prices and parking tariffs in all Residents' Parking Schemes & Permitted Parking Areas as laid out in this report and Appendix A.
2. Approve the structure and pricing for Easton St Philips RPS to be brought in line with all other RPS & PPAs over two inflationary cycles as laid out in this report and Appendix A.
3. Delegate authority to Executive Director, Growth and Regeneration in consultation with the Cabinet Member for Transport, to undertake the necessary statutory procedures to implement these changes (including any statutory consultation that is required in relation to ES RPS).
4. Note that a policy based review of RPS & PPA pricing and regulations will also be undertaken and brought to cabinet before March 2022 through a standalone report.

Corporate Strategy alignment:

The One City Plan states:

1. Bristol will be well-connected with digital services and transport that is efficient, sustainable and inclusive; supporting vibrant local neighbourhoods and a thriving city centre.
2. Bristol will be a sustainable city, with low impact on our planet and a healthy environment for all.
3. Transport is healthy, active, sustainable, safe and enables easy movement throughout the city.
4. The city is well connected, supporting access to employment, education and services for all.

City Benefits:

1. Rationing parking by price and time is an important tool in the promotion of leisure and retail economies, while encouraging greater use of public transport, walking and cycling over long stay parking.
2. RPS supports the long term aims of the local transport policy while also providing a protective ring around the city centre in which parking is prioritised for those residents, businesses and organisations that are based inside each zone.
3. National policy relating to tariff variations states that they can be levied pursuant to Orders and Notices made under the Road Traffic Regulation Act 1984. Whilst the Act is not a revenue raising one, increases in parking charges are permissible where the dominant purpose is to secure legitimate traffic management related objectives. Any resulting income is ringfenced for transport related purposes.

Consultation Details:

1. Initial proposal discussed at EDM in August 2021, with subsequent briefing of Cllr Alexander, Executive Member for Transport.
2. Further consultation with Mayor's office and Cabinet through the decision pathway process
3. The proposed changes to ES RPS will be subject to public consultation as part of the process to change the Traffic Regulation Order. Details of the change will be published locally, in the media and on [Traffic Regulation Orders \(TROs\) - bristol.gov.uk](https://www.bristol.gov.uk/traffic-regulation-orders-tros). Members of the public will have opportunity to raise objections which will be considered by the Director for Economy of Place before making any decision to proceed or not.
4. There will be no formal public consultation to implement the changes outside of ES RPS, because none is required to vary existing charges within a Traffic Regulation order. 'Notices of Variation' will be published to advise the public of the changes as part of the process to vary the Traffic Regulation Order.

Background Documents:

Bristol City Council's Transport policy aims to discourage long-stay commuter parking in favour of more sustainable modes of

transport such as walking, cycling, public transport and park and ride. Parking charges need to be set at such a level to encourage modal shift. The policy also aims to encourage retail and leisure activities by offering short stay parking whilst supporting the need for greater utilisation of sustainable transport.

<https://www.bristol.gov.uk/documents/20182/3641895/Bristol+Transport+Strategy+-+adopted+2019.pdf/383a996e-2219-dbbb-dc75-3a270bfce26c>

The West of England Joint Local Transport Plan 4 (2020 -2036) (JLTP 4) (<https://travelwest.info/projects/joint-local-transport-plan>) sees parking controls as a key element in controlling the demand for car parking. The plan states that parking controls (including charges) will be structured to support short stay retail, leisure and business trips to central areas.

Revenue Cost	c£50k	Source of Revenue Funding	14727 revenue budgets will cover costs of changing the Traffic Regulation Orders and signage.
Capital Cost	N/A	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 checked="" type="checkbox"/>	

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

- Finance Advice:** RPS's were first introduced in 2011 and had its last price review in 2015 (with the exceptions of Easton & St Phillips scheme that remained at the agreed 2011 prices).
- Approval is now being sought to apply annual inflationary reviews on all chargeable permits and Pay and Display prices, to ensure they remain relative and continue to achieve their purpose of discourage long-stay commuter parking in favour of more sustainable modes of transport.
- The report is seeking approval to inflate prices and align the pricing structure for Easton St Philips RPS over two inflationary cycles (see table 1), further details of the financial implications can be found in Appendix A. The Pay & Display tariffs, as well as Resident parking permits will be increased in line with inflation, with some being backdated.

Table 1

Review cycle	1	2
	£'000	£'000
Pay & Display	594	594
RPS	122	244
Total	716	838

Note: Spreading the inflationary increase over 2 review cycles, only half of the impact is felt in review cycle 1

- The financial impact is based on current customer behaviour, however, the decision to implement the changes may result in a change in customer behaviour, so the financial outcomes may be different. It is worth noting that revenue from on-street parking activities is ringfenced and can only be spent on transport related services i.e. other transport and highway related services, allowing improvements and investment in sustainable transport scheme and initiatives
- Any additional costs implications are expected to be met from the Highways and Traffic Management revenue budget.
- The Council applies annual inflationary increases to fees & charges for services that have such flexibility, and this helps it keep up with the cost of inflation on all its services. It is advised that the service moves to an annual process.

Finance Business Partner: Kayode Olagundoye, Interim Finance Business Partner, Growth and Regeneration, 30th November 2021.

2. Legal Advice: Changes to the TRO to align the ES RPS with others elsewhere in the city must be the subject of public consultation. Any responses to the consultation must be taken into account by the decision maker when making the final decision. Consultation must take place at a formative stage in the process and include sufficient reasons and explanation for the proposals and allow adequate time for consideration and response.

Legal Team Leader: Joanne Mansfield, Team Leader 30th November 2021.

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

IT Team Leader: Simon Oliver Director Digital Transformation, 5 October 2021

4. HR Advice: 'There are no HR implications evident'

HR Partner: Celia Williams HR Business Partner 4 October 2021		
EDM Sign-off	Stephen Peacock, Executive Director Growth and Regeneration	6 October 2021
Cabinet Member sign-off	Cllr Don Alexander, Cabinet Member Transport	14 October 2021
For Key Decisions - Mayor's Office sign-off	Mayor's Office	15 November 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	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 L – Procurement	NO

Inflationary increase in Pay & Display charge:

Location	Charge	Period	Current	Proposed	Difference	Comments
All RPS & PPAs	Pay & Display hourly rate (Max Stay varies by scheme and location). See footnote regarding CV & CE RPS	Hourly rate	£ 1.00	£ 1.30	30%	Inflation from 2011

Footnote: CV RPS & CE RPS allow for an evening P&D Ticket of 4 hours for £3.00 between 5pm and 9pm. It is proposed that this increases to 4 hours for £3.90.

Financial implication of this change:

	Location	Total Income 2019-20	Number of hours parking	Proposed new hourly rate	Proposed Annual Income less 25% attrition*	Difference	
Impact of proposed change to Pay & Display Rate	Bower Ashton RPS	£ 7,294	7294	£ 1.30	£ 8,935.25	£ 1,640.84	
	Clifton East RPS	£ 445,870	445870	£ 1.30	£ 546,190.73	£ 100,320.80	
	Clifton Village RPS	£ 790,293	790293	£ 1.30	£ 968,108.99	£ 177,815.72	
	Cliftonwood & Hotwells RPS	£ 93,568	93568	£ 1.30	£ 114,620.80	£ 21,052.81	
	Cotham North RPS	£ 122,622	122622	£ 1.30	£ 150,212.06	£ 27,589.62	
	Cotham RPS	£ 134,419	134419	£ 1.30	£ 164,663.26	£ 30,244.33	
	Easton RPS	£ 128,332	128332	£ 1.30	£ 157,206.65	£ 28,874.84	
	Kingsdown RPS	£ 380,968	380968	£ 1.30	£ 466,685.81	£ 85,717.77	
	Redcliffe RPS	£ 61,849	61849	£ 1.30	£ 75,765.12	£ 13,915.75	
	Redland RPS	£ 38,904	38904	£ 1.30	£ 47,657.35	£ 8,753.56	
	St Pauls RPS	£ 58,803	58803	£ 1.30	£ 72,033.78	£ 13,230.35	
	Southville RPS	£ 175,625	175625	£ 1.30	£ 215,140.73	£ 39,515.33	
	Bedminster East RPS	£ 96,300	96300	£ 1.30	£ 117,967.60	£ 21,667.21	
	Montpelier RPS	£ 51,182	51182	£ 1.30	£ 62,697.83	£ 11,516.30	
	Spike Island RPS	£ 56,185	56185	£ 1.30	£ 68,826.57	£ 12,641.80	
	Total		£2,642,215	2642214		£ 3,236,712.52	£ 594,497.05

*A degree of attrition is expected due to encouragement of modal shift. This has been increased from 20% to 25% to allow for reduced levels of Pay & Display parking due to Covid.

Inflationary increase in Permit charges plus full alignment of Easton & St Philips RPS with other RPS.

Permit structure in Easton & St Philips is to be aligned with other RPS, but prices are to rise over two inflationary cycles*

Location	Charge	Period	Current	Proposed	Difference	Comments
All RPS & PPAs	Additional Visitor Vouchers	Each	£ 1.00	£ 1.30	30%	Inflation from 2011
All RPS & PPAs	Medical Permit (For healthcare providers who provide domiciliary care inside the RPS/PPAs)	12 Months	£ 192.00	£ 224.00	17%	Inflation from 2015
All RPS & PPAs	Trader Permit	12 Months	£ 192.00	£ 224.00	17%	Inflation from 2015
All RPS & PPAs	Trader Permit Scratchcards (25 daily permits)	Pack of 25	£ 62.50	£ 73.00	17%	Inflation from 2015
All RPS & PPAs	1st Resident Permit - Band A or CO2 emissions range 01-100g/km	12 Months	Free	Free		N/A
All RPS & PPAs	Business Permit for Electric Vehicle	12 Months	Free	Free		N/A
All RPS & PPAs	Essential Visitors Permit	12 Months	Free	Free		N/A
All RPS & PPAs Except ES RPS	1st Resident Permit - Band B or CO2 emissions range 101-110g/km	12 Months	£ 24.00	£ 28.00	17%	Inflation from 2015
All RPS & PPAs Except ES RPS	1st Resident Permit - Band C-K or CO2 emissions range 111-225g/km	12 Months	£ 48.00	£ 56.00	17%	Inflation from 2015
All RPS & PPAs Except ES RPS	1st Resident Permit - Band L-M or CO2 emissions range 226-over 255g/km	12 Months	£ 72.00	£ 84.00	17%	Inflation from 2015
All RPS & PPAs Except ES RPS	1st Resident Permit - Registered before 1st March 2001	12 Months	£ 48.00	£ 56.00	17%	Inflation from 2015
All RPS & PPAs Except ES RPS	1st Resident Permit - Any other vehicle at Council discretion	12 Months	£ 48.00	£ 56.00	17%	Inflation from 2015
All RPS & PPAs Except ES RPS	2nd Resident Permit	12 Months	£ 96.00	£ 112.00	17%	Inflation from 2015
All RPS & PPAs Except ES RPS	3rd Resident Permit	12 Months	£ 192.00	£ 224.00	17%	Inflation from 2015
All RPS & PPAs Except ES RPS	Business Permit	12 Months	£ 240.00	£ 280.00	17%	Inflation from 2015
All RPS & PPAs Except ES RPS	Business Permit Discounted Rate	12 Months	£ 140.00	£ 164.00	17%	Inflation from 2015
All RPS & PPAs Except ES RPS	Customer Permit	12 Months	£ 250.00	£ 292.00	17%	Inflation from 2015
All RPS & PPAs Except ES RPS	Customer Permit Discounted Rate	12 Months	£ 150.00	£ 176.00	17%	Inflation from 2015
ES RPS	1st Resident Permit - All pre 2001 vehicles and all post 2001 vehicles not included above	12 Months	£ 30.00	£ 45.00	50%	Indicative increases only - permit structure will change to match other schemes (as above).
ES RPS	2nd Resident Permit	12 Months	£ 80.00	£ 100.00	25%	
ES RPS	3rd Resident Permit	12 Months	£ 200.00	£ 220.00	10%	
ES RPS	1st Business Permit	12 Months	£ 100.00	£ 200.00	100%	
ES RPS	2nd Business Permit	12 Months	£ 200.00	£ 200.00	0%	
ES RPS	Customer Permit	12 Months	£ 100.00	£ 208.00	108%	
Redland RPS	Allotment Permit	12 Months	£ 48.00	£ 56.00	17%	Inflation from 2015

* Officers have based the information presented here on estimated rate of inflation in future years and have assumed the next inflationary increase will be in 2025. The prices proposed for ES RPS are halfway between current prices and estimated 2025 prices. There will be no stepped increase where current prices are already in line with other RPS ie: visitor permits, P&D rates and RPS wide trader or medical permits.

Financial implication of this change:

Location	Current Annual Income	Proposed Annual Income	Variance	Comments
Bedminster East RPS	£ 36,109.00	£ 42,201.60	£ 6,092.60	Based on first year of digital parking permits from December 19 to November 2020.
Bower Ashton RPS	£ 1,248.00	£ 1,456.00	£ 208.00	
Clifton East RPS	£ 207,909.50	£ 243,015.50	£ 35,106.00	
Clifton Village RPS	£ 287,420.50	£ 336,102.70	£ 48,682.20	
Cliftonwood and Hotwells RPS	£ 95,033.50	£ 111,182.80	£ 16,149.30	ES RPS first permits mapped to mid rate permit price and business and customer permits mapped to full price rate.
Cotham RPS	£ 99,099.50	£ 115,843.00	£ 16,743.50	
Cotham North RPS	£ 146,946.50	£ 171,748.40	£ 24,801.90	Excludes permit types not processed via the digital platform yet ie Medical Permits & Trader Permits.
Easton and St Philips RPS	£ 45,635.50	£ 72,910.65	£ 27,275.15	
Kingsdown RPS	£ 86,849.50	£ 101,577.50	£ 14,728.00	
Montpelier RPS	£ 55,515.00	£ 64,857.50	£ 9,342.50	
Pitlochry Close PPA	£ 144.00	£ 168.00	£ 24.00	Cheswick Village PPA and Edward Road & Chatworth Road PPAs also excluded still in first year of operation.
Redcliffe RPS	£ 13,783.00	£ 16,128.30	£ 2,345.30	
Redland RPS	£ 40,390.00	£ 47,172.60	£ 6,782.60	
Southville RPS	£ 148,347.00	£ 173,432.40	£ 25,085.40	
Spike Island RPS	£ 11,498.00	£ 13,457.10	£ 1,959.10	
St Pauls RPS	£ 51,759.50	£ 60,482.80	£ 8,723.30	
Grand Total	£ 1,327,688.00	£ 1,571,736.85	£ 244,048.85	

Total impact of all proposed changes	£ 838,545.90
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Easton & St Philips RPS

The following table summarises the key differences between the structure of the current ES RPS and the other RPS - in terms of permit types, costs, allocations and eligibility.

It is not intended to be a comprehensive list of all the differences between the schemes.

	Current Permit Structure of ES RPS	Summary of changes if common permit structure agreed in line with all other RPS & PPAs
Pay & Display Parking	Current maximum stay is 2 hours.	The default maximum stay period for all other RPS is 3 hours. In some limited areas it is more than this, but we propose to bring ES RPS in line with the 3 hour standard.
Residential Permits - 1st Permit	This is currently free for low emissions vehicles. All other first permits are charged at a flat rate.	This is currently free for low emissions vehicles. All other first permits charged according to their age and/or emissions status as measured in Bands or CO2 emissions. Moving to this model would mean some customers pay less than others and some customers pay more than others, relative to the age and emissions status of their vehicle.
Residential Permits - 2nd Permit	All charged at a flat rate irrespective of emissions. Second permits cost more than twice as much as a first permit.	All charged at a flat rate irrespective of emissions. Second permits cost twice as much as a first permit.
Residential Permits - 3rd Permit	All charged at a flat rate irrespective of emissions. Third permits cost more than twice as much as a second permit.	All charged at a flat rate irrespective of emissions. Third permits cost twice as much as a second permit.
Business Permits	2 Business Permits allowed. Second permit costs twice as much as the first permit. There is no discounted rate for schools, a charities, places of worship or businesses in receipt of full small business rate relief.	A maximum of 7 business or customer permits are allowed in any combination. All business permits are the same price (customer permits are slightly more expensive).
Customer Permits	5 Customer Permits allowed. A customer permit is the same price as a first business permit. There is no discounted rate for schools, a charities, places of worship or businesses in receipt of full small business rate relief.	There is a discounted rate for schools, a charities, places of worship and businesses in receipt of full small business rate relief.
Trader Permits	Available as annual permits or packs of 25 daily scratchcards.	Available as annual permits or packs of 25 daily scratchcards.
Medical Permits	Available to healthcare providers who provide domiciliary care within the RPS/PPAs	Available to healthcare providers who provide domiciliary care within the RPS/PPAs.

RPS Permit & Tariff Changes 2021 Risk Register

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

Ref	Risk Description	Key Causes	Key Consequence	Status Open / Closed	Strategic Theme	Risk Category	Risk Owner	Key Mitigations	Direction of travel	Current Risk Level			Monetary Impact of Risk £k	Risk Tolerance			
										Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating	Date
1	Parking restrictions cease to be meaningful if cost is reduced in real terms - will no longer serve original traffic management objectives especially in face of potential increase in demand for parking outside the Clean Air Zone.	Prices were set many years ago and inflation since then has eroded the value of the charges in real terms.	Charges are now much cheaper in real terms, despite operating costs rising in line with inflation. Cheaper tariffs fail to be effective in terms of promoting turnover of space or encouraging modal shift away from private vehicles	Open			David Bunting	Increase charges in line with inflation to maintain original scheme objectives		3	2	6	823k	1	2	2	Nov-21
2	The anomalous regime in Easton St Philips RPS sets this area apart from all other RPS and there is no policy or traffic related justification for this.	Due to unfortunate timing of the last scheme review ES tariffs and structure were not brought into line with all the other schemes.	ES RPS residents and businesses are currently being treated differently to residents and businesses in other areas.	Open			David Bunting	Bring ES RPS inline with other areas to remove this anomaly.		3	2	6	£37k	1	1	1	Nov-21
																0	
																0	
																0	

Equality Impact Assessment [version 2.9]



Title: RPS Permit & Tariff Changes 2021	
<input checked="" type="checkbox"/> Policy <input 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: Growth and Regeneration – Management of Place	Lead Officer name: David Bunting
Service Area: Traffic & Highways Maintenance	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 \(EqIA\) \(sharepoint.com\)](http://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.

Bristol’s Resident Parking Schemes (RPS) were introduced between c2011 and c2016. Permit structures and prices were standardised in 2015 and each new scheme either adopted the standardised structure from the outset or was changed during the initial scheme reviews. Easton & St Philips RPS was the last scheme to undergo its initial scheme review and the timing coincided with the Mayor’s electoral pledge not to increase RPS charges during his initial term in office. So while ES RPS was reviewed, the structure and prices applied to ES RPS could not be changed.

Parking Services are now seeking approval to apply an inflationary increase to RPS permit and Pay & Display charges, to follow on from a similar review of parking charges in the Controlled Parking Zone that was implemented this year. It is important for our ability to meet our traffic management policy objectives in terms of promoting short stay parking through the turnover of spaces and the encouragement of a modal shift to more sustainable travel choices through the deterrent factor of parking charges, that those charges remain relative in real terms. This is the primary objective of the current tariff report.

However, officers are acutely aware of the anomalous situation in Easton St Philips and that residents and businesses in that area are currently being treated differently to all other RPS. We are using this opportunity to seek guidance on whether we should now take the opportunity to bring ES RPS in line with the other RPS areas so that the RPS are applied consistently and fairly across the city and so that any differences between the zones are the result of policy-based decisions only.

The changes will have an impact on citizens in ES RPS, but it’s important to record that these citizens are being treated differently to other citizens at the moment and that this change is intended to remove those anomalies to ensure that all citizens are treated equally.

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: All residents and businesses located within ES RPS and potentially all visitors too.		

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]
--	------------------------------------	-----------------

Pay & Display parking will become more expensive – increasing from £1/hour to £1.30/hour. Parking Permits & Visitor Vouchers will increase by approximately 17% to reflect inflation since they were first set. These changes will apply to all RPS.

In ES RPS the additional changes will be as follows:

The maximum stay for Pay & Display parking will increase from 2 hours to 3 hours.

The figures in the following section are current prices before the inflationary increase is added:

Residents will still be entitled to up to 3 residential permits but the price of these will be brought in line with the other scheme areas:

- First permit prices will be based on vehicle emissions, so a current permit that costs £30 in ES RPS will cost between £24 and £72 depending on vehicle emissions (the majority of vehicles will be mid- range and will cost £48).
- Second permit prices will increase from £80 to £96.
- Third permit prices will decrease from £200 to £192

Business will still be entitled to up to 7 permits but instead of the current allowance of up to 2 business permits and up to 5 customer permits, businesses will be able to choose their own mix of business and customer permits.

A first business permit in ES RPS currently costs £100 and a second permit costs £200. The standard price for a full price business permit in other scheme areas is £240 each.

A customer permit in ES RPS is currently £100 compared to £250 for a full price customer permit in other scheme areas.

Discounted business and customer permits are not currently offered in ES RPS. Adopting the standard rules for other schemes would mean we are able to offer business and customers discounted rates of £140 for a business permit and £150 for a customer permit. The discounted rate is available to any school, a charity, place of worship or businesses in receipt of full small business rate relief.

Because of these increased costs, there is a potential for citizens and/or businesses to be affected by this proposal.

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
Ward Statistical Profile for Lawrence Hill	<ul style="list-style-type: none">- Age is generally not statistically different to Bristol. There are more people aged 0-15 and less people aged 55+ compared to Bristol as a whole.- The area is in the lowest deprivation percentiles and has the highest level of child poverty.- Over 55% of households do not have a vehicles – Lawrence Hill has the lowest levels of car ownership in Bristol.- Lawrence Hill has the highest proportion of Black, Asian and minority ethnic residents (60%)
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 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.

We do not currently measure protected characteristics of service users in RPS areas specifically, however we have Ward level diversity data for most characteristics, and LSOA data for economic deprivation.

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.

Full consultation took place when the RPS were introduced and at the time of the formal scheme reviews.

Affected groups have not been involved or consulted at this time, because Cabinet are being asked to approve this change as a matter of policy – that ES RPS should not operate on different terms to other scheme areas. This is to stop residents and businesses getting different treatment from the council based on a postcode lottery of where they live. A resident of other scheme areas should not have to pay more for a first permit than a resident of ES RPS does. Businesses in ES RPS should not be given preferential treatment in terms of cheaper permits than businesses in other parts of the city.

The process to change Traffic Regulation Orders to apply the inflationary increase does not require consultation, however the legal process required to change the ES RPS Traffic Regulation Order will require full Statutory Consultation. Any objections to the changes will be considered by the Director, Economy of Place before making any final decision to implement the changes.

At this time we are not considering any wider review of ES RPS or indeed RPS in general.

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.

Any future reviews of the RPS (and which would include public consultation) would consider any broader or scheme specific changes to the way the RPS operate. The change at this time is simply to bring ES RPS in line with other areas and apply an inflationary uplift to Pay & Display and Parking Permit charges.

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)	
The proposal will increase the cost of permits and pay & display parking and will therefore affect all groups, although those on fixed or low incomes will be disproportionately affected. We note that ES RPS falls with Lawrence Hill Ward and although this area has the highest deprivations levels it also has the lowest car ownership levels.	
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:	Some older people who are less mobile and less able to walk significant distances may be disproportionately impacted by additional costs
Mitigations:	See above
Disability	Does your analysis indicate a disproportionate impact? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	Some people with impairments or disabilities who do not have Blue Badges but who are still dependent on a motor vehicle or as a driver or passenger may be disproportionately impacted by additional costs
Mitigations:	See above
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 checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	People who are dependent on a motor vehicle as a driver or passenger because they are pregnant or have young children may be disproportionately impacted by additional costs
Mitigations:	See above
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 checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	Although car use is relatively low in the Lawrence Hill Ward any proposal to increase RPZ cost will disproportionately impact on Black, Asian and minority ethnic residents on the basis of their higher representation (59.6% compared to 16% for Bristol overall). Additionally, a high proportion (29%) of residents do not speak English as main language.
Mitigations:	We will ensure that any changes are proportionate and any increase to RPZ costs have a robust communications plan to ensure we provide clear inclusive and accessible information in a range of formats suitable for diverse communities.
Religion or Belief	Does your analysis indicate a disproportionate impact? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	Lawrence Hill Ward had a high representation of residents from Muslim and Sikh faith groups
Mitigations:	As above - have a robust communications plan to ensure we provide clear inclusive and accessible information in a range of formats suitable for a diverse communities.

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 checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	Increasing costs of permits will have a bigger impact on low or fixed income households.
Mitigations:	It is proposed that the structure of ES RPS is changed to match other schemes but that the permit prices are increased in two cycles. We have estimated what the prices will be following another round of inflationary increases in 2025 and have recommended the prices are increased halfway at this time, and then to the full rate in 2025.
Carers	Does your analysis indicate a disproportionate impact? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	People who are dependent on motor vehicles to provide care for others may be disproportionately impacted by additional costs
Mitigations:	As above
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

Increasing the maximum stay time for Pay & Display Parking has the potential to improve outcomes for those with some protected characteristics as it will allow them more time for their visits.

The discounted rate for business and customer permits will be available to any school, a charity, place of worship or businesses in receipt of full small business rate relief.

The proposed changes aim to ensure that residents are treated fairly and consistently across the city and are not advantaged or disadvantaged on the basis of their protected characteristics. Residents or businesses within Redcliffe RPS or Southville RPS, for example, show similar levels of deprivation to the part of Lawrence Hill that falls with the ES RPS and would have a clear expectation that they would not be treated less favourably than residents or businesses in other parts of the city.

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:

This assessment has shown that the proposal will most affect those in low of fixed income households but that car ownership is lowest in ES RPS so the impact is not as high as it would have been had the situation arisen in a different part of the city.

Despite this, it is not appropriate for those in ES RPS to be treated to different rules to residents or businesses in other scheme areas and that is why this change is being recommended.

We do however recognise that the financial impact on those who are affected is not insignificant and are therefore proposing to implement the increase over 2 tariff change cycles, so the full impact will not be felt until 2025.

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

It is important for the council to acknowledge that the current situation is treating some residents and businesses differently to others. Taking steps to remove these inequalities should be seen as a positive move.

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
Recommend Cabinet approve an inflationary increase to RPS charges including the standardisation of ES RPS, with the prices increase in ES RPS to be staggered over 2 inflationary cycles and to be completed in 2025.	David Bunting	2021 – 2025


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.

All scheme areas will be operating on the same basis.

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: 8/11/2021	Date: 08/11/2021

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: RPS Permit & Tariff Changes 2021				
Report author: David Bunting				
Anticipated date of key decision 14th December 2021				
Summary of proposals:				
<p>Inflationary increase to Permit and Pay & Display prices in all Resident Parking Scheme Areas. Prices need to be updated to remain relative in real terms in order to deliver traffic management objectives.</p> <p>In addition, there is an anomaly that we are seeking permission to remove as the prices and permit structures are different in Easton & St Philips RPS to other RPS scheme areas and we would like to standardise them with the same permit structure and prices as other RPS. This means adding emissions-based pricing to ES RPS first permits for residents rather than applying a flat fee. Businesses will have more flexibility in choosing their permit types and although prices will increase, some qualifying businesses and organisations will be eligible for a discounted rate.</p> <p>The overall number and availability of permits will not change and there will be no changes on the ground other than that P&D maximum stay will be increased from 2 hours to 3 hours in line with other scheme areas.</p>				
Will the proposal impact on...	Yes/ No	+ive or -ive	If Yes...	
			Briefly describe impact	Briefly describe Mitigation measures
Emission of Climate Changing Gases?	Y	+ve	Vehicles with the highest emissions will be charged more for a first resident permit in ES RPS and those with the least emissions will be charged less. First permits for electric vehicles will continue to be free.	
Bristol's resilience to the effects of climate change?	N	n/a		
Consumption of non-renewable resources?	N	n/a		
Production, recycling or disposal of waste	N	n/a		
The appearance of the city?	N	n/a		
Pollution to land, water, or air?	Y	+ive	Incentivising ownership of cleaner ICE vehicles and electric vehicles will contribute to improving air quality.	
Wildlife and habitats?	N	n/a		
Consulted with: n/a				
Summary of impacts and Mitigation - <u>to go into the main Cabinet/ Council Report</u>				

The impact of this proposal is a contribution to incentivising modal shift and electric vehicle ownership.

The net effects of the proposals are positive.

Checklist completed by:

Name: Sarah Clark

Dept.:Traffic & Highways Maintenance

Extension: N/A

Date: 7/11/21

Verified by
Environmental Performance Team

Daniel Shelton
08.11.2021

SEND Information Advice and Support Service (SENDIASS) contract extension

PURPOSE: Key decision

MEETING: Cabinet

DATE: 14 December 2021

TITLE	SEND Information Advice and Support Service (SENDIASS) contract extension																
Ward(s)	City Wide																
Author: Gail Rogers	Job title: Head of Service, Children’s Commissioning																
Cabinet lead: Cllr Asher Craig, Cabinet Lead for Children's services, Education and Equalities	Executive Director lead: Hugh Evans, Executive Director People																
Proposal origin: BCC Staff																	
Decision maker: Mayor Decision forum: Cabinet																	
Purpose of Report:																	
<ol style="list-style-type: none"> This report seeks approval to use the extension clause in the statutory SEND Information Advice and Support Service (SENDIASS) contract for 12 months until 31st of March 2023 at a cost of £140,000. Invoking the extension will take the total value of this contract over £500,000 and therefore requires Cabinet approval. 																	
Evidence Base:																	
<ol style="list-style-type: none"> Bristol City Council has a legislative duty under the Children and Families Act 2014 to provide impartial, confidential, and accessible information, advice and support to the parents of children with special educational needs and/or disability; as well as to young people (age 16+) with special educational needs and/or disability. This includes advice on education, social care and health related topics. This duty is met by the SEND Information Advice and Support Service (SENDIASS) contract held by SAY – SEND and You. The current contract is performing well. The service is delivering good outcomes for children and young people as well as their families and service users report very high satisfaction rates: 																	
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 70%;">Satisfaction</th> <th style="width: 15%;">Q1 & Q2</th> <th style="width: 15%;">Target</th> </tr> </thead> <tbody> <tr> <td>% of feedback obtained by telephone users that was satisfied or very satisfied</td> <td style="text-align: center;">98%</td> <td style="text-align: center;">80%</td> </tr> <tr> <td>% of (satisfied) feedback obtained by f2f users</td> <td style="text-align: center;">100%</td> <td style="text-align: center;">80%</td> </tr> <tr> <td>% of SU who have given feedback who report they are satisfied with the service</td> <td style="text-align: center;">97%</td> <td style="text-align: center;">90%</td> </tr> <tr> <td>% that could access the service when they needed and in the way they wanted</td> <td style="text-align: center;">96%</td> <td style="text-align: center;">90%</td> </tr> </tbody> </table>			Satisfaction	Q1 & Q2	Target	% of feedback obtained by telephone users that was satisfied or very satisfied	98%	80%	% of (satisfied) feedback obtained by f2f users	100%	80%	% of SU who have given feedback who report they are satisfied with the service	97%	90%	% that could access the service when they needed and in the way they wanted	96%	90%
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Only Q1 & Q2 are available because we are halfway through the contract year. Data is taken from most recent contract management report.

4. The current contract was awarded on 1st April 2019 and expires on the 31st of March 2022. We are proposing to use the contract extension to allow us to continue to meet this duty and to ensure that there is sufficient time in the recommissioning timeline to co-produce the service, enabling collaboration and co-production. Parents, carers and children and young people will be involved in the design of the contract and officers will work with individuals to produce a service that best meets their needs.
5. We have a statutory duty under the SEND Code of Practice 2015 to engage children and young people with Special Educational Needs and Disabilities and children’s parents in commissioning decisions, to give useful insights into how to improve services and outcomes.
6. Furthermore, the 2019 The Ofsted/Care Quality Commission inspection of Bristol’s SEND services and resulting Written Statement of Action commits officers to “... *Understand Bristol’s communities and their needs, so we can reach out and communicate more effectively with all parents and carers and young people, enabling genuine co-production and consistently purposeful engagement and collaboration ...*”
7. The 12-month extension will give officers sufficient time to undertake a formal consultation on the proposals for this service so we can meaningfully engage parent/carers, children and young people.

Cabinet Member / Officer Recommendations:

1. Authorise the Executive Director People in consultation with the Cabinet Member for Children’s services, Education, and Equalities to extend the SENDIASS contract for 12 months at a total of £140,000.
2. Note the ongoing progress towards a full recommissioning of the service.

Corporate Strategy alignment:

1. Empowering and Caring. The service will equip children and young people with the skills and tools to live fulfilling, successful and rewarding lives.
2. Fair and inclusive. The service will support children with special education needs to achieve their full potential.

City Benefits:

1. This service will improve outcomes for children and young people and their families by supporting them to understand their rights, engage with services and decisions about their care and empower them to challenge services where appropriate.

Consultation Details:

1. Consultation has taken place with the current provider and the relevant BCC SEND, legal and procurement staff members.

Background Documents:

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/398815/SEND_Code_of_Practice_January_2015.pdf

Revenue Cost	£ 140,000 for the extension £534,230 for total life of the contract	Source of Revenue Funding	Children’s Services: £42,642 Education and Skills: £54,716 BNSSG CCG: £42,642
Capital Cost	£	Source of Capital Funding	e.g. grant/ prudential borrowing etc.
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 funding required for the extension has been identified and agreed.

Finance Business Partner: Angel Lai, Finance Manager 2/12/2021

2. Legal Advice: The contract extension is provided for within the contract. Legal Services will advise and assist in relation to the contractual arrangements for the extension.		
Legal Team Leader: Husinara Jones, Team Leader/Solicitor 2/12/2021		
3. Implications on IT: As this is a continuation of an existing service, there is no anticipated impact on IT/Digital Services		
IT Team Leader: Simon Oliver, Director – Digital Transformation 07/10/2021		
4. HR Advice: This report seeks approval to invoke the extension clause in the statutory SEND Information Advice and Support Service (SENDIASS) contract for 12 months. There are no HR Implications arising from the proposals set out in this report.		
HR Partner: Lorna Laing, HR Strategic People Partner, Health & Social Care 07/10/2021		
EDM Sign-off	Hugh Evans, Executive Director People	13/10/2021
Cabinet Member sign-off	Cllr Asher Craig, Deputy Mayor and Cabinet lead for Children’s services, Education and Equalities	25/10/2021
For Key Decisions - Mayor’s Office sign-off	Mayor Marvin Rees	15/11/2021

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: SENDIASS Extension	
<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: Louis Davies Meyer
Service Area: Strategic Commissioning Children	Lead Officer role: Commissioning Manager

Step 1: What do we want to do?

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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.

This proposal seeks approval to use the extension clause in the statutory SEND Information Advice and Support Service (SENDIASS) contract for 12 months until 31st of March 2023. As the extension takes the total contract value above £500k additional Cabinet sign off is required.

Bristol City Council has a legislative duty under the Children and Families Act 2014 to provide impartial, confidential, and accessible information, advice and support to the parents of children with special educational needs and/or disability; as well as to young people (age 16+) with special educational needs and/or disability. This includes advice on education, social care and health related topics. This duty is currently met by the SEND Information Advice and Support Service (SENDIASS) contract held by Supportive Parents.

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 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.

Yes No [please select]

Extending the contract will mean that the service continues to run as it currently does for an additional 12 months meaning this proposal therefore will not impact on the services being received by children and young people. Equality impacts were considered when the contract was initially let.

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
2019/20 end of year contract management report	433 parents and families engaged with. 179 face-to-face/home visits. 24.1% of contacts are from Black, Asian or minority ethnic backgrounds.
2020/21 end of year contract management report	592 parents and families engaged with. 281 number of parent and families new to the service. 70 face-to-face/home visits. 17.3% of contacts are from Black, Asian or minority ethnic backgrounds. 11 parent carers engaged with who identify as SEN/Disabled <u>Education profile of children receiving the service:</u> 31 Early years 170 Mainstream primary 82 Mainstream secondary 14 Special school primary 12 Special school secondary
Additional comments: The service is designed specifically/ for children who are disabled or have an impairment. Children from a BAME background were overrepresented in this group during 2019/2020, this	

year's figures show a different picture. It would be good to understand why this may be. This will form part of our analysis when the service is recommissioned.

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

- | | | |
|---|--|--|
| <input type="checkbox"/> Age | <input 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 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.

We seek to ensure the service provider has better data with respect to protected characteristics, and a fluctuation of why some groups may not now be engaging with the service year on year. Currently the provider only collects race and ethnicity data. Better data collection will enable us to make more informed decisions about how any changes to the service will impact equality groups if the service provider contract could not be extended.

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.

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 have engaged with the current provider SAY – SEND and You (previously Supportive Parents) as well as our Legal, Procurement and Equalities teams. The director of Education and Skills, the Executive Director of People, the Cabinet Member for Children and Families, and Cabinet including the Mayor will be engaged with during the decision process.

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)	
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:	
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 current contract was initially awarded on 1st April 2019 and expires on the 31st of March 2022. We are proposing to use the contract extension to allow us to continue to meet this duty and to ensure that there is sufficient time in the recommissioning timeline to co-produce the service, enabling collaboration and co-production. Parents, carers and children and young people will be involved in the design of the contract and officers will work with individuals to produce a service that best meets their needs.

We do not believe there to be a negative impact on services users by extending the contract.

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:

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

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.

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: 
Date: 18 October 2021	Date: 23 rd November 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 December 2021

TITLE	Arts Council England extension funding for BCC museums 2022-23	
Ward(s)	<i>City Wide</i>	
Author:	Becky Peters/Victoria Harding	Job title: Senior Manager Culture & Creative Industries/Head of South West Museums Development
Cabinet lead:	CLlr Craig Cheney, Deputy Mayor Finance, Governance and Performance	Executive Director lead: Stephen Peacock, Executive Director Growth and Regeneration
Proposal origin: <i>BCC Staff</i>		
Decision maker: Cabinet Member		
Decision forum: <i>Cabinet</i>		
Purpose of Report:		
<ol style="list-style-type: none"> 1. To seek approval for receipt of an additional funding grant from Arts Council England (ACE) to invest in both the Bristol City Council (BCC) managed Bristol Museum service and South West Museum Development Sector Support service. 		
Evidence Base:		
<ol style="list-style-type: none"> 1. We are recipients of £1, 364,320 (Bristol Museums) and £540,240 per year (SWMD) as part of ACE’s National Portfolio Organisations (NPO). In 2020 Arts Council England took the decision to extend the NPO 2018-22 funding for an additional year (2022-23) due to the pandemic. No match funding is required from BCC to secure this investment. 2. The ACE NPO funding for Bristol Museums enables us to deliver significant engagement programmes for our citizens, these include the delivery of our schools programme, reaching 50,000 students annually (pre pandemic), participation programmes for young people such as the Young Collective programmes. We are also able to deliver Art Shed – an art on referral to support people with their mental health. In addition the investment supports the delivery of our exhibitions and events by working with local, national and international creatives and artists to deliver projects from Leonardo Da Vinci from the Royal Collection to commissioning artist collective Vanguard to deliver a bespoke exhibition about Bristol’s Street Art scene. 3. The extension of the funding is on the basis that organisations begin to transition towards the Arts Council England’s new strategy ‘Lets Create’. A draft business plan was submitted to ACE on the 15 September, with the full business plan required by the end of February 2022 that will include accompanying activity plan, budget and risk register detailing how we will be responding to the Arts Council England’ ten year strategy. The appendix included with this paper contains the draft business plans submitted on the 15 September 2021. 4. The 2022-23 funding will be used to change how we work, we plan to listen, explore, test, measure and learn across the year in order improve the quality of how we deliver our services, leading to a better quality experience for communities and stakeholders. In order to do this our working methodology will be to: <ul style="list-style-type: none"> - Be more process driven - making more time to examine how we are carrying out our work and make improvements for better results. - Be more outcome led - placing user needs first, then developing ‘products’ that best serve them. - Have more collective knowledge - learning from others inside and outside the organisation, developing a breadth of new skills and sharing our expertise wider. - Be more Community focussed - making steps to become more embedded in our community and continuing to invest in our digital communities. 5. The funding also provides significant investment into our workforce both covering salaries and enabling us to contribute to our workforce learning and development. 6. Throughout October 2021- February 2022 the service will be working together as well as with external partners to 		

develop the business plan for the delivery of the 2022-23 investment. During this time not only will we be ensuring that we ambitiously respond to the Let's Create strategy but ensure that the plans ensure that they embed both the BCC Corporate Strategy and One City Plan.

7. The Arts Council England's NPO Sector Support funding for South West Museum Development is a key function of our regional sector leadership driving resilience and excellence in the museum sector across the South West. South West Museum Development is networked with 16 further local authorities providing aligned funding and investment in the programme to support a framework of specialist officers addressing key sector development priorities such as volunteering and digital engagement.
8. The execution of the business plan throughout 2022-23 will be managed by the Culture Senior Leadership Team who will use the Service SMART Plan and Risk Register to monitor progress.

Cabinet Member / Officer Recommendations:

That Cabinet

1. Authorises the Executive Director Growth and Regeneration to submit the full business plan/s for Arts Council England National Portfolio Organisation extension funding for 2022-23 in consultation with Deputy Mayor Finance, Governance and Performance and if successful, accept and spend the funding for investment of £1,364,320 (Bristol Museums) and £540,204 (South West Museum Development) as outlined in this report, including procurement of and entering in to all necessary contracts, including where these are over £0.5K.

Corporate Strategy alignment:

1. Our approach to delivery of the 2022-23 plan responds to key features of the corporate plan. There is synergy between the BCC 'Building Blocks' and the principles of Let's Create strategy. The 'Development and Delivery' takes an outcome based approach with an emphasis on partnership working to deliver the best services which chimes with our 'Making great things together' - greater shared decision making and co-produced approach to our delivery. Our 'Team of Team's' approach aligns to 'World class employment' and 'Resilience', with a greater emphasis on embodying a goal driven organisation. It also acknowledges the breadth of talent and specialisms for greater cross-service working which will see us work towards a one team approach with the museums working alongside other teams and functions seamlessly.
2. The results of this method of change will support BCC key priorities including the delivery of children and young people, economy & skills, health, care & wellbeing, environment and sustainability and a development organisation. Some of our key commitments will generate better provision for families with SEN children, investment into the environmental justice programme, T-skills workforce learning programme and community based programming.

City Benefits:

The investment and recognition resulting from Arts Council England's National Portfolio Organisation enables us to continue delivering sector leadership and a world class museum service that is accessible for everyone. The investment ensures we can continue to respond to and meet the needs of both Bristol citizens as well as reaching out nationally and internationally to raise the profile of the city as one that is creative, caring, diverse and ambitious. The investment will directly and positively impact on the following:

1. Equalities - The funding supports service provision and opportunities for everyone to participate in culture through activities and programmes which celebrate us as a city of difference. Projects include delivery of Lampedusa Cross about migration and under the City of Sanctuary umbrella building on the recent Colston display informed by cross city conversations.
2. Health – The funding supports activity that encourages everyone to be creative or participate in cultural experiences which support wellbeing and tackle isolation. Next year the Grayson Art Club project will include workshops and activities both on site at the museum and out in communities creating more opportunities for everyone to be part of the 'Art Club' across the city .
3. Sustainability- The funding will enable us to become more of a learning organisation, increase our capacity to be data driven, increase our digital maturity and learn from our [BE IT](#) placement. The BE IT placement will work on our behalf to explore the views of other young people within, and external to, the organisation so that we can improve our service and more diverse employer in the city.

Consultation Details:

1. The draft business plan has been discussed within the Culture and Creative Industries service and the development towards the final business plan will be carried out through participatory workshops Oct 2021 – Feb 2022.
2. The draft business plan and cabinet paper have been reviewed and approved by Cllr Craig Cheney on 20 October 2021
3. We will be engaging with key partners to shape the business plan, these include community groups, youth boards, Museum Friends, Bristol Museum Development Trust, SW MD Strategic Advisory Group and colleagues within BCC such as neighbourhoods and economic development.
4. The plan will be discussed with our Arts Council relationship manager throughout the next process to ensure that it is

ambitious and reflects the Arts Council Let's Create strategy.

5. The plan will be informed by service data that includes; equality of life survey, visitor surveys and feedback forms, project evaluation reports, demographic and audience data, environmental reports, income data.

Background Documents:

[Bristol's Culture Strategy](#)

ACE ['Lets Create' Strategy](#)

Revenue Cost	£1, 904,524	Source of Revenue Funding	Arts Council England
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:

This funding is integral to how the council delivers these services and allows the council to continue to deliver best in class services and thus maintain access to this funding source.

This report seeks Cabinet approval to accept funding totalling £1,904,524 from Arts Council England (ACE). This funding will support the Bristol Museum service (£1, 364,320) and South West Museum Development Sector Support service (£540,240) for the 22/23 financial year. The funding is in line with funding awarded for 2021/22 and does not require any match funding from the Council to accept this grant.

Beyond 22/23 the council will be invited to bid for the next round of Arts Council Funding, this is likely to be 3-4 year funding and funding applications are expected in spring 2022.

Finance Business Partner: Kayode Olagundoye, Interim Finance Business Partner, 24 October 2021

2. Legal Advice: There are no specific legal implications arising from the application for funding. Legal Services will advise and assist in relation to the contractual arrangements for acceptance of the funding.

Legal Team Leader: Husinara Jones, Team Leader/Solicitor 4 November 2021

3. Implications on IT: I can see no IT implications in this proposal.

IT Team Leader: Gavin Arbuckle – Head of Service Operations, Digital Transformation 08 November 2021

4. HR Advice: The funding extension will support employment costs of Culture service staff to deliver the ambitions set out in the business plan and the Let's Create Strategy.

HR Partner: Celia Williams, HR Business Partner: Growth & Regeneration 02 November 2021.

EDM Sign-off	Stephen Peacock, Executive Director Growth and Regeneration	13 October 2021
Cabinet Member sign-off	Cllr Craig Cheney, Deputy Mayor Finance, Governance and Performance	21 October 2021
For Key Decisions - Mayor's Office sign-off	Simon Cowley, Policy Manager, Mayor's Office	15 November 2021

Appendix A – Further essential background / detail on the proposal	YES
Background Documents: <ol style="list-style-type: none"> Draft business plan Bristol Museums NPO 2022-23 Draft SWMD business plan 2022-23 	
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

LET'S CREATE

ACE NPO 2022- 2023

Let's give ourselves the space to listen, explore, test, measure & learn.

As a result we will have a plan that puts people and communities at the heart of the world-class collections and experiences.

OVERVIEW

The Covid-19 pandemic has driven a global crisis which is having a profound impact on health, the economy and the fundamental ways in which society operates. The implications of Covid-19 are being felt across Bristol, and will be for some time to come. However the pandemic has also shone a light on significant inequalities in our communities, these were highlighted during the summer of 2020 when the Black Lives Matter movement responded to the murder of George Floyd, and Bristol gained global attention for the toppling of Edward Colston's statue. This has been further emphasised during 2021 with a range of protests and gatherings across the city.

The financial and strategic impact on Bristol City Council, and the Culture and Creative Industries (C&CI) service which includes Bristol Museums has been, and will be, significant. However Bristol City Council was well placed financially to deal with the immediate challenges thrown up by the pandemic, due to significant levels of reserves, and has not had to make the budget cuts and redundancies that other Councils have had to make in the short term. The C&CI team continues to assess this impact and what it means for how we deliver the service, and particularly our museums, as well as the practical financial implications.

The C&CI service has grown significantly in recent years to encompass a wide range of functions and services. The public facing museum and archives teams have had specialist

teams added, providing valuable advice and capacity to Bristol's large cultural sector. In recent times more commercial ventures, including Bottle Yard Studios and the Create Centre, have also joined. In addition the service's responsibilities now include providing support to Bristol City Council's: [One City Culture Board](#), [Bristol History Commission](#) and Legacy Steering Group, amongst others. This recent growth of our service has provided us with unexplored opportunities for exploiting the breadth of talent and specialisms and greater cross-service working and we are working towards a one team approach with the museums working with the other teams and functions seamlessly.

The pandemic has highlighted further the inequalities within the workforce and we have been making steps to address this, such as our work with young people through apprenticeship schemes and the Young Collective programmes and [BE IT](#) placement. The latter will involve young people working on our behalf to explore the views of other young people within, and external to, the organisation so that we can become a better service and employer in the city. We are continuing to make steps towards making a more diverse workforce with a recent recruitment of Project Assistant from a Somali background to deliver our [Migration, Heritage and Belonging](#) project and are recruiting for a freelance curator, specifically from a South Asian background, who will deliver a display drawn from our British Empire & Commonwealth Collections, in autumn 2022. We will learn from these recruitments and hope to find further opportunities during 2022.

Going forward, the impact of the pandemic may result in further challenges for museums to operate, but it also provides a unique opportunity for us to play a tangible and sustainable role in the lives of the people of Bristol and the city-wide recovery process from that pandemic. We are already providing a range of high quality services, including digital and collections projects that are setting a national lead.

1. SERVICE STRATEGY

During 2021-2022 we undertook a review of our previous ACE business plan (2018-22) to ensure that it was still relevant and realistic and could respond to the challenges of the pandemic. Following a series of workshops with team managers, we created a new service strategy '*Plan on a Page*' (see appendix). The strategy responds to [Bristol City Council's corporate strategy](#), and reflects key features of [Bristol's One City Plan](#), and [Bristol's Culture Strategy](#). Arts Council England Let's Create strategy will also be embedded into this strategy as indicated in *illustration A*. The *Plan on a Page* and its delivery will be reviewed annually by our service and with key stakeholders including Arts Council England.

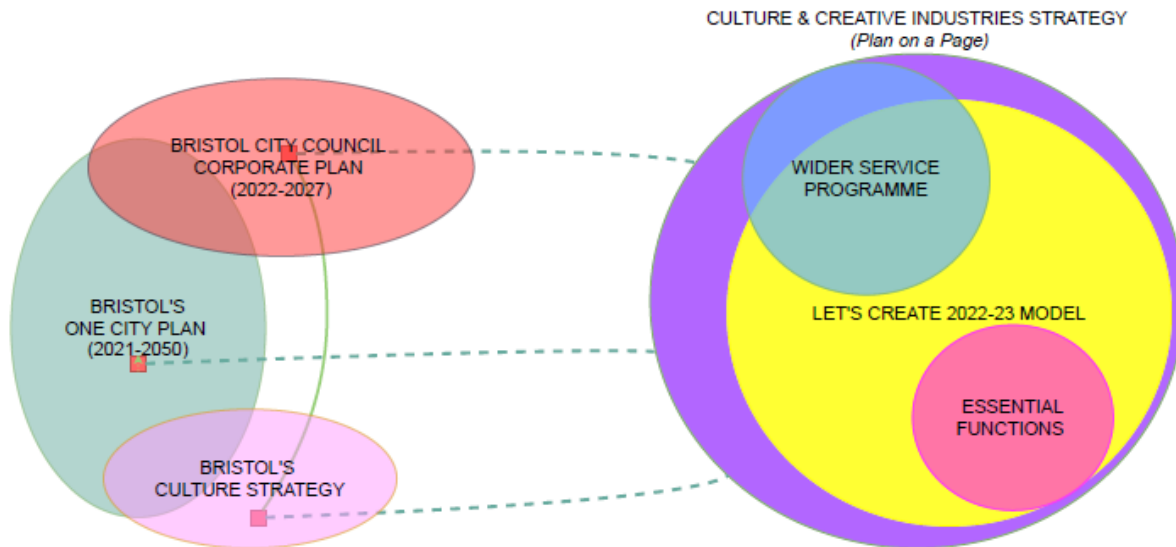


Illustration A

1.2 Service SMART Plan (Aims)

1. Places service users at the centre of our decision making through innovative engagement and a data-informed approach.
2. Delivers and invests in high quality cultural activity that celebrates the story of Bristol and attracts local, national and international audiences.
3. Proactively manages historic buildings and world class collections, making them accessible and relevant to everyone.
4. Challenges inequality and ensures diverse groups are represented, empowered and have a voice.
5. Invests in developing a diverse workforce which is highly skilled, creative and resilient.
6. Actively contributes to the city's economic recovery and regeneration, which addresses issues of inequality and wellbeing.
7. Demonstrates sector leadership locally, nationally and internationally.

- 8. Develops innovative responses to the ecological and environmental emergency.
- 9. Influences, supports and advocates on behalf of the wider culture and creative industries across the city and at regional level.
- 10. Maximises commercial opportunities and appropriately manages risk to deal with the impact of change.

The SMART plan (10 service aims) will be delivered through the Let's Create model as demonstrated in the illustration below.

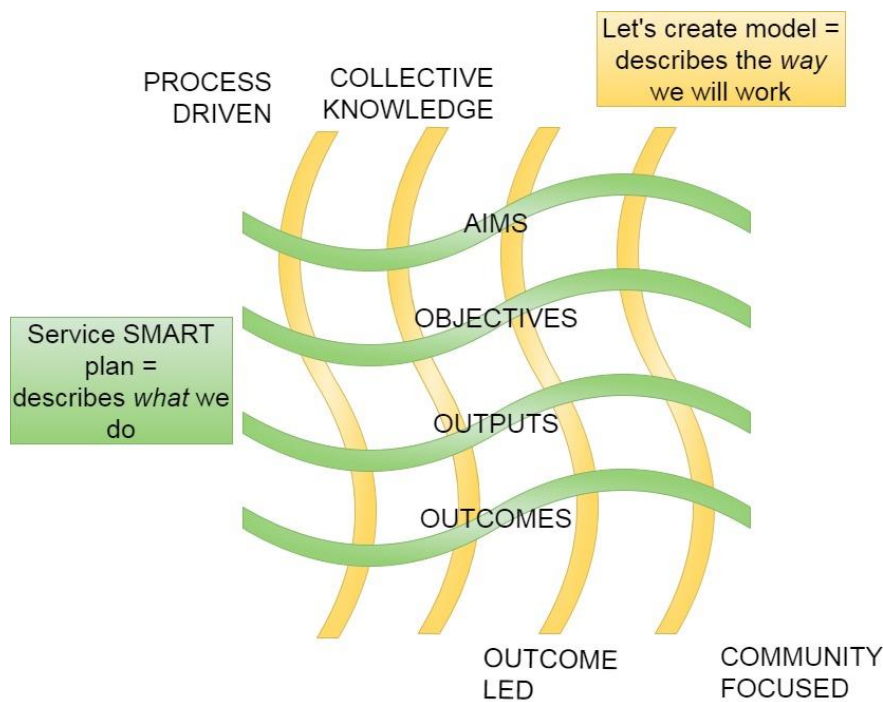


Illustration B

2.LET'S CREATE MODEL

2022 -23 will be a year for us to listen, explore, test, measure and learn. In order for this to be achieved we aim to review and reduce some of our activity and invest more into our people and working culture. We will test the Let's Create model across our whole service, and hope by doing this we will improve the quality of *how* we deliver our services, leading to a better quality experience for communities and stakeholders.

The Let's Create model will be resourced with a multidisciplinary team, drawing expertise from across the service and beyond to extend the 'team of teams' approach, by this we mean teams that are formed around a common goal and the makeup of the team may not be based on their position or function. The team will embed the cyclical process associated with agile project management into their planning, delivery and evaluation.

The following methods and methodologies form our Let's Create model and they intend to reflect and deliver upon the four investment principles; Quality & Ambition, Dynamism, Environmental Responsibility and Inclusivity. These will be reviewed and refined as part of the workshops that will be carried out October 2021 - Jan 2022 with the workforce and with key stakeholders including our major funder Bristol City Council.

2.1 Methodology

- We will move to being more **process driven** - making more time to examine how we are carrying out our work and make improvements for better results.
- We will become more **outcome led** - placing user needs first, then developing 'products' that best serve them.
- We will move to having more **collective knowledge** - learning from others inside and outside the organisation, developing a breadth of new skills and sharing our expertise wider.
- We will be more **Community focussed** - making steps to become more embedded in our community and continuing to invest in our digital communities.

2.2 Mechanisms

Being a Team of Teams

Develop and extend the roles of our working groups, leading towards a goal driven workforce structure.

- Goal-focused team structures focussed on delivering the 10 service aims.
- Increased cross-discipline skills service wide; project management, digital, communication, leadership, mentoring.

- Being more supportive to each other and sharing knowledge inside and outside of the sector.

Making great things together

Develop a co-production framework that allows time and investment into getting our partnerships right.

- Improve the way we contract people including greater sharing of power and decision making with our creative partners.
- A systematic way in how we carry out consultation with greater opportunities for communities to be involved in all aspects of our service.
- Apply a risk embracing 'scratch process' to our activity by inviting creatives to share ideas and unfinished 'products' with our audiences at an early stage to get feedback and then develop further.

Let digital do the work

Invest in developing a system that improves the collecting, monitoring and sharing of our data from audiences to the environment.

- Improve our communications with stakeholders around our performance through an open dashboard.
- Improve software and hardware efficiency and invest in training and expertise to make digital work harder for us.
- Have a better understanding of our users through improved interrogation of our data collection.

Having time to talk

Review our activity to invest more in bringing people together to reflect and respond to city and world events.

- Create more ways to share skills and expertise and enable collaboration through 'big' city conversation forums.
- Reflect local and global events and trends by developing a more rapid response framework.
- Consultation with users and non users to support future planning of our service.

Tell a big story

Focussing on one story that can deliver across multiple service aims from inclusion to income generation.

- Goal and outcome driven programming focussed on meeting the 10 service aims.
- Better reach and relevance across the city with investment into community-based programming.
- Review the opportunities for how audience development can drive profile and revenue.
- Test and refine a 'one story' approach to create a programme that delivers across service areas, to improve our brand and work more efficiently.

2.3 Essential functions

Visitor experience

We will focus on providing the best service to the communities we serve, for us this means everyone we engage with from general visitors, to schools pupils and those that hire out spaces. The last two years have been challenging operationally and we want to use the year to ensure that we learn from our communities and audiences what makes the best museum visit and create a plan for us to get there, this includes working with [Forging our Future](#) to make improvements to the accessibility of our museums from marketing to inclusive seating.

It is anticipated that improving the visitor experience will have a positive impact on our income streams. We also know that we will need to work hard to return and increase our commercial income streams on pre-pandemic levels. Guided by a recent review, carried out by consultants Black Radley, we will look to rework our proposition to protect existing commercial income and build new ones. Via our commercial working group we will continue to test and learn from commercial interventions with a focus on the visitor journey. We are already seeing significant improvements on spend/ donation per head. This coupled with increasing footfall and a refreshed fundraising plan will help us to continue to deliver quality services.

Museum sustainability

We will be making sure that our museum buildings are looked after so that they are fit for the future, which includes a successful MEND funding application that ensures the secure future of Bristol Museum & Art Gallery. We will also need to progress more rapidly our environment action plan, through greater investment of our time, and inviting in expertise to see how we can go further in our commitments and play a greater role in educating others.

A key project for 2022 will be Think Global Act Bristol which will not only be a project that supports our audiences to make a difference in their own lives and communities but also provides us with the platform to review changes we need to make within our own buildings and delivery of services.

Museum future and relevance

We will continue to invest resources into the collections most at risk and our work to improve long term storage provision and access to those collections. We will also prioritise the research, development work and digitisation of the collections that link to decolonisation, and the ecological and environmental crisis. The collections offer a unique opportunity to enable members of the Bristol community to gain a greater understanding of how Bristol has developed as a city, the role and context in which it has developed with regard to a colonial past and how coming to terms with that past can contribute to a shared more harmonious future for both communities locally and internationally. Through new targeted collecting, working collaboratively with those communities, the relevance and importance of the collections will be further enhanced. The collections will be used to raise the profile of the need to address

environmental concerns as a further pressing issue for society. Developing the staff team and the concept of the team of teams will be key.

2.4 - Wider programme

Our Museum service is part of a larger wider cultural service and this provides us with a wealth of expertise from wider arts and culture sectors to add value to our work and successfully embed the Let's Create model across the service. For example the [Create Centre](#) and [Bristol Regional Environmental Records Centre \(BRERC\)](#) will be instrumental in the specialist advice and data for us to be able to deliver against the environmentalism principle. Both [Bristol Archives](#) and [British Empire & Commonwealth Collections](#) have significant assets that we would be utilising to tell the Bristol story and successfully move forward our decolonisation work. The reach and profile of [Bottleyard Film Studios](#) in South Bristol alongside the work of the Arts Development and city Events & Festivals teams will support our community based programming.

3. BUDGET

The Culture and Creative Industries service sits within the Growth and Regeneration Directorate of Bristol City Council, a local authority providing a range of public services to a core city with a population in excess of 450,000. The revenue budget of the Council for 2021/22 is in the region of £424 million.

We have developed the NPO budget to reflect our current allocated ACE NPO annual funding of £1,364,320.00. The draft structure of the NPO budget reflects the changes to how we want to work as a service with reduced activity through combining projects to deliver against the same objectives. There are some budget allocations that are carried over from previous budgets due to existing contracts or are key service deliverables i.e schools workshops. The NPO budget will be refined during Oct 2021- Feb 2022.

Some assumptions and adjustments we have made at this point:

- We expect Bristol City Council investment that supports the delivery of our museum service, to move towards the pre-pandemic level but allows some security as we continue to build back to our pre-pandemic earned and contributed income levels.
- We have taken guidance from our consultants Black Radley alongside our third party hospitality operators to forecast earned income levels, this will be reviewed during Oct - Feb 2022 as part of our commercial recovery work and in relation to the continued impact of the pandemic.
- The budget reflects changes to workforce salaries since 2018, which include changes to posts and local government pay increase from April 2021 of 1.75%.

- The budget reflects some adjustments to supplies and services, with the aim that by bringing projects together as part of the Let's Create model will enable us to make our resources go further.

4. RISK

4.1 Financial Risk Management

Our financial management is operated through Bristol City Council finance systems and is compliant with their procurement, reporting and audit procedures. Significant spend over £100,000 is reviewed by our division Service Director. We generate financial forecasts and reports on a monthly basis and have two named BCC finance officers who help compile and check figures. We provide detailed management accounts monthly to both ACE and BCC as well as update quarterly on our activity and risks.

4.2 Bristol Museums Senior Leadership

One forthcoming change we have referred to in the risk register is the restructure of our Senior Leadership Team. The review and restructure has been discussed with colleagues from ACE and is a critical first step in the wider repositioning of the service. This new Senior Leadership Team will create three new posts to provide robust leadership for the service. A consultation process around the restructure is underway. The restructure will result in the appointment of a leadership team that will have an extensive range of skill sets and expertise in strategic and operational management. One of the roles will be dedicated to the day to day management of the Museums within the service. The Head of Service, Jon Finch will oversee this process and this team will be in place for the start of the financial year in 2022.

The service will continue to work closely with, and secure support and expertise, from our colleagues across the Council to assist in the delivery of the priorities outlined in Let's Create, and the City Council Corporate Strategy. This will include partnerships with Council teams representing economic development, neighbourhoods, regeneration, libraries, public health and social care.



V3 Draft Business Plan

South West Museum Development

2022 - 2023

V3: 13 September 2021 (submitted)

Date of Review: Interim Team Review 3 September 2021

Date of review: Strategic Advisory Group 8 September 2021

External review: HBRL 8 September 2021



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Introduction

This business plan sets out our ambitions, priorities and programme of work, including, but not limited to, our Arts Council England (ACE) funded Museum Development activity for 2022-23. We will continue to focus on delivering impactful development services to the sector, paying close attention to how the pandemic has impacted both the sector and the communities they serve.

2022-23 will continue to be a period of transition and change for all of us and this will influence our priorities and the manner in which we deliver development support. It is important to recognise that the ongoing impact of the pandemic will affect our own team, the museum sector and the audiences and communities they serve. The ongoing funding uncertainty due to post-Covid commercial recovery, alongside the extension of targeted government interventions such as the Job Retention Scheme, will place additional pressures as organisations strive to adapt. Capacity continues to be an issue, both for the sector and for the volunteer workforce. The environment in which we all operate continues to be complex and will affect the sector in different ways over the coming year. This will require clarity in our vision, agility in our approach, and investment to ensure that we are maintaining our impact.

Museum Development exists to support museums and heritage organisations to develop and improve across all areas of their operation. At South West Museum Development we provide trusted, local and relevant development services to support museum and heritage organisations to improve, innovate, collaborate and celebrate. We understand the specific context and priorities of museums at both a regional and local level. We work with partners to maximise our impact and to advocate the value of museums and heritage widely on their behalf.

Throughout the pandemic, South West Museum Development established itself as a first port of call for many museums. Our national connections and sector knowledge enable us to interpret and broker national opportunities ensuring they are relevant to local museums, to provide practical assistance and, as a result of this development support, increase access to funding, resources, skills and expertise for museums across the region.

This business plan is foremost a document for South West Museum Development, to guide our activity and assist us with prioritisation and the best use of, predominantly, public resources. Alongside annual Museum Development funding of £540,000 secured each year from Arts Council England, we aim to raise further funding from additional sources to maximise investment in the sector. This plan is also used, alongside our activity plan, to report to Arts Council England and other funders. Our business and activity plans are reviewed every three months to enable us to map progress, respond to challenges, adapt, evaluate and maximise opportunities that can further our Vision and Mission working with museums and partners for greater impact

Context

The national Museum Development programme was established in 2006. The National Development Agency for museums, Arts Council England, directs Museum Development funding in England through a network of nine regional providers. This funding is focused on building the resilience and ambition of non-national museums across England and those not already in receipt of funding as one of the Arts Council’s National Portfolio Organisations. Further information on the Arts Council England’s targets for Museum Development are presented on page 11.



Arts Council will maintain investment of £23.8 million in 2022-2023 to National Portfolio Organisations (NPO) in the South West; £4.8 million is invested in the South West museum sector; South West Museum Development receives funding of £540,000 each year



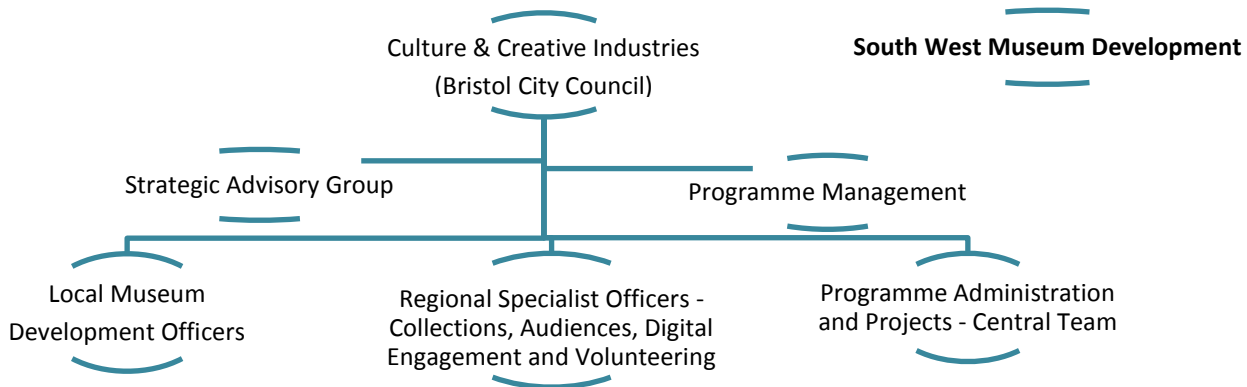
Across the three years 2018-2021 we have generated an additional £924,000 - Equivalent to 90p for every £1.50 (2:3) of Museum Development funding awarded by Arts Council England



Our additional funding has been generated from local authorities, grant-giving bodies including National Lottery Heritage Fund, Art Fund and Historic England, and income from commercial contract activity which we reinvest in development support for South West museums

South West Museum Development is hosted by the Cultural and Creative Industries (C&CI) department of Bristol City Council. The Bristol City Council-employed team members of South West Museum Development are located across the South West from Plymouth to Gloucester. Our Conservation Development Officer is hosted by Royal Albert Memorial Museum through Exeter City Council, and a further six Museum Development Officers (MDOs) are hosted by local authorities (LAs) or partner organisations across the region¹. Together we form the workforce of South West Museum Development, delivering sector support and development services to museums across the region.

Strategic expertise and direction for the programme is provided through a [Strategic Advisory Group](#). Led by our Chair, Stephen Boyce, membership of the group reflects expertise and experience in key areas of priority such as fundraising, natural environment and academic research.



¹ SW MD funding is allocated to MDO posts employed by Wiltshire Council, Dorset Council, South West Heritage Trust, Exeter City Council, North Devon Council and Cornwall Museum Partnership.

Vision, Mission, Values

Our Vision

Working together for diverse, inclusive and inspiring museums relevant to the lives of the diverse communities they serve

Our Mission

We are museum and heritage development specialists working with the museum and heritage sector in the South West of England to effect positive, lasting change and deliver public value
Together we create opportunities which build confidence and skills, encourage innovation, and celebrate our heritage and culture.

Our Values

Relevant - operating a flexible, responsive and forward-thinking development service

Evolving - building on our, and others' experience to effect positive and lasting change

Collaborative - creating and engaging in partnerships to maximise impact

Inclusive - putting an inclusive culture at the heart of our work and engaging with empathy

Trusted - operating with fairness, transparency and openness

Environmentally aware - conscious of our impact and prioritising a reduction in our environmental impact

Our principles and the benchmarks by which we measure our performance

As we deliver our programme of work and make decisions we will be guided by the values which underpin our Vision and Mission. During 2021-22 we have worked as an organisation to hone our approach to evaluation and to understand in more depth the positive and lasting change we are seeking to make with museums and the diverse communities they serve. We have mapped our work using a Theory of Change methodology which sets the impact of our work in the context of the place and people of the South West region. During 2022-23 we will continue to develop our approach and systems to communicate and measure the impact of our work.

We will be guided in our actions and priorities for our work by applying the following principles:

External considerations:

To be trusted advisors to museums and heritage

To create resources and tools which evolve out of our shared learning and development activity

To provide a credible source of sector intelligence

To embed the urgency of action required on inequality and support others to do the same

To be an effective advocate for the role museums play in contributing to a better and fairer society

To ensure that museums acknowledge and address the climate emergency in planning their work

Internal considerations:

To have the capacity to share and celebrate our practice and success alongside the museums we work with

To communicate and measure the impact of our work

To generate space in which to develop creative and innovative solutions to challenges

To ensure that our work is understood, valued and acknowledged

Our Strategic Aims



To be connected and networked; we coordinate and collaborate for greater impact and positive change



To build capacity through effective skills development, enabling us to increase the confidence, capability and wellbeing of the museum workforce



To use credible sector intelligence and insights in order to communicate and amplify recognition of the value of heritage and collections to society



To acknowledge the climate emergency and take an active role in the green recovery



To prioritise opportunities that increase inclusion and tackle inequality



To be connected and networked; we coordinate and collaborate for greater impact and positive change

Why is this our priority?

Together we are stronger, more sustainable, more effective and create greater impact. Museum Development regionally and across England plays an important part in connecting sector support to achieve greater impact at a local level. We work nationally as part of the Museum Development England network and alongside fellow sector support organisations. Our role in brokering with these, and other, organisations is to inform the content of programmes and ensure that they address the priority needs and reflect the operating context of the museum sector in the South West.

What will we do and what measures will show that we have made a positive difference?

We will:

- work in partnership with national, regional and local providers to co-develop, promote, broker and deliver relevant high quality development opportunities for museums (A)
- invest in and deliver through area networks to encourage sustainable local access to information and expertise (B)
- to raise standards through effective delivery of Technical Accreditation Advice² service in the region (C)
- identify and understand the priority needs of museums to inform effective development services (D)
- identify, develop and secure inward investment for collaborative projects that enable heritage to be better understood, cared for and shared, thus making a positive impact on skills and resilience (E)
- Provide high quality communications through a process of sourcing, selection and consolidating relevant specialist sector information and guidance, targeted at South West heritage and museum audiences (F)

How and who?

- A. Our specialist officers will work with national and regional **sector support organisations and partners** to share their understanding, knowledge and practice of regional needs and context, adding value to these opportunities for museums and heritage organisations in the South West of England
- B. We will invest in the local **Museum Development Officer network** to enable a trusted, independent source of credible information, inward investment, guidance and access to further sources of expertise across the region
- C. Provide timely and high quality **Technical Accreditation** Advisory service and raising sector standards
- D. We will collaborate with **Museum Development England** to enable effective development, commissioning and delivery of services alongside networking and prioritisation to provide greater impact of Museum Development for all museums across England³
- E. We will coordinate, design and **secure funding** for projects⁴ which enable practice-based opportunities and deeper investment for participant museums and the wider sector to address priority development needs
- F. Working in collaboration with our specialist development officers and local Museum Development Officers, our Programme Coordinator will lead and **deliver high quality communications** targeted at our sector audience through the production of online content developed by our team.

² We will respond to the ACE's SMART objectives for the delivery of Technical Accreditation Advice service.

³ We will adopt the MDN Organisational Health Check national programme to support prioritisation and the measures will respond to ACE's SMART objectives, reaching a minimum of 12 museums each year.

⁴ Our income target for project funding is an average of £50,000 each year.



To build capacity through effective skills development, enabling us to increase the confidence, capability and wellbeing of the museum workforce

Why is this our priority?

Capacity building through skills development is critical to an effective and healthy sector that is able to realise its potential. The fast pace of change in our world requires an ever-expanding range of skills and knowledge. Our position as a regional sector support organisation allows us to maximise skills, fuel networking and facilitate access to expertise for the sector through local, regional and national collaborations. Between May 2020 and March 2021 our Museums Skills programme engaged 900 paid staff and volunteer delegates.

The South West museum sector's workforce is mainly comprised of volunteers, with a ratio of eight volunteers to every one paid member of staff ([Annual Museum Survey 2020](#)). Supporting skills and confidence in the volunteer workforce is critical to volunteer retention, diversity and the quality of volunteering. It is also a primary driver for young people whether they are seeking to work in, or beyond, the museum and heritage sector. We will continue to be mindful of all forms of accessibility, responding to physical, digital and neurodivergent requirements to ensure that our services adapt to the needs of the sector's workforce.

What will we do and what measures will show that we have made a positive difference?

We will:

- deliver a diverse and engaging programme of training in terms of topics and delivery methods, reaching over 500 delegates, representing a minimum of 70 museum organisations, in each year. We will measure the impact of our training and skills with the target of 70%⁵ of delegates having developed new or improved skills and 60% going on to have applied this practice within their museum (A, C)
- in response to the impact of the pandemic we will work with 15 museum organisations, strengthening their infrastructure to support a sustainable volunteer workforce and rewarding experiences for volunteers (B)
- facilitate a range of forums which bring together communities of practice in line with our priority themes of Volunteering, Digital Engagement, Conservation and Audience Development (A, C)
- evaluate the impact of our networks to understand how staff and volunteers feel connected, supported and informed; building confidence, capacity and wellbeing (C)
- develop and implement an accessibility code to ensure that our skills and training services address access needs (C)

How and who?

- A. Our specialist officers will continue to develop and deliver high quality training and specialist forums through the **SW Museum Skills programme** alongside regionally coordinated administration of the scheme and a dedicated budget for commissioning quality training providers
- B. Our specialist officer for **sustainable volunteering** will provide expertise and identify opportunities for increased investment to support rewarding volunteering experiences, sustainable capacity and measurable progress in the increased diversity of volunteers in the sector
- C. Our programme officer, working with our programme coordinator, will **administer, evaluate and adapt** our skills, forums and networks to meet the priority training needs and accessibility requirements of the sector's workforce

⁵ Skills targets are linked to ACE's SMART objectives for Museum Development.



To use credible sector intelligence and insights in order to communicate and amplify recognition of the value of heritage and collections to society

Why is this our priority?

Museum Development has a critical role to play in articulating how museums in the region, and across England, contribute to a sustainable society - economically, environmentally and socially. We will coordinate credible and representative sector data insights. Applying these insights, along with our deep understanding of the sector, we will effectively influence policy and sustainable investment in the sector for the benefit of the communities they serve. Together we will advocate for the importance of our heritage and collections to celebrate our region's precious natural environment, intangible heritage, sense of place and belonging that enriches all of our lives.

What will we do and what measures will show that we have made a positive difference?

We will:

- deliver conservation and collections care development services to enable museums and heritage organisations to better care for and celebrate the value of their collections and to engage and inspire communities (A)
- provide a programme, South West Visitor Insights, that is fit for purpose and adaptable for museums seeking to develop effective visitor evaluation, audience development and community consultation (B, C, E)
- provide digital engagement development services to support digital infrastructure and progressive methodologies which reach and engage online audiences effectively, thereby raising awareness of, and appreciation for, heritage collections (D)
- lead and operate the national Annual Museum Survey programme, generating a primary source of representative non-national sector data on museums in England, and supporting organisations to apply these insights and improve benchmarking and sector advocacy (E)

How and who?

- A. Our Conservation Development Officer will provide **conservation and collection care expertise** to 100 museum organisations through training, networks and projects, creating increased capacity in the sector to better care for, and enhanced collections
- B. Through engagement with the **South West Visitor Insights** programme participants we will be able to evidence the change in, and diversification of, their audiences, and embed this good practice. This process will directly support the resilience of organisations whilst making a sustainable impact on increasing inclusion and relevance
- C. Bringing together **data insights** (sector and locality specific) we will support museums and heritage organisations to engage (and evidence that they are engaging) a wider range of people in museums and heritage
- D. Our Digital Engagement Officer will provide **digital engagement expertise** alongside identifying emerging priority needs and opportunities for collaboration to enable increased investment, diversify online audiences and build sustainable digital capacity in the sector
- E. Our Programme Manager, in collaboration with our Data and Research Assistant, will continue to lead and operate the **Annual Museum Survey** on behalf of Museum Development England, achieving a national statistically representative sample, engaging 65% of eligible museums in the South West region, generating research findings and insights that can be adopted nationally, regionally and locally to support the resilience of the sector and demonstrate its impact



To acknowledge the climate emergency and take an active role in the green recovery

Why is this our priority?

The climate emergency is the most significant challenge facing society today. The cultural sector has a responsibility to reduce its own carbon footprint. Museums and heritage organisations also have a distinct opportunity to provide a space for, and contribute to, the wider debate on the impact of the climate crisis through their collections on topics such as the reduction in biodiversity, increase in waste materials and energy use. South West Museum Development will ensure that all our decisions, our investment and our own activity take advantage of this opportunity alongside taking action to minimise our own carbon footprint in delivering our service.

What will we do and what measures will show that we have made a positive difference?

We will:

- embed a renewed commitment to reduce our own carbon footprint in delivering our work and prioritise investment where participants are seeking to take, or have taken, action to reduce their carbon footprint (A, B)
- collaborate with partners to enhance access to guidance, investment and opportunities for museums and heritage organisations to mitigate their environmental impact (C)
- promote initiatives which enable museums to educate and advocate for greater awareness of the impact of climate change and effective action (B, C, D)

How and who?

- A. We will train our team in **Carbon Literacy** and use this knowledge to reduce our own carbon footprint
- B. We will utilise our programme of **training and grants** to demonstrate and advocate the need to **act on** the climate emergency and share practice which increases engagement in the green recovery
- C. We will deliver, in partnership with Museum Development England, the **Roots and Branches** programme⁶ working with the **Carbon Literacy Trust** to enable museums to assess carbon emissions and take positive action to mitigate and reduce emissions and engage in the debate to support positive change
- D. We will build on existing work with **natural science collections** to unlock biodiversity data and engage broader debate on the reduction of biodiversity resulting from the climate emergency and its impact, using these collections as a catalyst for positive action on climate change

⁶ We will collaborate with North West Museum Development as the lead for Museum Development England in the Roots and Branches project, to increase carbon literacy and direct our own funding, alongside seeking other sources of investment, to support museums to actively reduce their carbon footprint.



To prioritise opportunities that increase inclusion and tackle inequality

Why is this our priority?

Museums exist to educate, entertain and inspire us all. Through their collections, museums can provide perspective, a sense of community and a place for healing, promoting understanding and learning from the past. The amplification of political and cultural tensions with widespread public debate around Black Lives Matter and gender equality continues to unfold alongside the continuing impact of Covid-19 which disproportionately affects people from minority ethnic communities, lower socio-economic groups and old people. Our sector has a responsibility, as well as an opportunity, to play an important part in shining a light on key issues about race, gender, class and environmentalism, and to support our communities to find opportunities for common ground and a fairer future.

What will we do and what measures will show that we have made a positive difference?

We will:

- work in collaboration with our Strategic Advisory Group and Bristol Culture & Creative Industries service to build confidence and capability in our own workforce to support the sector to act on issues of inequality, diversity and inclusion (A, B)
- create new, quality opportunities for diversifying our workforce to better reflect the communities we serve (C)
- increase accessibility - physically, digitally and taking account of neurodivergence - we will raise awareness of access standards throughout our work, our partners' work and where we make investments such as through our projects and grants (D)
- work in collaboration with our fellow Museum Development partners to build confidence and capability in the sector to act on issues of inequality, diversity and inclusion, to reduce barriers and evidence this change individually and organisationally (E)
- map tangible indicators of progression in the sector to increase the number of museums recording protected characteristics for staff and/or volunteers and undertaking equity and diversity planning and activity⁷ (F)

How and who?

- A. Dedicate time, working individually and collectively, to develop our workforce to **achieve clarity, build confidence and capability** on issues of inequality, diversity and inclusion to ensure we can identify and act upon these issues to support positive change
- B. Develop our response to **Let's Create** at a governance and team level to ensure that our programme is able to respond effectively to, and advocate for, the values set out within its four investment principles
- C. Enhance equality and diversity in our recruitment processes and invest in new, quality opportunities to **diversify our own workforce** through paid, volunteer and freelance opportunities
- D. Utilise our programme of **training and grants** to prioritise investment in, develop awareness of, and confidence in, implementing and sharing practice which increases inclusion and tackles inequality
- E. Our national **Museum Development collaboration**⁸ will maximise opportunities for capacity building to enable museums to increase inclusion and engage in activity which supports positive change
- F. We will use our **sector insights** to support organisations to increase their development of equality and diversity planning and activity and recording of protected characteristics for the workforce within our grant and project investment conditions

⁷ Targets will form part of national ACE's Museum Development reporting to include museums addressing inclusivity in their programming and practice; the number of museums supported to learn, change and embed inclusivity and diversity in response to *Let's Create*.

⁸ SWMD is a partner in the national EDI programme, led by West Midlands Museum Development, seeking to develop sector confidence and capacity in EDI

Measuring our Success - At a Glance⁹

Connected and networked

1. The national MDN Organisational Health Check will be adopted to support prioritisation and the measures will respond to the ACE's SMART objectives, reaching a minimum of 12 museums each year†
2. Accreditation advice and reviews and recommendations of museums' eligibility to apply to join the scheme are carried out by Museum Development as outlined in ACE's updated '*Museum Development and Delivery of Accreditation Advice 2020-22 Briefing Note*†
3. Our income target for project funding is an average of £50,000 each year*



Capacity building

4. Maintain our position as primary sector training provider for the region with a reach of over 500* delegates, representing a minimum of 70 museum organisations, accessing skills and training provision delivered, coordinated or commissioned by SW Museum Development†
5. In 2022-23 we will develop and apply an accessibility code to ensure that 100% of our skills and training addresses access needs by 2023
6. Apply the standardised national Museum Development evaluation methodology (70% have developed new, or improved existing skills, of which 60% implement practice), meeting our Arts Council SMART funding targets†
7. In response to the impact of the pandemic we will work with 15 museum organisations strengthening their infrastructure to support a sustainable volunteer workforce and rewarding experiences for volunteers



Sector insights and value

8. Deliver conservation and collection care expertise to 100 museum organisations through training, networks and projects. The impact of engagement will be measured through skills evaluation, project evaluation and our Theory of Change programme
9. Operate the Annual Museum Survey 2021, achieving a national statistically representative sample, engaging a minimum of 65% of eligible museums in the South West region*†
10. A cohort of 15 Accredited museums will have access (alongside operation as a consultancy service) to South West Visitor Insights* to evaluate and evidence audience engagement, providing a baseline from which to measure whether a wider range of people have engaged
11. Provide digital engagement development services to support digital infrastructure and progressive methodologies which reach and engage online audiences effectively, thereby raising awareness of, and appreciation for heritage collections, reaching 15 museum organisations



Climate emergency

12. Increase carbon literacy and direct our own funding, alongside seeking other sources of investment, to support museums to actively reduce their carbon footprint and support communities to engage in the debate on the climate emergency.* We will establish a sector baseline and enable 10% increase in museums to achieve certification in carbon literacy



Inclusion and equality

13. Establish a robust baseline with priority museums, then we will support 8 museum organisations to develop existing or introduce new actions to support equality, diversity and inclusion†
14. Invest in and support participant museums to learn, change and embed inclusivity and diversity and will publish ten case studies to highlight and share learning†
15. Embed inclusion and equality capacity building in our skills and training, our small grants and our grant funded projects, maximising all opportunities to effect positive change



⁹ †Nationally consistent programme SMARTS for Museum Development with regionally agreed targets. *The targets highlighted with an asterisk include activity delivered through aligned funding and income generated through contract work.

Programme Budget 1 April 2022- 31 March 2023

Income Headings

Arts Council England Regional Museum Development annual grant	£540,200
<i>Local Museum Development Officer income (aligned match funding)</i>	<i>c. £120,000</i>
Local Museum Development Officer income (payments via Bristol City Council)	£31,600
Digital Leadership income	£7,000
Contract income	£56,100
Project grant income	£50,000
<i>Additional external project expenditure (based on annual target)</i>	
Total income	£684,900

Expenditure Headings

Specialist Officers: Conservation, Digital, Audiences and Volunteering	£172,200
Local Museum Development Officers	£165,000
Programme management and national working	
£65,800	
Programme governance	£14,700
Regional coordination, projects and networks	£42,000
Small grants and projects including grant administration	£51,000
Skills, events and communications	£42,900
Research, evaluation and systems	£56,500
Operational costs and contingency	£24,800
Project grant expenditure	£50,000
<i>Additional external project expenditure (based on annual target)</i>	
Total	£684,900

Risk Management

Risk	Threat Risk Description	Key potential causes	Key consequence	Impact category	Past Threat level 0-5	Current Threat Level 0-5	What we are doing to reduce risk	Financial Risk Level 0-5
Capacity	Capacity core programme changes in key staff in terms of capacity or specialist expertise	Increased workload, reduction in satisfaction, new opportunities or progression	Unable to achieve programme targets, increased capacity for recruitment, reputational damage due to service interruptions	Financial and Reputational	0	3	<p>Increased work plan mapping. Setting realistic targets for engagement in consultation with thematic officers</p> <p>Improved process for central team administration capacity assessment</p> <p>Working closely with Bristol City Council HR to ensure wider support is in place for the team. Ongoing stress risk assessment and mitigation process</p>	2
Capacity	Capacity to deliver additional funded projects changes in key staff capacity or specialist expertise or delays/ limitations on recruitment to project posts	Increased workload, reduction in satisfaction new opportunities or progression	Unable to achieve project deliverables, project delays, capacity to restructure project and secure approvals, reputational damage to service interruptions	Financial and Reputational	0	3	<p>Project planning includes such risks within applications and set out in project plans and budgets; reflected in contingency</p> <p>Flexible approaches to work with wider C&CI team to adapt existing skills and capacity</p> <p>Regular one-to-one meetings and work plan reviews to balance priorities and prioritisation</p> <p>Strong and clear communications with funders, Actively seek out and enable alternative specialists to supplement provision.</p>	2
Capacity	Capacity of the workforce to engage in, and maximise opportunities for development support due to the unfolding impact of the Covid-19 pandemic	Redundancy, reduction or significant change in volunteer workforce, increased workloads or compressed roles; illness including Long Covid	Limited take up of programmes designed to support organisational resilience, reduced engagement and inability to achieve project investment or programme targets	Financial and Reputational	0	3	<p>Utilise local MDO and team knowledge of key sector priorities and challenges which impact on engagement with development opportunities</p> <p>Maintain flexible approach to service delivering to include access to online, self-led opportunities for skills development e.g. online learning and resources</p> <p>Increased flexibility inbuilt to programmes to allow for change in capacity and wide organisational commitment to provide opportunities for in-depth development support</p>	2
Income	Reduction in LA income to support MDO	Changes in MDO staffing, scope of work or LA funding priorities	Revision to local area MDO capacity and support offer for museums	Financial and Reputational	0	3	<p>Liaison with LAs and ongoing dialogue throughout 2022 to highlight the value of MDO/SWMD provision and evidence of return on investment</p> <p>Model impact and scenarios</p>	3
Income	Inability to secure additional project income	Limited capacity to develop or secure funding increased competition	Inability to invest in practice based projects or work in depth with consultants / additional expertise	Financial and Reputational	0	2	<p>Building projects on foundation of sector support and evidence of need</p> <p>Ensuring effective balance between ACE funded work and additional project funded activity</p>	2

Annex - Headlines - Activity Plan

NB - these headings will include further breakdown and individual team members' initials will be transferred into an Excel sheet (once plan is agreed) which will form individual work plans - a link below in Connected B links to an MDO specific role and functions paper.

Connected and networked

- A. Our specialist officers will work with national and regional **sector support organisations and partners** to share their understanding, knowledge and practice of regional needs and context, adding value to these opportunities for museums and heritage organisations in the South West of England
- B. We will invest in the local **Museum Development Officer network** to enable a trusted, independent source of credible information, inward investment, guidance and access to further sources of expertise across the region
- C. Provide timely and high quality **Technical Accreditation** Advisory service and raising sector standards
- D. We will collaborate with **Museum Development England** to enable effective development, commissioning and delivery of services alongside networking and prioritisation to provide greater impact of Museum Development for all museums across England¹⁰
- E. We will coordinate, design and **secure funding** for projects¹¹ which enable practice-based opportunities and deeper investment for participant museums and the wider sector to address priority development needs
- F. Working in collaboration with our specialist development officers and local Museum Development Officers, our Programme Coordinator will lead and **deliver high quality communications** targeted at our sector audience through the production of online content developed by our team.

Capacity building

- A. Our specialist officers will continue to develop and deliver high quality training and specialist forums through the **SW Museum Skills programme** alongside regionally coordinated administration of the scheme and a dedicated budget for commissioning quality training providers
- B. Our specialist officer for **sustainable volunteering** will provide expertise and identify opportunities for increased investment to support rewarding volunteering experiences, sustainable capacity and measurable progress in the increased diversity of volunteers in the sector
- C. Our programme officer, working with our programme coordinator, will **administer, evaluate and adapt** our skills, forums and networks to meet the priority training needs and accessibility requirements of the sector's workforce.

Amplify the value of heritage and collections

- A. Our Conservation Development Officer will provide **conservation and collection care expertise** to 100 museum organisations through training, networks and projects, creating increased capacity in the sector to better care for, and enhanced collections
- B. Through engagement with the **South West Visitor Insights** programme participants we will be able to evidence the change in, and diversification of, their audiences, and embed this good practice. This process will directly support the resilience of organisations whilst making a sustainable impact on increasing inclusion and relevance
- C. Bringing together **data insights** (sector and locality specific) we will support museums and heritage organisations to engage (and evidence that they are engaging) a wider range of people in museums and heritage

¹⁰ We will adopt the MDN Organisational Health Check national programme to support prioritisation and the measures will respond to ACE's SMART objectives, reaching a minimum of 12 museums each year.

¹¹ Our income target for project funding is an average of £50,000 each year.

- D. Our Digital Engagement Officer will provide **digital engagement expertise** alongside identifying emerging priority needs and opportunities for collaboration to enable increased investment, diversify online audiences and build sustainable digital capacity in the sector
- E. Our Programme Manager, in collaboration with our Data and Research Assistant, will continue to lead and operate the **Annual Museum Survey** on behalf of Museum Development England, achieving a national statistically representative sample, engaging 65% of eligible museums in the South West region, generating research findings and insights that can be adopted nationally, regionally and locally to support the resilience of the sector and demonstrate its impact

Climate emergency

- A. We will train our team in **Carbon Literacy** and use this knowledge to reduce our own carbon footprint
- B. We will utilise our programme of **training and grants** to demonstrate and advocate the need to **act on** the climate emergency and share practice which increases engagement in the green recovery
- C. We will deliver, in partnership with Museum Development England, the **Roots and Branches** programme¹² working with the **Carbon Literacy Trust** to enable museums to assess carbon emissions and take positive action to mitigate and reduce emissions and engage in the debate to support positive change
- D. We will build on existing work with **natural science collections** to unlock biodiversity data and engage broader debate on the reduction of biodiversity resulting from the climate emergency and its impact, using these collections as a catalyst for positive action on climate change

Equality and inclusion

- A. Dedicate time, working individually and collectively, to develop our workforce to **achieve clarity, build confidence and capability** on issues of inequality, diversity and inclusion to ensure we can identify and act upon these issues to support positive change
- B. Develop our response to **Let's Create** at a governance and team level to ensure that our programme is able to respond effectively to, and advocate for, the values set out within its four investment principles
- C. Enhance equality and diversity in our recruitment processes and invest in new, quality opportunities to **diversify our own workforce** through paid, volunteer and freelance opportunities
- D. Utilise our programme of **training and grants** to prioritise investment in, develop awareness of, and confidence in, implementing and sharing practice which increases inclusion and tackles inequality
- E. Our national **Museum Development collaboration**¹³ will maximise opportunities for capacity building to enable museums to increase inclusion and engage in activity which supports positive change
- F. We will use our **sector insights** to support organisations to increase their development of equality and diversity planning and activity and recording of protected characteristics for the workforce within our grant and project investment conditions

¹² We will collaborate with North West Museum Development as the lead for Museum Development England in the Roots and Branches project, to increase carbon literacy and direct our own funding, alongside seeking other sources of investment, to support museums to actively reduce their carbon footprint.

¹³ SWMD is a partner in the national EDI programme, led by West Midlands Museum Development, seeking to develop sector confidence and capacity in EDI

Our approach to embedding the Arts Council England's Lets Create Strategy

This business plan articulates how South West Museum Development will deliver against Arts Council England's new strategy *Let's Create* and its three outcomes: Creative People, Cultural Communities and A Creative and Cultural Country.

Alongside external advice and support, the South West Museum Development team and Strategic Advisory Group have been working since September 2020 to develop a Theory of Change to ensure our priorities, resource investment and decision making has a clear line of sight to the impact we are seeking to achieve. Articulating the positive social, environmental and economic impact museums make on the people and place in the south west is central to our approach. Our Theory of Change will also support us to demonstrate how our work, with museums, partners and communities, delivers against the Arts Council's new strategy. We undertake to continue to hone and develop our Theory of Change process as we plan and prepare for the next round of NPO applications 2023-27.

Where our activity is in line with, and delivers against the four investment principles and their core characteristics, this has been identified with the following key icons. This work will be developed further when we will address the Investment Principles guidance and further materials with our strategic advisory group alongside consultation with key stakeholders, as we plan for the future.



Inclusivity and Relevance: England's diversity is fully reflected in the organisations and individuals we support and in the culture they produce



Ambition and Quality: Cultural organisations are ambitious and committed to improving the quality of their work

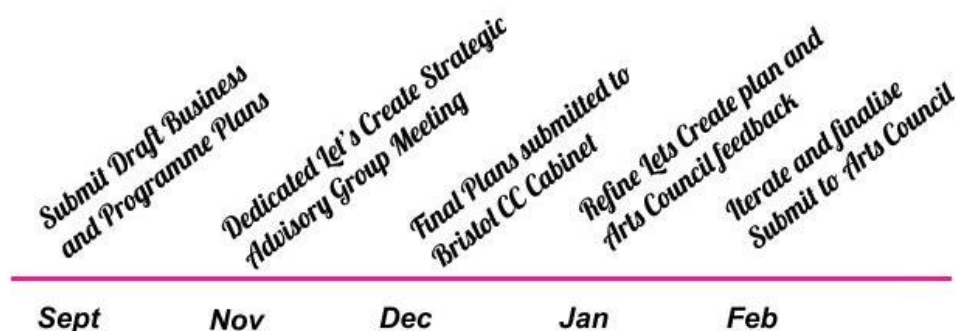


Dynamism: Cultural organisations are dynamic and able to respond to the challenges of the next decade







Environmental Responsibility: Cultural organisations lead the way in their approach to environmental responsibility

Let's Create ...a development timeline



This initial timeline, September 2021 - February 2022, sets out the key stages for addressing and developing how our priorities and activity will address the four investment principles. This plan starts to identify and map where our activity addresses the principles using the icons. Importantly we have developed the whole sections of our strategic aims to specifically address and increase our focus on Environmental Responsibility and Inclusivity and Relevance.

High Level Alignment of our Strategic Aims, Activity Plan and Lets Create Outcomes and Investment Principles

Let's Create (in development)							
Ref	Outcomes			Investment Principles			
MD SW Strategy 2022-23	Creative People	Cultural Communities	Creative & Cultural Country				
Our Strategic Aim: Connected and Networked							
1.A			✓	✓	✓		
1.B	✓	✓	✓	✓	✓	✓	✓
1.C			✓	✓			
1.D			✓	✓			
1.E	✓	✓	✓	✓	✓	✓	✓
1.F			✓	✓	✓	✓	✓
Our Strategic Aim: Capacity Building							
2.A	✓	✓	✓	✓	✓		
2.B	✓	✓	✓		✓		✓
2.C	✓	✓	✓	✓	✓	✓	✓
Our Strategic Aim: Communicate and amplify the value of heritage and collections							
3.A			✓	✓	✓		
3.B			✓	✓	✓		✓
3.C			✓	✓	✓		
3.D			✓	✓	✓		
3.E	✓	✓	✓		✓		
Our Strategic Aim: Acknowledge the climate emergency							
4.A			✓			✓	
4.B			✓			✓	
4.C			✓			✓	
4.D		✓	✓	✓	✓	✓	
Our Strategic Aim: Prioritise opportunities that increase inclusion and tackle inequality							
5.A			✓	✓			✓
5.B	✓	✓	✓	✓	✓	✓	✓
5.C			✓	✓			✓
5.D			✓	✓			✓
5.E			✓		✓		✓
5.F			✓	✓			✓

Equality Impact Assessment [version 2.9]



Title: Bristol Museums and Museums Development South West Arts Council Funding	
<input type="checkbox"/> Policy <input type="checkbox"/> Strategy <input type="checkbox"/> Function <input type="checkbox"/> Service <input checked="" type="checkbox"/> Other [please state] <i>Museum Funding</i>	<input type="checkbox"/> New <input checked="" type="checkbox"/> Already exists / review <input type="checkbox"/> Changing
Directorate: Growth & Regeneration	Lead Officer name: Jon Finch
Service Area: Culture & Creative Industries	Lead Officer role: Head of Culture & Creative Industries

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 accept external funding from Arts Council England (ACE) to invest in both the Bristol City Council (BCC) managed Bristol Museum service and South West Museum Development Sector Support service. We are recipients of £1, 364,320 (Bristol Museums) and £540,240 per year (SWMD) as part of ACE's National Portfolio Organisations (NPO). In 2020 Arts Council England took the decision to extend the NPO 2018-22 funding for an additional year (2022-23) due to the pandemic.

This is core funding which will allow the Museum Service and South West Museum Development (SWMD) to deliver their 2022-23 business plan. Without this extension year of current funding the Museums and SW MD programme would be unable to deliver the business plan and sector support provision resulting in large parts of the programme being unable to be delivered. This extension funding into 2022-23 is also critical to having the required capacity and potential within the service to develop a robust funding proposition to Arts Council England for future funding rounds 2023-2027.

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 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.

Yes No [please select]

We have not identified any negative impact from the proposal which will provide us with the funding to deliver our business plan which includes details of our Equalities Action Plan which is aimed at improving our impact for people on the basis of their protected characteristics where we are able to determine where more engagement is necessary.

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
<ul style="list-style-type: none"> 66% Female 31% Male 1% Other 	Bristol Museums audience survey for June to October 2021 conducted and aggregated across all museum sites show that there is a higher percentage of female visitors to male.
<ul style="list-style-type: none"> 56% local (BS postcodes) 43% the rest of UK 	Just over half of Bristol Museums visitors are from Bristol, Covid-19 travel

<ul style="list-style-type: none"> • 1% outside UK 	restrictions have affected the number of overseas visitors.
<ul style="list-style-type: none"> • 10% visitors are from a Black and Minority Ethnic background 	We know more needs to be done to engage people from communities where we hold relevant exhibits
<ul style="list-style-type: none"> • 8% of visitors describe themselves as having longer term health issues or disability 	We know we more needs to be done to engage more disabled visitors and we are addressing this through project such A Museums for Everyone and Curating for the Change.
<ul style="list-style-type: none"> • 9% of our audience are Young People (under 25) • 23% of our audience are Older people (over 60) 	We know more needs to be done to engage younger people and we are addressing this through work with Young Collectives and ensuring greater discounts are applied to people under age 25 to reduce barriers to participation.

Additional comments:

Our equalities action plan focuses on improving our engagement with the following priority groups:

- Disabled people
- Socio economic groups
- Black and Minority Ethnic communities especially African and African- Caribbean people

In addition we will deliver on our audience development plan that focussed on greater engagement with the following groups (taken from the Acorn audience segmentation model, 'group level') :

- **Striving Families** (Group M, Bristol population = 10% / BMGA¹ population = 3.2%)
- **Young Hardship** (Group O, Bristol population = 5.7% / BMGA population = 4.2%)
- **Struggling Estates** (Group P, Bristol population = 8% / BMGA population = 3.1%)

These audiences have been selected on the basis that we under-represent them in our current audience and they are identified as facing particular social disadvantages which prevent them from engaging with our service.

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.

We do not have visitor data for pregnancy and maternity, or marriage and civil partnerships. This is a gap in data we could monitor in the future. We also have missing data about non 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.

The 2018 -22 business plan and the equalities action plan was developed in consultation with equalities groups. During Nov 2022 – Feb 2022 we will be undertaken further consultation with range of partners and stakeholders to ensure our 2022-23 business plan will not adversely affect their engagement with the museum service.

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.

As included above we will be undertaking consultation with our key partners to ensure that our business plan for 2022-23 will not adversely impact on equalities groups. The partners we have identified are:-

- Bristol Museums Young Collective group for people under age 25
- Disabled action groups; WECIL & Museums for Everyone

- Bristol Museums Black History Group
- SW Museum Development Strategic Advisory Group

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 negative impact from the proposal at this stage	
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:	
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 &	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

civil partnership	
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 will deliver on the following benefits:

E01. Our handling of equality and inclusion will reach the high standards we expect of ourselves and others will look to us as a source of good practice.

E02. To build an inclusive organisation where the workforce reflects the city we serve and the needs of all citizens, and where colleagues feel confident about being themselves at work.

E03. To provide inclusive services which actively address inequality and exclusion and enable all of Bristol's citizens to realise their potential and live safely.

E04. To achieve a measurable increase in the extent to which communities facing inequality can share in and contribute to the city's success.

E05. Progressive building of good relationships between different communities in Bristol so everyone is able to participate and contribute.

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:

No negative impacts identified

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

The Arts Council funding enables the service to respond positively to Public Sector Equality

Duty through delivery of the 2022-23 business plan that will aim to;

- Deliver a service wide training plan so that staff are competent in completing EIA's, helping support greater awareness of impact of our services on people. This will be complemented through further equality awareness training and staff embedding at least one key commitment to equalities issues into their work programmes.
- Be more active in supporting our partners and organisations we commission to consider any potential impact of their activity on protected characteristics and support them in making any necessary adjustments as a means of best practice.
- Create opportunities for more diverse voices to be part of our decision making and development and production of our activity through a co-production approach to our service delivery.
- Gathering, reviewing and making changes to how we work through a data led approach. Utilising QoL surveys, project evaluations and onsite feedback to gain a better informed understanding where some groups are not participating and why and making steps to address this.
- Ensuring we continue and extend opportunities for everyone to participate in the best cultural activities, online and onsite and that our activity is inclusive and able to reach and reflect the diversity of the city.

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
See service EAP attached	Jon Finch	2022-23

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.

Please see EAP included below.

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 Director².

² 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.

Equality and Inclusion Team Review:
Reviewed by Equality and Inclusion Team

Director Sign-Off:

Handwritten signature of J.P. Smith in black ink on a white background.

Date: 9/11/2021

Date: 10/11/2021

Arts Council England NPO:

Equality Action Plan 2018-23

Revised November 2021

This document sets out the direction of our equalities work from 2018-22. It ensures that we deliver the Public Sector Equality Duty of the Equality Act 2010 to eliminate discrimination, advance equality of opportunity and foster good relations between people. It also draws upon, and complements, [Bristol City Council's Equalities Policy](#). Our approach is to embed this commitment to equality in all our areas of work from processes and people to public programmes.

We will particularly focus on the needs of communities who come from lower socio-economic backgrounds as socio-economic status is profoundly affected by the characteristics protected by the Equality Act^[1] and exacerbates the effects of discrimination. We also recognise that we all have multiple 'protected characteristics' so our approach must respond to this diversity so, for example, an exhibition with specific relevance to people of Caribbean descent needs to be relevant to people of different ages, gender, sexual orientation etc.

This document sets out the context of our work and should be read in conjunction with our Service SMART plan.

[1] This covers age, disability, marriage and civil partnership, pregnancy and maternity, race, religion and belief, sex, sexual orientation, gender re-assignment.

1. Service vision & aims

Our service vision is to ensure culture plays a leading role in driving a city of hope and aspiration where everyone can share in its success.

We aim to be a service that:

1. Places service users at the centre of our decision making through innovative engagement and a data-informed approach,
2. Delivers and invests in high quality cultural activity that celebrates the story of Bristol and attracts local, national and international audiences,
3. Proactively manages historic buildings and world class collections, making them accessible and relevant to everyone,
4. Challenges inequality and ensures diverse groups are represented, empowered and have a voice.
5. Invests in developing a diverse workforce which are highly skilled, creative and resilient.
6. Actively contributes to the city's economic recovery and regeneration which addresses issues of inequality and wellbeing.
7. Demonstrates sector leadership locally, nationally and internationally.
8. Develops innovative responses to the ecological and environmental emergency.

9. Influences, supports and advocates on behalf of the wider culture and creative industries across the city and at regional level.

10. Maximises commercial opportunities and appropriately manages risk to deal with the impact of change.

2. EAP implementation

The Equality Action Plan (EAP) contributes to our vision by stating what we will do to eliminate discrimination, advance equality of opportunity and fosters good relations in all areas of our work so that diverse people can participate, exercise voice and influence, and benefit from our work. We are also committed to making sure our workforce better reflects our local population

We will work in partnership with relevant organisations to deliver the plan including Bristol City Council's Equality and Community Cohesion Team & appropriate local organisations on relevant protected characteristics. All staff will take responsibility for delivering the EAP through their work programmes.

Progress will be reviewed quarterly and reported to both Arts Council England and Bristol City Council. We will also review the plan as a whole annually and make any changes required.

Progress will also be monitored by the service's Inclusion & Diversity working group - as well as through the Service EAP (included in this document) and through the service SMART Plans to report back on progress or any issues against relevant work strands. The Head of Culture & Creative Industries will be accountable for this plan and its implementation.

3. Bristol demographic and our priorities

We collect data on visitors from exit surveys at museum sites and on our workforce from quarterly reports from HR which is fed back to the service's Inclusion & Diversity working group. Recruitment is an ongoing priority for the I & D working group as well.

We have drawn data from the Census 2011 and Quality of Life survey 2021 (<http://www.bristol.gov.uk/page/community-and-safety/equalities-data-and-research>).

Age: Bristol's child population 0-15 is 18% (19%), it has a relatively young age profile in the 16-24 year bracket at 16% (12%) but lower proportions of all people aged 45 and over.

Gender: Bristol's population is 50% (49%) male and 50% (51%) female.

Disability: 17% (18%) of people of all ages identify as having a disability or health issue which limits their ability to undertake day-to-day activities. 83% (82%) identify having a disability where day-to-day activities are not limited. Mental ill health has been identified as an issue.

3.1 Bristol demographic data (from 2011 census)

- African - 12,085
- Black Other - 6,922 (Somalis included in both this group and Black Africans. Best estimate of Somali population is 10,000)
- Caribbean - 6,727
- Pakistani - 6,863
- Indian - 6,547
- Bangladeshi - 2,104
- Other Asian - 4,255
- Chinese - 3,886
- Arab - 1,272
- Gypsy or Irish Traveller - 359
- Mixed - 15,438

3.2 Bristol Quality of Life survey results 2021

-

Culture and Leisure

- % in deprived areas satisfied with the range and quality of outdoor events has declined from 67% to 40% in one year
- % in deprived areas who participate in cultural activities at least once a month has declined from 32% to 18 % in one year

Mental health

- % in deprived areas who report below average Mental Wellbeing has increased from 21% to 34% an increase of 13%

Digital poverty

- % in deprived areas who feel comfortable using digital services 73% compared with 82% across the city.

3.3 Culture & Creative Industries workforce statistics January 2021

- 9.38% Disabled staff
- 8.54% Black or minority ethnic
- 6.1% white minority ethnic

-

4. Our service priorities

We will focus on improving our engagement with the following groups:

- Disabled people
- Socio economic groups
- Black and Minority Ethnic communities especially African and African- Caribbean people

The EAP will start to respond to Let's Create strategy, outcomes and investment principles with commitment to building relationships to our audiences to become a trusted service.

We will commit to:

- Being more reflective
- Demonstrating greater humility & vulnerability
- Becoming more open to criticism
- Giving space to others
- Taking action
- Committing to developing an anti-racist organisation
- Involving external stakeholders into our decision making.

1.1 AMBITION & QUALITY

AIM: To gather the views of our audiences on the quality of what we do, and use that feedback in discussion with our workforce and stakeholders to shape future decisions about our work.

Through work with the Black History steering group, the service has created a wide range of online stories that have been accessed in high numbers in the last two years. Total web page views number 80,000, with a particular spike experienced at the same time as the toppling of Colston statue in June 2021, satisfying audience demand for quality information on this subject. The group has a wide range of external members, including people of colour who are local historians, film makers, creative producers and local activists.

The Young Collective draws on young people who have worked with the service as participants in the Uncomfortable Truths programme or who have been participants in programmes run by our partner organisations; Rising Arts and Creative Youth Network. The Collective continues to inform decision making on a wide range of the service's programme including street art exhibition, photography festival. The fact that their roles are now paid and have a defined role description highlights the value that the service places on their roles and feedback.

Following four workshops for staff on decolonisation led by Black Southwest Network and attended by up to fifty staff at any one workshop, a new decolonisation working group has been established with draft aims & objectives, principles and a staff plan. Following recent follow up workshops led by local filmmaker and facilitator Rob Mitchell, the group is ready to progress to the next stage of widening its membership and will be running a big roundtable event before the summer to extend decision making and ensure representation of people of colour from outside the service on the group.

It has also been identified that to do sustainable, long term engagement with source communities on decolonisation, capacity needs to be built into the work programme for staff from across teams to ensure that staff can allocate time to have meaningful conversations, understand priorities for decolonisation and develop long term relationships. This is in recognition of the fact the decolonisation is not a short term, tick box exercise that we need to 'get done'.

DYNAMISM

AIM: To fully utilise the power of data to understand our audiences and the impact of our work.

Over lockdown, the number of digital events has grown exponentially, with audiences accessing digital content from across the world. The service needs to understand the audiences for that work better, and is currently carrying out a data gathering exercise, which will be brought to the Inclusion & Diversity working group in May 2021 for further discussion.

The Arts team plans to recruit Disabled mystery shoppers who will attend events across the city to feed back on the accessibility for those events for Disabled people. Participants in the Museums for Everyone group and our volunteer pool will be targeted for those mystery shopper roles. If this model is successful, the Inclusion & Diversity working group will review and may propose a roll out to other events that are organised at the museum sites.

Data about on site events also needs to be gathered and better understood to give a clearer picture of which audiences are attending those events and how they compare with general museum visitors and with digital engagement.

1.2 INCLUSIVITY & RELEVANCE

AIM: To be reflective and build a relationship with our communities

The service has been working closely with the Bristol Disability Equality Forum to understand better the barriers that Disabled people face when accessing our museums sites both virtually and through on site visits. Ten members of the Museums for Everyone group, (part of the Forging Our Future, Heritage funded programme,) have made onsite visits and fed back to museum staff their priorities for change to improve accessibility for Disabled people. An action plan is being created following dialogue with museum staff that will be shared with SLT in May 2021.

Through the service's support for and secretariat function with Bristol City Council's Legacy steering group, the service is increasingly well informed about issues dominating discourse amongst people of colour in Bristol including reparations and the development of a new capital fund to deliver planned improvements to infrastructure across the city. The service's role enables this work to be joined up with the work being carried out by Glasgow and Liverpool museums, (both of whom have been invited to recent meetings to

share good practice and build relationships) as well as to connect up with the work of the We Are Bristol History Commission, also supported by the service.

The work carried out by the Uncomfortable truths programme in late 2018/19, saw the participation of 10 young people of colour and the creation of a series of pod casts and new interpretation, available both online and in our galleries. These podcasts have been well accessed and well received at a national level, with an evaluation report commissioned and shared widely with partners in the city and further afield. This work will be built on further through the development of 'More Uncomfortable Truths' which will be worked up and delivered in 2022, building on what we learnt from the evaluation of the first programme.

5. ACTION PLAN

<p>E01. Our handling of equality and inclusion will reach the high standards we expect of ourselves and others will look to us as a source of good practice.</p>	<p>To have greater shared responsibility across the C & CI service in reaching and developing better relationships with key communities</p>	<ol style="list-style-type: none"> 1. Training and prompts for EIA's to be completed for any significant service changes 2. All staff to successfully deliver on at least 1 objective related to Equalities & Inclusion. 3. All staff to complete Anti-racism training and other relation training and development programmes that support our commitment to Equalities & diversity. 4. Greater sharing of the service KPI's around inclusion & diversity are known across workforce and being collected and monitored quarterly. 5. - Develop meetings training and protocol for greater opportunities for younger employees and people of colour in particular feel able to contribute. 6. Standardise the protocol around making opportunities inclusive across the workforce. 	<p>Increased skills and knowledge across the team in I & D and subsequently embedded commitments to I & D within work plans.</p>	<ul style="list-style-type: none"> - Completion of EIA's - 100% staff completion of statutory I & D training - 60% staff target for additional training completed - I & D work by service acknowledged at DMT level and above. - Evidence in SRA's and 1:1's that workforce feel supported by colleagues and feel able to contribute and heard.
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<p>E02. To build an inclusive organisation where the workforce reflects the city we serve and the needs of all citizens, and where colleagues feel confident about being themselves at work.</p>	<p>To increase the diversity of our workforce, partnerships commissions, volunteers and placements.</p>	<ol style="list-style-type: none"> 1. Continue use of monitoring forms for recruitment, including the advertising across diverse channels such as VOSCUR and ensure job paperwork is reviewed as standard before recruitment; use of language/terms, alternatives to formal qualifications where possible etc... 2. Review our exit interviews and to identify any trends related to how we could improve inclusion and diversity in workplace and recruitment and retention. 3. Review our contracts/commissioning to align to fair recruitment practices and add all opportunities to new designed webpages around Get Involved to increase transparency. 4. Deliver an open day for creatives and freelancers to find out more about what we do and can offer. 6. Create an action plan around young employees and their needs- feedback so far indicates more support needed around apprenticeships and support to progress from apprenticeships 7. Increase volunteers from target areas where we have low representation 	<p>A more diverse workforce and set of partners that will help ensure that our service delivery is relevant, inclusive and reflective of the city.</p>	<ul style="list-style-type: none"> - 100% completion of monitoring forms - Action plan created from exit interviews - Increase volunteers from target areas of city - increase in diversity of commissions/ partnerships
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<p>E03. To provide inclusive services which actively address inequality and exclusion and enable all of Bristol's citizens to realise their potential and live safely.</p>	<p>To improve our consistency across all our cultural activity for how we deliver on inclusion and equality.</p>	<ol style="list-style-type: none"> 1. To ensure that all C & CI teams embed Inclusion & Diversity objectives into team plans 2. To review project management and evaluation practices and create toolkit /best practice guidelines. 3. External audit to be carried out on how our service is perceived to young people and action plan created as a result. 4. Progressing the recommendations from the Museums for Everyone group to make a more inclusive offer with more accessible offer at BMAG 5. Deliver the outputs of Curating for Change around representation of disabled people's stories from our collections. 	<p>Able to reflect across the service our I & D performance and look at areas for improvement.</p>	<ul style="list-style-type: none"> - 100% team plans include I & D objectives - Delivery of Museums of Everyone and received high satisfaction/ expectation rating - Increase visits from disabled visitors during Curating for Change project /exhibition/display period.
<p>E04. To achieve a measurable increase in the extent to which communities facing inequality can share in and contribute to the city's success.</p>	<p>To listen more to communities and then use our assets and skills to design and deliver activity that meet their needs and aspirations.</p>	<ol style="list-style-type: none"> 1. Create opportunities for community groups to be representative of lower socio economic and Equalities groups in Bristol to assist in decision making on relevant programmes and activity. 2. Ensure appropriate community input into reshaping and delivering the CCI collecting policy. 3. Work with BCC colleagues from Economic Dev., Regeneration, Neighbourhoods and others where culture can deliver services to improve citizen's lives and wellbeing. 	<p>Our service delivery is more reflective of the diversity of the city and we are meeting our targets for increasing participation from underrepresented groups.</p>	<ul style="list-style-type: none"> - Increase in audience diversity to our museums, events, activities etc... - Positive evaluation/feedback with diverse partners in approach to project delivery D9

		<p>4. Explore new ways for how our assets and services could be used with partners across city to provide tangible benefits to the people of Bristol.</p> <p>5. Deliver Uncomfortable Truths & Decolonisation project through co-production practice.</p>		
<p>E05. Progressive building of good relationships between different communities in Bristol so everyone is able to participate and contribute.</p>	<p>To move towards co-designing and co-producing projects with individuals and partners where our expertise and skills can help support communities to deliver cultural activity in their locality.</p>	<p>1. Work with other services to deliver learning and skills programmes that benefit children and adults in Bristol including SEN families.</p> <p>2. Work with partners to help support people's health and wellbeing through the Thriving Communities project around art & nature.</p> <p>3. Deliver CIP & facilitate events & festivals where activity is delivering in priority areas across the city.</p>	<p>Greater access to high quality cultural opportunities across the city.</p>	<p>- Quality of Life survey highlights strong positive response to culture being key part of people's health & wellbeing.</p> <p>- Increase in applications for CIP and events and festival activity to be happening in 'cold' spots across the city.</p> <p>- Increase in new partnerships to deliver new cultural activity across the city.</p>

Decision Pathway – Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 14 December 2021

TITLE	Cultural Investment Programme 2023-2027	
Ward(s)	City Wide	
Author: Elise Hurcombe/Jon Finch	Job title: Senior Arts Development Officer / Head of Culture and Creative Industries	
Cabinet lead: Cllr Craig Cheney, Deputy Mayor - Finance, Governance and Performance	Executive Director lead: Stephen Peacock, Executive Director Growth and Regeneration	
Proposal origin: BCC Staff		
Decision maker: Cabinet Member		
Decision forum: Cabinet		
Purpose of Report:		
<p>To seek delegated authority to invest £2,544,000 in the second round of Bristol Council’s Cultural Investment Programme (CIP) (2023 -27) by inviting artists and cultural organisations, and community projects where arts, events and cultural activities are the focus, to apply to the Cultural Investment Programme (Originator, Imagination or Openness grant streams).</p>		
Evidence Base:		
<ol style="list-style-type: none"> 1. The vision of the Cultural Investment programme is ‘to make arts and culture accessible for all’. This proposal seeks commitment to the continuation of this programme for four years 2023-27. In response to the significant economic and societal impacts of Covid 19, the Cultural and Creative Industries plays an important and vital role in delivering the aims of the One City Approach, the One City Plan goals and Bristol City Council Corporate Strategy. The proposal has been informed and shaped by direct engagement with the sector to understand the priority needs required to support recovery from COVID-19, the last four years of Cultural Investment Programme, current policy and strategic context. 2. BCC’s investment has an essential added value as evidence of the city’s support for its cultural sector to other strategic funders. Pre-Covid in 2018/19 investment through Openness and Imagination totalling £754,000 supported funded organisations to leverage a further estimated £4 million in Arts Council and National Lottery Heritage funding alone, and help catalyse a combined turnover for these organisations of over £22 million, driving an increased and enhanced quality of cultural offer for the citizens of Bristol. 3. A wide and diverse range of organisations receive investment through the CIP across Originators, Imagination and Openness. CIP operates a robust and transparent process, assessed against the fund’s aims which include advancing diversity and equality, and supporting the delivery of Bristol City Council’s Corporate Strategy. (Please see background documents for further information and a map of funded applicants). 4. The Cultural sector was one of the most negatively affected by the pandemic in terms of economic output decline. Although the city is on a path to recovery; the aftershocks of COVID 19 still significantly affect the cultural sector resulting in an increased need for support (please see Appendix A). 5. The current scale of the Cultural Investment Programme does not have the capacity to solve the post-COVID-19 		

crisis facing creative freelancers. CIP does however include grant funds that are accessible to applications from individual artists and freelancers (Originators). Furthermore paid employment for freelancers is generated through the organisations and projects funded across Openness and Imagination funding, this benefitted 3,627 artists/creative practitioners and a further 1,513 event professionals in 2018/19 alone.

6. The Cultural Investment Programme is designed to be both flexible and responsive within a framework that measures impact directly linked to the Corporate Strategy, Cultural Strategy and Culture & Creative Industries service aims. This ensures proportionality, efficiency and a targeted approach to support the City's arts and cultural sector.
7. The aspiration for CIP 23-27 is to achieve the following over the next term:
 - 7.1. Resilience and value for money: ensuring the Cultural Investment Programme is embedded within the wider dynamic grant economy, both cultural and social/economic recovery streams.
 - 7.2. Accessibility: Deliver a more participatory and accessible process that involves the Cultural Sector in the design and implementation of Cultural Investment Programme. To further develop our application procedures and guidance (expanding on Bristol City Councils accessibility requirements and best practice).
 - 7.3. Evaluation: Focus on evidence-based decision making supported by external evaluation; enabling us to build on the baseline data from current Cultural Investment Programme (2017-22). Please see Equalities Impact Assessment action plan for further details (Appendix E).
8. We are aware of the barriers to achieving these targets, which are the current lack of resourcing: officer time, access and external evaluation costs. We will review this in 2022/23 and explore and propose ways to address this both internally and externally over the next four years.
9. Working with external partners and funders across the region is vital and will support the growth of impact of the Cultural Investment Programme.

Cabinet Member / Officer Recommendations:

That Cabinet:

1. Approve the total budget commitment for the implementation of the Cultural Investment Programme 23-27 of £2,544,000 over four years from April 2023 to April 2027
2. Authorise the Executive Director Growth and Regeneration in consultation with the Deputy Mayor Finance, Governance and Performance to take all steps required to implement the Cultural Investment Programme of £2,544,000 over four years from April 2023 to April 2027 as outlined in this report including awarding funding and entering into grant agreements that are above the key decision threshold of £500k.

Corporate Strategy alignment:

The Cultural Investment Programme will contribute to all 7 themes of the new corporate strategy. Guidance and fund criteria for all strands of CIP are aligned to the corporate vision 'In which everyone benefits from the city's success and no-one is left behind' and strategic 5 year commitment: 'we will be a leading cultural city, making culture and sport accessible to all'. Activity funded through the CIP will demonstrate: reach into priority neighbourhoods, partnerships embedded with community, health and well-being partners, and investment in building a sustainable sector.

City Benefits:

The Cultural Investment Programme (CIP) is the mechanism for investing in the development of Bristol's cultural organisations, festivals and events, and artists and the citizens they work with. Operating the CIP is an important means by which the council builds relationships across the sector, and with key stakeholders and funds, to understand and support the needs of the city and its citizens. With a vision to make culture accessible for all, the CIP is underpinned by the council's priorities for inclusivity and growing a green and sustainable cultural economy.

In an increasingly young and diverse city it is a priority for CIP to support and invest in organisations and enterprises that are led by, or benefit, under-represented groups, helping cultivate more diversity in the cultural sector. Over the next five years our aspiration is to take a more participatory approach to decision making about cultural investment, involving more people in decisions to help maximise the reach and impact of CIP. This will be dependent on additional resourcing.

Consultation Details:

1. Details of the consultation are in **Appendix B** – a summary of key changes are stated below.
2. Details of consultation as follows:
 - Sector wide surveys [including currently funded organisations]: 43 respondents
 - Meetings with current recipients of Openness and Imagination funding. 6 meetings
 - 2 Online focus groups: 40 attendees
 - 1 In person focus group: 15 attendees.
3. Following the consultation, we will implement the following amendments to the proposal:
 - a. Language: we will refine the language used within the aims and objectives based on the feedback received, and clarify the terminology used to help ensure greater accessibility. For example, considering the use of the word ‘equity’ over ‘equality’.
 - b. Objectives of the fund: we will reconsider the grouping of objectives set against specific aims.
 - c. Further consultation: We will seek to schedule additional public consultation sessions on the additional themes raised in the report, most notably the accessibility of the fund.

Background Documents:

Previous cabinet papers from 2017 and Previous papers form cabinet papers from 2019

- <https://democracy.bristol.gov.uk/ieListDocuments.aspx?CId=135&MId=2560&Ver=4> 2017 – Item 15
<https://democracy.bristol.gov.uk/ieListDocuments.aspx?CId=135&MId=3691&Ver=4> 2019 – Item 13
<https://democracy.bristol.gov.uk/ieListDocuments.aspx?CId=135&MId=8831> - 2020 – Item 10

Link to Arts funding page where you will find the Cultural Investment Programme prospectus and guidance notes and previously funded and currently funded applicants:

<https://www.bristol.gov.uk/museums-parks-sports-culture/arts-and-culture-funding>

Previously funded organisations map:

<https://bcc.maps.arcgis.com/apps/MapSeries/index.html?appid=d31acfce0114fcd899a9b10a8918999>

Revenue Cost	£2,544,000	Source of Revenue Funding	Culture and Creative Industries
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:

Finance Advice: This report seeks Cabinet approval for the council’s Cultural Investment Programme (CIP) for the next 4 years (from 2022/23 to 2026/27). This can be funded from the current budget set aside for CIP. The planned grants programme matches the budget funding available and no additional funding is required to meet the proposed grants programme outlined in the report.

As part of Next years’ Service planning, all Services have been asked to identify 5% efficiencies which is expected to help towards providing a balanced budget for 2022/23. The Culture Service will be expected to make it’s efficiencies

contribution and that may result in the CIP budget for 2022/23 being slightly less than state above (unless alternative efficiency options are put forward).

Finance Business Partner: Kayode Olagundoye, Interim Finance Business Partner, 1st November 2021.

2. Legal Advice:

Procurement

Provided these are genuine grants and not contracts for services, they will not give rise to procurement issues under the Public Contracts Regulations 2015. Client officers will need to seek legal assistance to ensure the arrangements are grant agreements.

Equalities

The Council must comply with the requirements of the Public Sector Equality duty when making any decisions. The duty requires the decision maker to consider the need to promote equality for persons with “protected characteristics” and to have due regard to the need to i) eliminate discrimination, harassment, and victimisation; ii) advance equality of opportunity; and iii) foster good relations between persons who share a relevant protected characteristic and those who do not share it.

In order to do this the decision maker must have sufficient information about the effects of the proposed decision on the aims of the Duty. The Equalities Impact Assessment is designed to assist with compliance with this duty. Its purpose is to assess whether there are any barriers in place that may prevent people with a protected characteristic using a service or benefiting from a policy.

Legal Team Leader: Husinara Jones, Team Leader/Solicitor 2 December 2021

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

IT Team Leader: Simon Oliver, Director Digital Transformation 6 October 2021

4. HR Advice: No HR implications are evident

HR Partner: Celia Williams, HR Business Partner 2 November 2021

EDM Sign-off	Stephen Peacock, Executive Director Growth and Regeneration	13 October 2021
Cabinet Member sign-off	Councillor Craig Cheney Deputy Mayor - Finance, Governance and Performance	21 October 2021
For Key Decisions - Mayor's Office sign-off	Mayor's Office	15 November 2021

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



Cultural & Creative Industries Survey

Headline Information
April 2020

Cultural Organisations

58%

of Cultural Organisations aren't eligible for Grant aid and Business Rates Relief.

Events & Festivals

68%

of respondents have either cancelled or postponed their event.

11.5 million +

lost visitors and attendees.

Film/TV

75%

of film/tv freelancers expect to see an 80% reduction in income.

Over 60%

of film/tv freelancers feel government support will not sustain their income.

56%

of Film & TV production companies have cancelled planned work.

Cultural Investment Programme 2023-2027: Consultation Report

1. Overview and purpose of consultation

‘The Cultural Investment Programme provides opportunities for people and communities across the city to take part in the cultural life of Bristol, whether that is by attending a world-class music performance, a cutting-edge theatre production or taking part in a workshop, festival or exhibition in their local community.’

Marvin Rees, Mayor of Bristol (Cultural Investment Programme Prospectus 2018-22)

Bristol City Council is proposing to deliver a second Cultural Investment Programme (CIP) in 2023 – 2027. The vision for the fund will continue to ‘make arts and culture accessible for all’. Bristol City Council want to ensure CIP 2023 – 2027 is fit for organisations/individuals and Bristol citizens alike, and helps achieve the Bristol City Council Corporate Strategy and the One City Plan vision and objectives.

Between the 13th September and the 1st October 2021, Bristol City Council consulted on the following elements of the Cultural Investment Programme 2023 – 2027:

- The revised aims of the fund
- The ‘building blocks’ of the objectives of the fund

2. Methodology

2.1 Online Surveys

Two online surveys were used to generate feedback.

One survey targeted artists, creative practitioners and arts organisations currently funded by the Cultural Investment Programme. A second survey was published online on the Council website and via social media, for the wider cultural and creative industries sector to engage with.

A total of 43 people responded to the online questions.

2.2 Consultation events

Three public consultation events targeted at Bristol’s creative and cultural industries were held between the 21st and 24th of September, one of which specifically welcomed input from artists, creative practitioners and arts organisations who are led by and/or work with equalities groups. Two of these sessions were held online, and one was held in person. Closed captioning was available during one online session; British Sign language was available during both online sessions. A Bursary of £50 was available to support freelancers to attend.

A total of 55 people attended the consultation events.

2.3 Meetings with current recipients of Openness and Imagination funding.

During the consultation period, officers attended one to one meetings with 6 current recipients of Openness and Imagination funding.

3. Online survey results

3.1 Aims of the Cultural Investment Programme

Respondents were asked ‘To what extent do you agree or disagree with the proposed aims of the Cultural Investment Programme 2023-2027?’

36 respondents (84%) stated they either agreed or strongly agreed with the proposed aims.

1. 20 (47%) selected 'Strongly agree'
2. 16 (37%) selected 'Agree'
3. 0 (0%) selected 'Neither agree nor disagree'
4. 1 (2%) selected 'Disagree'
5. 6 (14%) selected 'Strongly Disagree'

4. Qualitative survey and event feedback

Qualitative feedback was gathered through 3 consultation events and 1 free text box in the surveys.

In the survey, respondents were asked if they would like to comment further on the proposed aims with regards to:

- Do you have anything further you would like to comment on with regards to the proposed aims of the Cultural Investment programme 2023-2027?

24 people responded to the open text sections on the online surveys.

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

Questions relating to the aims:

- What are your thoughts/reflections on these aims?
- How well do they sit or align with your own/or organisations practice?
- How well do you think they align with issues currently facing Bristol and wider global issues as well?

Questions relating to the building blocks of our supporting objectives:

- Where do you feel the gaps are?

A total of 55 people attended the consultation events and fed back in breakout groups.

The feedback from the consultation events and free text from the surveys have been reviewed together, as both data gathering activities have generated recurring themes.

Where possible, comments have been grouped together by theme, with a range of examples presented below.

Not all comments received concerned the focus of the consultation, where relevant these have been included in section 7 as a potential basis for future consultation.

5. Comments on the aims of the fund

5.1 General positive feedback on the aims:

- 'We are very satisfied with the aims of the new fund'
- 'I think the aims are well considered and would provide a strong framework for allocating funding to a broad and diverse range of cultural projects and organisations'
- 'I think these aims sound excellent and a shift that is needed'
- 'I think they're brilliantly summed up!'

5.2 Scope of aims: respondents reflected on the scope and ambition of the aims, some of these were positive in nature, whereas others were concerned about the aims being too broad.

- 'General, broad reaching aims that I could see my organisation sitting comfortably under'
- 'Aims seems clear and broad and I know what they mean'
- 'Aims are very broad and open to interpretation'

- 'The aims of the programme have a broad reach which is very much needed. Addressing issues of equality and diversity has to be a key issue.'
- 'Aims are broadly what I'd expect. Align with my aims'
- 'The aims don't seem too dissimilar or scary'
- 'Because the funding is low, [the aims need to be] much more specific'
- 'Don't be too broad with aims because you also need to clearly exclude the people who might not work to the same principles'
- 'Hard to disagree with'

5.3 Language & terminology: the use and accessibility of language and terminology within the aims was frequently commented on.

- 'We would like to see the word equity used over equality, as we may need to address the inequality in the sector with positive action'
- 'Why equality rather than equity?'
- 'Consider use of term 'equity' rather than equality'
- 'We would like to propose a suggested change to the word equal to change it to equity.'
- 'You may wish to replace "diversity and equality" with "diversity, inclusion and equity" (equity is a social justice approach which recognises that not everyone starts from the same place so treating everyone equally does not always address disadvantage)'
- 'I would reiterate that being clear and consistent with terminology is important'
- 'The aims on their own don't give enough information about what is meant by equality & positive change'
- 'DIY culture and grass roots engagement feel like they may be a little bit like jargon, I'm not too clear what they mean'
- 'Not sure what is meant by new ideas'
- 'Supporting positive change feels ambiguous' – what kind of change and who for?'
- 'Is 'Bristol' just a physical location or a digital space too?'
- 'The language of people and partnerships was encouraging and more accessible'
- 'Language needs to be accessible for all'
- 'Supporting Bristol as a city OF new ideas- instead of as a city- FOR new ideas'

5.4 Connection to BCC corporate strategies: Respondents questioned how the aims connected to the wider Bristol City Council's corporate strategy.

- How do they relate back to the corporate strategy or climate strategy?
- How do they relate back to the Council's wider strategies?

5.5 Funding new activity: Respondents commented on whether funding for new activity should be prioritised over funding for long-established organisations

- 'Aim 1 needs to be enabled for existing, long-established organisations as well as the new ones'
- 'Is it that Bristol needs new or is it about sustaining and nurturing what's already there?'

6. Comments on the objectives of the fund

6.1 General comments that included positive feedback on the objectives:

- 'These are great. We wouldn't not want these.'

6.2 Language and terminology: the use of language and terminology within the objectives was also frequently commented on.

- 'What do we mean by 'new' and 'ambitious?'

- 'Needs definition around what is meant by underrepresented groups'
- 'Would be helpful to clarify terms around who you are talking about with mention to diversity – specifics'
- 'If you want to encourage people/organisations to apply that normally wouldn't – then the building block language needs to be more open, less jargony, more accessible, people need to be able to clearly see themselves in the language'
- 'The language used doesn't make me think of Bristol or capture what is special about Bristol'

6.3 Missing 'gaps': a number of comments were made on where respondents felt 'gaps' were in the objectives for the funds.

- 'There's nothing about audiences under Aim 2 which I would expect if it's for people making it, watching it and taking part in it.'
- 'Harder to see freelancers, non-professional world represented within these objectives'
- 'How will these relate to an artist? Would they tick objectives.'
- 'Mention of innovation and experimentation was missing from these building blocks'
- 'Feel like missing inclusion from building blocks'
- 'Missing lasting impact, legacy of grant , what happens after the grant period ends'
- 'Health and wellbeing feels like an add on, all objectives should be linked to health and wellbeing'
- 'Should include reference to art supporting mental health specifically as well as gazing outside of Bristol because that isn't mentioned'

6.4 Grouping of objectives within aims: a number of comments were concerned with which objectives should be attached to certain aims.

- 'New voices and stories would fit better under aim 1.'
- 'I didn't expect Business resilience to be under aim 1. I think it may fit better under aim 3, invest in people, places and partnerships'
- 'Aim 3 feels like it should include business resilience'
- 'Business resilience' feels like it's in the wrong place, doesn't relate to ideas and creativity'

6.5 Business resilience + Living Wage: some comments were concerned with the topic of business resilience, and there was a mixed response to the inclusion of the Living Wage.

- 'Business resilience feels more about organisations than individuals'
- 'These are relatively small amounts of money for larger organisations – resilience seems like an ambitious ask considering grant size'
- 'Tension between encouraging business resilience and new work / ideas'
- 'Business resilience – does this include sole traders'
- 'Living wage: will there be uplift in the funding? (we need to acknowledge that prices etc are rising...)'
- 'Something I would really like to see is a commitment from the Arts Organisations that are given funding with regards Fair Pay - a commitment to the paying a real living wage and a cap on salaries, so that organisations which pay their highest paid member of staff more than 3 times that of their lowest paid member of staff are automatically disqualified from applying for funding'

7. Other comments that highlighted specific issues.

Not all comments received concerned the focus of the consultation, where relevant these have been included below, as a potential basis for future consultation.

7.1 Application process:

- 'Development of the application process should ideally consider how individuals/organisations that don't speak 'fundraising language' or haven't applied for funding before can access the process'
- 'Could the application process allow / create alternate ways of applying? Invite outline proposals that then are invited to 2nd stage? Video apps? Conversation?'
- 'It needs a much less intensive first step'
- 'Organisations in receipt of larger funding pots should be encouraged (as a grant t&c) to support individuals or smaller organisations – to share knowledge'

7.2 Decision making process: Comments suggested that applicants wanted greater clarity about the fund's decision making processes.

- 'Who are these objectives for - will they be for artists/organisations to meet or are they for BCC to meet?'
- 'Alongside aims, have a metric showing how projects will be judged'
- 'Are some aims prioritised over others?'
- 'Aim 2: Is a complicated mix of social and financial issues to address, so where would funds be targeted?'

7.3 Inequity of place & spaces

- 'There are areas of the city that are removed from the cultural core'
- 'Great deal happening in a compressed area of the city'
- 'Need more support for smaller spaces for exhibition'
- 'Need to think about the spaces where events can happen'

8. Learnings from consultation and next steps

Feedback shows that the revised aims were generally found to be clear, well understood and relatable to the wide range of organisations and individuals who took part in the consultation.

Following the consultation, we will implement the following amendments to the proposal:

- Language: we will refine the language used within the aims and objectives based on the feedback received, and clarify the terminology used to help ensure greater accessibility. For example, considering the use of the word 'equity' over 'equality'.
- Objectives of the fund: we will reconsider the grouping of objectives set against specific aims.
- Further consultation: We will seek to schedule additional public consultation sessions on the additional themes raised in the report, most notably the accessibility of the fund.

Equality Impact Assessment [version 2.9]



Title: Cultural Investment Programme 2023-2027	
<input type="checkbox"/> Policy <input type="checkbox"/> Strategy <input type="checkbox"/> Function <input type="checkbox"/> Service <input checked="" type="checkbox"/> Other [please state] Grant process	<input type="checkbox"/> New <input checked="" type="checkbox"/> Already exists / review <input checked="" type="checkbox"/> Changing
Directorate: Growth and Regeneration	Lead Officer name: Jon Finch
Service Area: Culture and Creative Industries	Lead Officer role: Head of Culture and Creative Industries

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.

This proposal is seeking the approval of a second Cultural Investment Programme (CIP), 2023 – 2027. The vision for Cultural Investment Programme will continue to be ‘arts and culture accessible for all’ Bristol citizens.

The key aims of the Cultural investment Programme 2023-27 are aligned to Bristol City Council’s Corporate Strategy and One City Plan] and will be to:

- To support Bristol as a city of ideas, creativity and engagement
- To advance diversity, equity and inclusion in arts and culture for all Bristol’s citizens.
- Invest in people, places and partnerships to respond creatively to need and support social change.

The vision and aims underpin the three funds which will be available to support arts and cultural activity during 2023 – 2027:

- Openness over 4 years (open for application once)
- Imagination over 2 years (open for application twice)
- Originators every year (open for application four times).

The cabinet proposal is seeking delegated authority to invest £2,544,000 in the second round of Bristol Council’s Cultural Investment Programme (CIP) (2023 -27). The investment will achieve CIP’s vision that arts and culture is made accessible for all citizens by:

1. Inviting artists and cultural organisations, and community projects where arts, events and cultural activities are the focus, to apply to the Cultural Investment Programme (Originator, Imagination or Openness grant streams). A total grant fund of £2,544,000 over four years, from April 2023 to April 2027; £636,000 per annum, to be funded from existing budgets.

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]
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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
CIP 1 baseline and annual monitoring surveys for Openness, Imagination and Originators	The baseline data from CIP 1 (2018 – 22) provides an overview of the different communities that are likely to be supported by CIP 2. CIP 1 was underpinned by 3 aims: 2 of which relate specifically to Equality impact: Advancing Diversity and Equality in Arts and Culture , and Supporting the delivery of Bristol City Council's

have been distributed to organisations, activities and events scoring highly in their potential to achieve these aims and the objectives underpinning them. Annual surveys and regular relationship officer meetings for Openness and Imagination grant streams has allowed us monitor progress against these aims. Currently funded organisations are actively enabling Bristol citizens to have access to culture in 15 of Bristol's 27 priority areas.

Cultural activities that have been funded through CIP 1 are involving a wide range of priority groups and intersectional communities including: (*groups we seek engagement from as they were underrepresented in previous rounds of funding)

Black, Asian and minority ethnicity *
d/Deaf *
Neuro diverse
LGBTQIA+.
Refugees & asylum seekers
People with experience of mental ill-health
Families
Homeless groups
Visually impaired *
Young women of colour *
Adults who experience social isolation
Older people (55-69yo)
Unemployed
People recovering from drug and alcohol addiction
Isolated residents
Carers
Children, and young people
People from lower socio-economic backgrounds
Single parents

Black, Asian and minority ethnic, LGBTQIA+ and disabled people
Disabled musicians
Black, Asian and minority ethnic musicians, and young disabled musicians

In terms of intersectionality, groups that have been supported though CIP1 include the following examples: **Paraorchestra** (Black Asian Minority Ethnic musicians and young disabled musicians), **Diverse Artist Network** (Black Asian Minority Ethnic, People from lower socio-economic backgrounds. Children and young people (18-25yo), single parents). These groups in themselves and their board members have people that run the

	<p>organisations that identify as disabled and have a broad intersectionality.</p> <p>In CIP 2 we aspire to deliver a more engaged, proactive approach to reaching priority groups. This will need additional resourcing. We have not included a request for resourcing in this paper as we are aware services have been asked to identify 5% efficiencies at this time rather than request any new investment. Level of resourcing will impact our capacity to deliver a more engaged approach, commission external evaluation, and invest in access costs in the 2022/23 set up year. We will review this in 2022/23 and explore and propose ways to address this both internally and externally over the next four years to fully achieve the EqIA proposals.</p>
Deprivation in Bristol 2019	<p>CIP application guidance explicitly signposts potential applicants to map and data around social deprivation across different areas of Bristol. The current guidance states: ‘We want to make sure these neighbourhoods have the same, meaningful opportunities to access arts and culture as more affluent neighbourhoods.’ Applications are scored against where activities are happening, for and with whom, how barriers will be overcome, and what conversations and planning with relevant communities have happened prior to the application.</p>
Map of current and previous CIP grant holders	<p>While the distribution of CIP funding across Bristol wards is broad, and is reaching into 15 priority areas, CIP 2 will aim to continue and extend this reach into additional areas of high deprivation currently not receiving CIP activity e.g. Hengrove/ Whitchurch, Hillfields, Lawrence Weston / Avonmouth, Stockwood, St George Central and Troopers Hill.</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 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.

<ul style="list-style-type: none"> - Although we monitor protected characteristics, this process has been disrupted by COVID-19 restrictions and we do not have an up-to-date evidence base. - Data collection is ongoing, however fuller evidence will not be available until 2022.
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- We do not currently collect data on all applicants, only audience data of funded projects and programmes.

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.

CIP Originators 20/21 review pilot – September 2020 to April 2021

Participatory focus groups: 4 sessions involving 10 invited citizens

In Autumn 2020 the BCC Arts and Events teams trialled a new participatory approach to reviewing and re-designing the Cultural Investment Programme, beginning with the Originators strand. A first step towards a co-designed Cultural Investment Programmes for Bristol that compliments the deliberative democratic approaches being introduced elsewhere in the council including the Citizens Assembly. The approach used the Arts and Event's team's Engage, Listen, Collaborate, Co-design ethos. Focus group was carefully planned and delivered to enable participants with a purposefully diverse range of arts and culture experience as well as either lived or embedded experience of protected characteristics including age, disability, race, sex and sexual orientation to work with officers to review and improve the Originators strand. This pilot resulted in:

- Plain English aims,
- Simplified, accessible form and guidance,
- Inclusion of images to illustrate the range of people and projects funded in the past as a visual welcome to equalities group projects and applicants
- Expanded offer of networking and one to one sessions for potential applicants. These were online due to Covid and for some this is more accessible to attend.
- Learning from working from this focus group is underpinning the proposed CIP2 funding round.

CIP Originators review survey (20/21 and 21/22 applicants)

CIP review survey requesting feedback on the refreshed CIP aims has been distributed to a 43 groups and projects currently funded through Originators, (25 delayed from 20/21 + 18 funded for 21 / 22) CIP's 'entry level' grant fund

CIP annual survey (Imagination and Openness)

The survey has been reviewed and updated to ask detailed and consistent information on audience / participant reach, and refreshed to ask questions around impact of Covid on delivery of activities with Bristol citizens and request feedback on the refreshed aims proposed for CIP2. We had a just under 50% response rate with 20 responses to date:

CIP review Focus groups

21st – 24th Sept

55 attendees

Three public consultation events targeted at Bristol's creative and cultural industries were held between the 21st and 24th of September, one of which specifically welcomed input from artists & arts organisations who are led by and/or work with equalities groups. Two of these sessions were held online, and one was held in person. Closed captioning was available during one online session; British Sign language was available during both online sessions. A Bursary of £50 was available to support freelancers to attend.

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

Questions relating to the aims:

- What are your thoughts/reflections on these aims?
- How well do they sit or align with your own/or organisations practice?
- How well do you think they align with issues currently facing Bristol and wider global issues as well?
- Where do you feel the gaps are?

CIP review online surveys

43 respondents

Online open survey on the Council website and via social media

Summary of learning from Review consultation

Feedback shows that the revised aims were generally found to be clear, well understood and relatable to the wide range of organisations and individuals who took part in the consultation.

Following the consultation, we will implement the these amendments to the proposal:

- Language: we will refine the language used within the aims and objectives based on the feedback received, and clarify the terminology used to help ensure greater accessibility.
- Objectives of the fund: we will reconsider the grouping of objectives set against specific aims.
-

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.

1-1 Meetings with key service providers with direct experience of and connections to communities of under-represented groups planned for Nov 2021. To include Youth Services, BIF, Black South West Network, WECIL, Creative Youth Network, and Bristol Disability Equality Forum.

Participatory model

In April 2021 we continued the participatory approach piloted in the Originator review in 2020 by broadening the CIP funding panel, balancing council officers with arts and culture representatives. The panel had diverse representation in terms of protected characteristics such as age, disability, race, sex and sexual orientation. We will review and continue this approach for Originators 22/23.

Further consultation: We will schedule additional public consultation sessions on the additional themes raised during this round of consultation, most notably the accessibility of the fund. We also plan to engage with the new network of funded organisations in the 2023 round and get advice and previous learned experience from the CIP grantee alumni.

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)

CIP guidance for all three strands will explicitly state *'We want to remove barriers and increase access for individuals and communities that have been historically marginalised or underrepresented. This is particularly for people with protected characteristics as detailed in the Equalities Act 2010. These protected characteristics are: Age; disability; gender reassignment; marriage and civil partnership; pregnancy and maternity; race; religion or belief; sex; sexual*

orientation. We know that this includes people who may identify themselves as sitting at the intersections of several minoritised identities.' However although we encourage organisations to work with as broad an intersection of society and targeted groups, we can only assess the applications that come to us.

PROTECTED CHARACTERISTICS

Age: Young People Does your analysis indicate a disproportionate impact? Yes No

Potential impacts: CIP1 programme has included Originator and Imagination grants to fund activities led by, or aimed at benefitting young Bristol citizens. The majority of Openness organisations have YP and skills development in their 4 year delivery plans. Monitoring of impact on this has been interrupted by covid. Regardless of this, and given the adverse effects of Covid on young people, their education and opportunities, particularly to have influence and employment within the cultural sectors, the aim is that over the four years of CIP2 the fund programme will have greater involvement from younger and older adults in planning and delivery of CIP.

Mitigations: One to one meetings with key young person focussed service providers in November to detail pro-active ways to engage young people in all aspects of CIP as well as potential applicants

Age: Older People Does your analysis indicate a disproportionate impact? Yes No

Potential impacts: No adverse impacts identified

Mitigations:

Disability Does your analysis indicate a disproportionate impact? Yes No

Potential impacts: In CIP 1 we have prioritised under-represented groups in the decisions that we have made for example Black, Asian and minority ethnic, and Disabled people led organisations. CIP1 funded activity has been aimed at organisations and activity enabling and benefitting artists and audiences identifying as disabled people. CIP 2 is being explicitly reviewed and re-designed to improve the accessibility of the application process, and we will be engaging with key organisations on the refreshed aims and how CIP can reach and grow the power of citizens and communities identifying as disabled through arts and culture. This will be reviewed on an ongoing basis through the 4 years of CIP.

Mitigations: Continue to work with key disability serving or led organisations to encourage applications from wider networks. Make the application process as simple as possible to limit barriers to applicants.

Sex Does your analysis indicate a disproportionate impact? Yes No

Potential impacts: No adverse impacts identified

Mitigations: N/A

Sexual orientation Does your analysis indicate a disproportionate impact? Yes No

Potential impacts: No adverse impacts identified

Mitigations: N/A

Pregnancy / Maternity Does your analysis indicate a disproportionate impact? Yes No

Potential impacts: We do not gather detailed data on pregnancy and maternity in the current programme, but we do know that some CIP funded organisations and projects are working specifically to support and creatively engage new mothers, particularly using arts and culture as a way to support health and wellbeing. There is no reason why they would be at a disadvantage for receiving further funding.

Mitigations: N/A

Gender reassignment Does your analysis indicate a disproportionate impact? Yes No

Potential impacts: We do not know the proportion of people who identify as transgender in Bristol, so cannot say whether the numbers currently involved in CIP are higher than the population average. However we do know that a number of people involved in current CIP projects and activities identify as transgender, and that this may well be underreported. We do not therefore anticipate any negative impact for trans people or gender re-assignment

Mitigations: Monitor and respond through the 4 year programme

Race Does your analysis indicate a disproportionate impact? Yes No

Potential impacts: CIP 2 explicitly intends to encourage applications from Black, Asian and minority ethnic

	led groups in the city, alongside other under-represented communities. Therefore CIP2 should not adversely impact on Black, Asian and minority ethnic communities.
Mitigations:	Work with community organisation in that work with groups and networks to encourage applications. Make the application process as simple as possible to limit barriers to applicants.
Religion or Belief	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	No adverse impacts identified
Mitigations:	N/A
Marriage & civil partnership	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	No adverse impacts identified
Mitigations:	N/A
OTHER RELEVANT CHARACTERISTICS	
Socio-Economic (deprivation)	Does your analysis indicate a disproportionate impact? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	We see less applications from particular areas of deprivation in the city
Mitigations:	Run focus sessions that engage and invite applications from those areas. Work with community organisation in those areas to encourage applications. Make the application process as simple as possible to limit barriers to applicants.
Carers	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	No adverse impacts identified
Mitigations:	N/A
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

CIP is already underpinned by a vision, aims and objectives, and robust and transparent assessment process, designed to support the delivery of our Public Sector Equality Duty. The proposal for CIP2 creates benefits for people based on their protected or other relevant characteristics, and builds on this through the 4 years of delivery by:

- Consulting: this already has led to refreshed CIP aims and objectives
- More engaged process: participatory approaches with target equalities groups
- Flexible and responsive: Creating a funding framework that can flex to respond and maximise impact

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 to this.

Summary of significant negative impacts and how they can be mitigated or justified:
The proposal will not have a negative impact as it is requesting investment to support arts and culture accessible for all over the next 4 years. However engagement as part of this impact proposal has raised awareness of particular concerns which may affect the level of impact for equalities communities
Clear and simple language: we will be refining the language used within aims and objectives, and all CIP paperwork, based on the feedback received. So that the language we use is not a barrier.
Objectives: we will reconsider how objectives are set against specific aims
Accessibility: we will schedule additional public consultation and focussed engagement on the accessibility of the fund.
All of the above will continue through the 4 years of the CIP2 programme
Summary of positive impacts / opportunities to promote the Public Sector Equality Duty:
We have refreshed and tested CIP aims through the engagement outlined in 2.4 so that they are now as proposed:
1. To support Bristol as a city of ideas, creativity and engagement
2. To advance diversity, equity and inclusion in arts and culture for all Bristol's citizens
3. Invest in people, places and partnerships to respond creatively to need and support social change.
In response to the Originators review in 2020 we tested a shorter time scale for assessing this fund to respond to requests that a one year fund needs to be more agile and responsive. We will continue to build on this pilot to ensure CIP2 can best benefit smaller, equality-led organisations, groups and artists
We will be using our 1-1 Meetings in November with key service providers with direct experience of and connections to communities of under-represented groups, to check and refine CIP2 objectives and delivery plan for CIP2 to ensure it best benefits and supports positive impact for equalities communities.

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
Inclusivity and impact - Compare the location of projects/invested Organisations over the last 4 years and the areas of multiple deprivation, Develop a plan as how to encourage applications from those areas, including working with the community development team. This work will see impact over the next 4 years mainly through the Originator funding. This will maximise opportunity and enable more diverse applications. Focusing on areas currently not receiving CIP activity e.g. Hengrove/ Whitchurch, Hillfields, Lawrence Weston / Avonmouth, Stockwood, St George Central and Troopers Hill.	Elise Hurcombe	Jan – April
Reflective - Review the objectives of the fund throughout the 4 year programme making sure they meet the needs of Bristol citizens and take in account local and global changes that may affect people in under representative groups across the city.	Elise Hurcombe	Sept – Jan each year
Inclusivity - Hold open sessions online and in person for anyone to find out more about the funds. The sessions will be fully accessible with BSL and Captioning (budget permitting). 121 sessions will be part of the sessions. The sessions will be advertised as far and wide as possible making sure we advertise through city wide networks. Practically networks that haven't applied for funding with us before.	Elise Hurcombe	March – April each year
Inclusivity - Increase officer resourcing over the 4 year programme to focus on diversifying the CIP programme. This resource has not been requested in the current cabinet paper in light of all services being asked to identify 5% efficiencies rather than any new investment at this time. This will be reviewed in 2022/23 as it will further support the impact of the fund and its overall aims to make arts and culture accessible to all. Our biggest barrier to understanding the impact and reflect to change our process is officer time.	Elise Hurcombe	March 2023 – March 2027

Improvement / action required	Responsible Officer	Timescale
Evaluation - Design a reflective evaluation programme that is core to the funding process. The aspiration is that this will be supported by more officer time and the services of an independent evaluator when resourcing, internal and external, is identified for this. Create an annual report and run reflection sessions for current applicants to improve the fund through the funding period.	Elise Hurcombe	Dec 2022 – Oct 22 design period March 2023 – March 2027 - Ongoing
Inclusivity, Access and Design – We will simplify and redesign the prospectus and guidance to make sure it is as accessible as possible	Elise Hurcombe	Nov 2021 – March 22
Inclusivity, Access and Design – Simplify the application process so the time taken to apply is proportionate to the amount of money people are applying for.	Elise Hurcombe	Nov 2021 – March 22
Advertising and promotion – use city wider networks to advertise the fund and supporting session. Create an evolving invite list and advertise through networks that support underrepresented groups such as WECIL and Black South West Network.	Elise Hurcombe	Jan – March through out 23-27


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.

1. Monitor and record how we've promoted the opportunity
2. Monitor and record take up of support offered and feedback on impact and quality
3. Regularly review the application and assessment process from an equalities perspective and mitigate risks of discrimination & disadvantage
4. Continue to explain the assessment process in the application pack
5. Review our language in the CIP 2 Prospectus and Openness, Imagination and Originators application packs to be as clear as possible
6. Review applicants and successful applicants to understand the impact of decisions and if it has delivered as intended
7. Review the action plan and twice a year and set goals throughout the year that are outlined in the actions plan.

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: John Smith, Director: Economy of Place 
Date: 6/10/2021	Date: 08/10/21

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: Cultural Investment Programme 2023-2027				
Report author: Elise Hurcombe				
Anticipated date of key decision: December 14 2021				
<p>Summary of proposals: This proposal is seeking the approval of a second Cultural Investment Programme (CIP), 2023 – 2027.</p> <p>Our vision for the Cultural Investment Programme is to ‘Make arts and culture accessible for all’.</p> <p>In seeking to support Bristol’s City Councils Corporate Strategy and One City Plan, the key aims of the Cultural Investment Programme 2023-27 will be to:</p> <ol style="list-style-type: none"> 1. To support Bristol as a city of ideas, creativity and engagement 2. To advance diversity, equity and inclusion in arts and culture for all Bristol’s citizens. 3. Invest in people, places and partnerships to respond creatively to need and support social change. <p>The above aims are currently being developed through consultation and may be refined in response to the feedback and comments we gather.</p> <p>As part of the Cultural Investment Programme, three funds will be available to support arts and cultural activity during 2023 – 2027:</p> <ul style="list-style-type: none"> - Openness over 4 years (open for application once) - Imagination over 2 years (open for application twice) - Originators every year (open for application four times). 				
Will the proposal impact on...	Yes/No	+ive or -ive	If Yes...	
			Briefly describe impact	Briefly describe Mitigation measures
Emission of Climate Changing Gases?	No		There will be no direct impacts from funding arts projects and the impacts from potential projects are not yet known.	Applicants will be asked about their own environmental or sustainability policies and aims. Applicants will be asked about the likely climate or ecological impacts of their project(s). The questions are listed in the summary section.
Bristol's resilience to the effects of climate change?	No		There will be no direct impacts from	Applicants will be asked about their own

			<p>funding arts projects and the impacts from potential projects are not yet known.</p>	<p>environmental or sustainability policies and aims.</p> <p>Applicants will be asked about the likely climate or ecological impacts of their project(s).</p> <p>The questions are listed in the summary section.</p>
Consumption of non-renewable resources?	No		<p>There will be no direct impacts from funding arts projects and the impacts from potential projects are not yet known.</p>	<p>Applicants will be asked about their own environmental or sustainability policies and aims.</p> <p>Applicants will be asked about the likely climate or ecological impacts of their project(s).</p> <p>The questions are listed in the summary section.</p>
Production, recycling or disposal of waste	No		<p>There will be no direct impacts from funding arts projects and the impacts from potential projects are not yet known.</p>	<p>Applicants will be asked about their own environmental or sustainability policies and aims.</p> <p>Applicants will be asked about the likely climate or ecological impacts of their project(s).</p> <p>The questions are listed in the summary section.</p>
The appearance of the city?	No		<p>There will be no direct impacts from funding arts projects and the impacts from potential projects are not yet known.</p>	<p>Applicants will be asked about their own environmental or sustainability policies and aims.</p> <p>Applicants will be asked about the likely climate or ecological impacts of their project(s).</p> <p>The questions are listed</p>

				in the summary section.
Pollution to land, water, or air?	No		There will be no direct impacts from funding arts projects and the impacts from potential projects are not yet known.	<p>Applicants will be asked about their own environmental or sustainability policies and aims.</p> <p>Applicants will be asked about the likely climate or ecological impacts of their project(s).</p> <p>The questions are listed in the summary section.</p>
Wildlife and habitats?	No		There will be no direct impacts from funding arts projects and the impacts from potential projects are not yet known.	<p>Applicants will be asked about their own environmental or sustainability policies and aims.</p> <p>Applicants will be asked about the likely climate or ecological impacts of their project(s).</p> <p>The questions are listed in the summary section.</p>

Consulted with: Environmental Performance Team; Culture and Creative industries; currently funded organisations.

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

There are no direct impacts from the provision of funding. The projects funded will be temporary and the amount of funding will limit their environmental impacts to some extent. The environmental impacts will depend on how the organisations funded carry out their environmental plans. These are specific to applicants and are detailed in their application papers and forward planning.

As part of the application process, all Imagination (2 year funding) and Openness (4 year funding) organisations will have to answer the following environment / eco-impact questions:

- Does the Applicant have an environmental or sustainability policy?
- Can the Applicant demonstrate an active aim of reducing their environmental impact and becoming more sustainable?
- Will the proposed project require significant amounts of travel (either in the course of work or from visitors), fuel or energy, or materials with high embodied carbon emissions from their manufacture? Portland cement and non-recycled metals are examples of materials high in embodied carbon.
- Will the proposed project produce a significant amount of waste that will not be

reused or recycled, or cause significant pollution or nuisance? This includes dust, noise, light pollution and polluting emissions to air, water or land.

- Will the proposed project contribute to raising awareness of climate or ecological emergencies?

All Originator (1 year funding) applicants will be asked:

- Will the proposed project contribute to raising awareness of climate or ecological emergencies?

Imagination and Openness proposals include the following measure to mitigate the impact. If the organisations do not have environmental plans, as part of the agreement they will be required to develop plans and implement them. The progress of these plans will be discussed during twice yearly relationship meetings.

The net direct environmental effects of the proposals will be very minor impacts in administration of the funding scheme. The net indirect impacts from the projects themselves are likely to be small, although there is potential for a significant beneficial impact on climate and ecological awareness if any environmental projects capture the public imagination.

Further to this, any funded projects that constitute a festival type event are referred to Bristol City Councils Events Team, for up to date guidance on how to minimise environmental impact and maximise the 'green' production of events through the use of recyclable and/or reusable sustainable products and materials.

Checklist completed by:

Name:	Elise Hurcombe
Dept.:	Economy of Place
Extension:	
Date:	30.09.2021
Verified by Environmental Performance Team	Giles Liddell, Project Manager - Environmental

Decision Pathway

PURPOSE: Key decision

MEETING: Cabinet

DATE: 14 December 2021

TITLE	Council Tax Base 2022/23		
Ward(s)	City Wide		
Author: Denise Murray	Job title: Director of Finance		
Cabinet lead: Cllr Craig Cheney	Executive Director lead: Mike Jackson		
Proposal origin: BCC Staff			
Decision maker: Cabinet Member			
Decision forum: <i>Cabinet</i>			
Purpose of Report:			
1. To recommend the Council Tax Base for 2022/23 for approval at Full Council.			
Evidence Base:			
<ol style="list-style-type: none"> 1. Bristol City Council has the power in statute to raise a tax on households in its area to pay for the provision of local services. It is designated as the Billing Authority for the area. This means that it is responsible for levying a council tax to meet its own demands and to meet the precepts of other authorities in the area. The major precepting bodies are Avon Police and Crime Commissioner and Avon Fire Authority. 2. Section 67 of the Local Government Finance Act 1992 (as amended) requires the Council to determine its tax base for council tax purposes each year. Properties are recorded in eight national bands by value (A to H) as determined the Valuation Office agency. Band H taxpayers pay twice as much as those in Band D and three times as much as those in Band A. The number of properties is expressed as a number of Band D equivalent properties. 3. In accordance with Regulations the Authority must set a tax base for council tax purposes and notify major precepting bodies by 31 January each year. 4. The calculation has been prepared in accordance with the Local Authorities (Calculation of Council Tax Base) Regulations 2012 which came into force on 30 November 2012. In October each year. MHCLG requires a snapshot, which is based on the number of properties, of the Tax Base at a specified date in October, net of exemptions, reductions and discounts. This is known as the CTB1 return. A copy of the return for October 2021 is attached as Appendix A to this report. This calculates the number of chargeable properties in the City. Adjustments are then made for discounts and exemptions including those for the Council Tax Support Scheme. 5. Although the Covid-19 pandemic continues to impact on the economy, there has been an increase in the number of properties built and banded and a levelling off in the number of Council Tax Reduction Scheme claimants. However, in terms of council tax collection, we anticipate a tapered recovery throughout 2022/23 and beyond. Therefore, an adjustment has been made to the in-year collection rate, reducing it from 96.8% to 95.8%. Furthermore, we are assuming a reduction in arrears collection with a 1.2% collection rate rather than 1.7%. For 2022/23 only we have also 			

increased the losses on in-year collection, from 1.5% to 3%. As a result, the number of Band D equivalent properties, net of exemptions, reductions, and discounts, in 2022/23 is 127,917 which is a 0.02% reduction on the adjusted base for 2021/22.

Cabinet Member / Officer Recommendations:

Approve the report and calculated amount as set out in the report and refer to Full Council for approval.

Corporate Strategy alignment: Managing our local tax income well is aligned to the being an effective development organisation. By having good governance and sound financial management of our tax income ensures we deliver good value for money and maximises resources available to deliver all other corporate strategy objectives

City Benefits: Setting the Council tax base is a legislative requirement. Council Tax provides the largest proportion of income to the Council to provide all services. There are various exemptions, discounts and reductions available to ensure those who aren't able to pay receive the help they need.

Consultation Details: N/A

Background Documents: CTB (October 2021) attached

Revenue Cost	£n/a	Source of Revenue Funding	General Fund
Capital Cost	£ Nil	Source of Capital Funding	N/A.
One off cost <input checked="" type="checkbox"/>	Ongoing cost <input type="checkbox"/>	Saving Proposal <input type="checkbox"/>	Income generation proposal <input type="checkbox"/>

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

1. Finance Advice:

The calculation of the Council Tax Base is calculated based on data extracted from the CTB1 return completed in mid-October. This is then adjusted for fluctuations in both the housing market and the estimated effect of levels of Council Tax Support, discounts, and exemptions. The impact of each of these is set out in detail in the report. The adjusted tax base of 127,917 represents a reduction of 0.02% on the adjusted base when compared with 2021/22. This is in line with overall collection fund assumptions in the recently published MTFP.

Finance Business Partner: Tony Whitlock, 16/11/21

2. Legal Advice:

The tax base calculations for 2022/23 set out in this report comply with the Local Authorities (Calculation of Council tax base) Regulations 2012. The report will enable the Council to meet the requirement under the Local Government Finance Act 1992 (as amended) to determine the Council Tax base by no later than 31st January in the preceding financial year.

Legal Team Leader: Nancy Rollason – Head of Legal Services 23/11/21

3. Implications on IT: No IT Implications

IT Team Leader: Iain Godding, Head of Enterprise Architecture, 3.12.2021

4. HR Advice: No HR implications

HR Partner: Mark Williams 24/11/21

EDM Sign-off	Denise Murray	17/11/21
Cabinet Member sign-off	Cllr Craig Cheney	29/11/21
For Key Decisions - Mayor's Office sign-off	Mayor's Office	15/11/21

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

1. Policy

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

2. Consultation**3. Internal**

Budget Task and Finish Group
Head of Revenues - Resources

4. External

Not applicable

5. Context

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

5.2. In accordance with regulations the Council must set a tax base for council tax purposes and notify major precepting bodies by 31 January each year.

6. Calculation of council tax base

6.1. The calculation has been prepared in accordance with the Local Authorities (Calculation of Council Tax Base) Regulations 2012 which came into force on 30 November 2012. In October each year. DLUHC requires a snapshot, which is based on the number of properties, of the Tax Base at a specified date in October, net of exemptions, reductions, and discounts. This is known as the CTB1 return. A copy of the return for October 2021 is attached as Appendix B to this report. This calculates the number of chargeable properties in the city.

6.2. This is based on figures as of October 2021 and therefore adjustments are then based on forecast changes expected over the following 18 months for changes in the number of dwellings, changes in discounts and exemptions including those for the Council Tax Reduction Scheme. The adjusted numbers of properties in each of the eight valuation bands A to H are expressed as numbers of band D equivalents so they may be added together to produce a single figure. The table below shows the tax base and associated year on year percentage increase for the last five years

Year	Tax Base (Budget Report)	Percentage Increase
2018/19	125,798	1.38%
2019/20	126,999	0.95%
2020/21	128,566	1.23%
2021/22	127,950	(0.48%)
2022/23	127,917	(0.02%)

7. Covid-19 Pandemic

7.1. The COVID-19 pandemic has had a huge global impact as well as a profound and

unprecedented impact on the city, the Council's activities, and its finances, since March 2020. There remains much uncertainty as to what lies ahead and the associated long-term impact on public finances.

8. Local Council Tax Reduction Scheme

8.1. Bristol is one of the few local authorities that implements a fully funded Local Council Tax Reduction scheme (CTRS). Prior to the pandemic, there had been year on year reductions in both the numbers of working age and pensioner claimants to the CTRS. During the pandemic, we saw a significant increase in CTRS working age claimants and caseload. Since then, pensioner numbers have continued to reduce while working age numbers have risen but at a much slower rate than during the Pandemic.

8.2. The table below shows the number of pensioner and working age claimants for the last five years

	Aug-17	Aug-18	Aug-19	Aug-20	Aug-21
Working Age	24,525	24,171	23,758	25,227	25,445
Pensioners	12,656	11,966	11,322	10,819	10,483
Total	37,181	36,137	35,080	36,046	35,928

8.3. The Office for Budgetary Responsibility (OBR) estimates on working age benefits caseloads for 2022/23, show an increase of around 2.3%. In addition, there is national economic and unemployment data which would suggest there is a slowing down in the increase of unemployment but still in excess of 2021/22 levels. Therefore, a further 2.5% increase has been added to the 2021 working age caseload above to reflect any potential increase during 2022/23. This adds a further 670 claimants, effectively reducing the tax base by 493 Band D equivalent properties. The continuing reduction in pensioner claimants would suggest their income was not as adversely affected by the Pandemic as other areas of the local population.

8.4 The government's Spending Review, announced in October, included change to the Universal Credit taper from December 2021. This will result in some claimants receiving more Universal Credit, which will, in turn, reduce the amount of CTRS claimed.

9. Single Person Discounts

9.1. Regular reviews continue to monitor the number of properties attracting single person discounts. Currently around 30% of domestic properties are claiming single person discount. This equates to an estimated 62,547 properties or 49,646 band D equivalents. Regular National Fraud Initiatives identify multiple occupants in properties claiming single person discount helping to ensure that the Council Tax Base properly reflects entitlements to this discount. A National Fraud Office review is being carried out during 2021/22 and is expected to identify further reductions but trends suggest these are likely to be balanced by a further general increase in legitimate applications for single person discount. Therefore, no further adjustments have been made to the council tax base.

10. Student Exemptions

10.1. Students are entitled to an exemption from paying council tax if everyone in the property is a full-time student. Alternatively, they may be entitled to a discount if some of the people occupying a property are full time students. Bristol has a large student population, and as at the end of October the status of all students has not been evidenced to the Council. It is therefore necessary to estimate the number of additional students likely to be eligible for exemptions. Any estimate to be included in the tax base will also take account of any known student related property developments. The

adjustment of 2,778 comprises of an estimated increase in student exemptions of 2,291 properties due to existing student households where exemptions need to be re-instated, an additional 487 student properties under construction and likely to be added to the rating list for 2022/23. This is equivalent reduction in Band D properties of 2,417 as shown below and in the table at paragraph 13. The construction work relates to 7 major sites across the city.

	All Bands	Band D Equivalent
Number of student dwellings registered per CTB1	6,779	6,237
Existing student households yet to register	2,291	2,038
New student dwellings likely to be added to the rating list by the end of 2021/22	281	219
New student dwellings likely to be added to the rating list in 2022/23	206	160
	9,557	8,654

10.2. Student accommodation can take the form of either private housing or halls of residence. The table below sets out both the actual number of properties (houses/flats and halls of residents) receiving student exemptions at the end of the financial year along with an estimate of the Band D equivalents based on these figures. The 2021/22 figures are an estimate of the position at the end of the financial year and the 2022/23 is an estimate of anticipated numbers given as part of the council tax base calculations

10.3.

Year	Property Numbers	
	Actual/Estimated	
	Student Exemptions	Band D Equivalents
2019/20	8,891	7,631
2020/21	9,024	7,852
2021/22	9,351	8,137
2022/23	9,557	8,654

11. Growth

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

11.2. The 2022/23 estimate for growth uses information provided by the Council's Valuation and Inspection team and is based on the number of new developments in the city where work has commenced. Assumptions are then made as to whether these properties will be banded by the end of the financial year, the actual date during the year they may be banded and the number of exemptions, discounts, and Council Tax Reductions they might attract.

11.3. Since the completion of the CTB1 return the Valuation & Inspection team have reported a further

426 properties to the Valuation Office for banding and it is assumed all these properties will have been banded by 1 April 2022. This is equivalent to a total of 350 band D properties.

11.4. The team are monitoring a potential 7,547 additional new builds where work has commenced. The estimate of properties likely to be banded by March 2023 is anticipated to be around 5,842. We estimate 334 dwellings will be banded by March 2022, 2,734 by September 2022, 690 dwellings will be banded by March 2023 with a further 2,084 where the completion date is unknown. The numbers are further reduced to 2,803 to factor in the dwellings will not be banded for the entire period. A 25% reduction has been factored in for loss in revenue due to exemptions, discounts, and Council Tax Reduction. The final figure is converted into the Band "D" equivalent of 1,983

11.5. The total estimated equivalent Band D growth in the tax base is therefore estimated at 1,983.

	Total Dwellings	Band D Equivalents
Identified new dwellings under construction not complete	7,547	6,170
Of which are likely to be completed by 31.3.23	5,842	3,359
Adjusted for estimated variable completion dates	2,803	2,292
Add: properties already complete and waiting to be banded	426	348
	3,229	2,640
Less estimated discounts and exceptions, CTRS etc	(817)	(657)
Total Growth	2,412	1,983

11.6. Housing growth in the 2021/22 CTB report assumed additional band D equivalent properties added to the tax base by the end of 2021/22 of 2,045. However, data as at the end of September 2021 would suggest a reduction of 157 Band D equivalent properties likely to be banded and chargeable for this financial year. The revised number is now forecast to be 1,888. Continuing issues with building supplies will have contributed to this slower than expected growth.

12. Losses on Collection

12.1. The losses on collection figure in the table in paragraph 13 below is an estimate of previous years arrears which will be recoverable. In estimating the provision for losses on collection the Council makes an estimate of debts which, after full recovery measures have been affected will be uncollectable in the longer term and therefore recommended for write-off. Prior to the Covid-19 pandemic this was estimated to be an in-year net loss against the tax base of 1.5%. However due to the potential on-going effects of the pandemic this has been revised for one year only to 3%.

12.2. The collection rate for 2021/22 is likely to be around 91.9%, with potentially over £20m in uncollected in-year arrears. Pre the Pandemic, the in-year collection rate was 96.8%. During 2022/23 we expect to see the start of a tapered recovery and for collection rates to increase. Therefore for 2022/23 the collection rate has been set at 95.8%. The collection of arrears is also expected to improve during 2022/23, contributing a further 1.2% to the forecast tax base.

13. Calculation of the Council Tax Base

	2022/23 Band D Equivalent Properties	2021/22 Band D Equivalent Properties	Difference
Tax Base as per attached CTB 1 Return	132,800	130,526	2,274
Adjustment due to anticipated growth	1,983	2,045	(62)
Adjustment due to increase in working age CTS claimants	(493)	(780)	287
Adjustment due to reduction in pensioner CTS claimants	0	324	(324)
Reduction due to reinstatement of existing student properties not recorded on CTB1	(2,417)	(2,265)	(152)
Long Term Empty Property Premium (in CTB1 for 22/23)		48	(48)
Adjusted Tax Base	<u>131,873</u>	<u>129,898</u>	<u>1,975</u>
LESS losses on collection (3% for 2022/23)	(3,956)	(1,948)	(2,008)
Recommended Tax Base	<u>127,917</u>	<u>127,950</u>	(33)

12.4. This is a reduction of 33 (0.02%) Band D equivalent properties since the last Tax Base calculation in October 2020.

Other Options Considered

13. Not applicable

Risk Assessment

- i. There are a number of risks associated with estimating the amount of Council Tax collected during the year. These include;
 - Difficulty in estimating Council Tax discounts and exemptions, including the take-up of the Council Tax Support Scheme.
 - On-going impact of Covid-19 on employment and businesses on collection rates and Council Tax Reduction Scheme.

Public Sector Equality Duties

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

Legal

The tax base calculations for 2022/23 set out in this report comply with the Local Authorities (Calculation of Council tax base) Regulations 2012. The report will enable the Council to meet the requirement under the Local Government Finance Act 1992 (as amended) to determine the Council Tax base by no later than 31st January in the preceding financial year.

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

Financial

(a) Revenue

The calculation of the Council Tax Base is calculated based on data extracted from the CTB1 return completed in mid-October. This is then adjusted for fluctuations in both the housing market and the estimated effect of levels of Council Tax Support, discounts, and exemptions. The impact of each of these is set out in detail in the report. The adjusted tax base of 127,917 represents a reduction of 0.02% on the base when compared with 2021/22.

(b) Capital

Not applicable

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

Land

Not applicable

Personnel

Not Applicable

Appendices:

Appendix 1 - Copy of the CTB report submitted to the DLUHC October 2021

LOCAL GOVERNMENT (ACCESS TO INFORMATION) ACT 1985

Background Papers: Working papers held in Corporate Finance

CTB(October 2021)

Calculation of Council Tax Base

Please e-mail to : ctb.stats@communities.gov.uk

Please enter your details after checking that you have selected the correct local authority name

Ver 1.1

Please select your local authority's name from this list

Brenthorpe
Brighton & Hove
Bristol
Broadland
Bromley
Bromsgrove

Check that this is your authority :

Bristol
E-code : E0102
Local authority contact name :
Local authority contact telephone number :
Local authority contact e-mail address :

CTB(October 2021) form for a Bristol

Completed forms should be received by DLUHC by Friday 15 October 2021

Dwellings shown on the Valuation List for the authority on Monday 13 September 2021	Band A entitled to disabled relief reduction COLUMN 1	Band A COLUMN 2	Band B COLUMN 3	Band C COLUMN 4	Band D COLUMN 5	Band E COLUMN 6	Band F COLUMN 7	Band G COLUMN 8	Band H COLUMN 9	TOTAL COLUMN 10
Part 1										
1. Total number of dwellings on the Valuation List		53,902	74,853	40,256	19,113	9,896	4,838	2,869	346	206,073.0
2. Number of dwellings on valuation list exempt on 4 October 2021 (Class B & D to W exemptions)		2,732	1,552	1,371	1,296	1,128	172	49	12	8,312.0
3. Number of demolished dwellings and dwellings outside area of authority on 4 October 2021 (please see notes)		0	0	0	0	0	0	0	0	0.0
4. Number of chargeable dwellings on 4 October 2021 (treating demolished dwellings etc as exempt) (lines 1-2-3)		51,170	73,301	38,885	17,817	8,768	4,666	2,820	334	197,761.0
5. Number of chargeable dwellings in line 4 subject to disabled reduction on 4 October 2021		35	188	142	82	51	27	27	24	576.0
6. Number of dwellings effectively subject to council tax for this band by virtue of disabled relief (line 5 after reduction)	35	188	142	82	51	27	27	24		576.0
7. Number of chargeable dwellings adjusted in accordance with lines 5 and 6 (lines 4-5+6 or in the case of column 1, line 6)	35	51,323	73,255	38,825	17,786	8,744	4,666	2,817	310	197,761.0
8. Number of dwellings in line 7 entitled to a single adult household 25% discount on 4 October 2021	13	23,670	21,806	10,117	4,108	1,726	715	365	27	62,547.0
9. Number of dwellings in line 7 entitled to a 25% discount on 4 October 2021 due to all but one resident being disregarded for council tax purposes	2	467	905	576	269	104	36	12	2	2,373.0
10. Number of dwellings in line 7 entitled to a 50% discount on 4 October 2021 due to all residents being disregarded for council tax purposes	1	32	76	60	30	24	29	40	22	314.0
11. Number of dwellings in line 7 classed as second homes on 4 October 2021 (b/fwd from Flex Empty tab)		1,012	664	511	269	109	39	16	7	2,627.0
12. Number of dwellings in line 7 classed as empty and receiving a zero% discount on 4 October 2021 (b/fwd from Flex Empty tab)		1,082	931	431	227	104	35	23	4	2,837.0
13. Number of dwellings in line 7 classed as empty and receiving a discount on 4 October 2021 and not shown in line 12 (b/fwd from Flex Empty tab)		47	55	25	14	7	11	2	2	163.0
14. Number of dwellings in line 7 classed as empty and being charged the Empty Homes Premium on 4 October 2021 (b/fwd from Flex Empty tab)		110	91	21	16	8	1	0	1	248.0
15. Total number of dwellings in line 7 classed as empty on 4 October 2021 (lines 12, 13 & 14).		1,239	1,077	477	257	119	47	25	7	3,248.0
16. Number of dwellings that are classed as empty on 4 October 2021 and have been for more than 6 months. NB These properties should have already been included in line 15 above.		439	406	191	103	33	22	15	5	1,214.0
16a. The number of dwellings included in line 16 above which are empty on 4 October 2021 because of the flooding that occurred between 1 December 2015 and 31 March 2016 and are only empty because of the flooding.		0	0	0	0	0	0	0	0	0.0
16b. The number of dwellings included in line 16 above which are empty on 4 October 2021 because of the flooding that occurred between November 2019 and February 2020 and are only empty because of the flooding.		0	0	0	0	0	0	0	0	0.0
17. Number of dwellings that are classed as empty on 4 October 2021 and have been for more than 6 months and are eligible to be treated under empty homes discount class D (formerly Class A exemptions). NB These properties should have already been included in line 15 above. Do NOT include any dwellings included in line 16a above.		19	47	14	10	4	9	1	2	106.0
18. Number of dwellings that are classed as empty and have been empty for more than 6 months excluding those that are subject to empty homes discount class D or empty due to flooding (Line 16 - line 16a - line 16b - line 17) (equivalent to Line 18 in previous forms).		420	359	177	93	29	13	14	3	1,108.0
19. Number of dwellings in line 7 where there is liability to pay 100% council tax before Family Annexe discount	19	26,997	50,322	28,025	13,349	6,875	3,873	2,398	256	132,114.0

CTB(October 2021)

Calculation of Council Tax Base

Please e-mail to : ctb.stats@communities.gov.uk

Please enter your details after checking that you have selected the correct local authority name

Ver 1.1

20. Number of dwellings in line 7 that are assumed to be subject to a discount or a premium before Family Annexe discount	16	24,326	22,933	10,800	4,437	1,869	793	419	54	65,647.0
21. Reduction in taxbase as a result of the Family Annexe discount (b/fwd from Family Annexe tab)	0.0	4.3	0.0	0.5	0.0	0.0	0.0	0.0	0.0	4.8
22. Number of dwellings equivalents after applying discounts and premiums to calculate taxbase	30.8	45,391.5	67,624.3	36,131.8	16,683.8	8,281.5	4,454.3	2,700.8	290.8	181,589.3
23. Ratio to band D	5/9	6/9	7/9	8/9	9/9	11/9	13/9	15/9	18/9	
24. Total number of band D equivalents (to 1 decimal place) (line 22 x line 23)	17.1	30,261.0	52,596.6	32,117.1	16,683.8	10,121.8	6,433.9	4,501.3	581.5	153,314.1
25. Number of band D equivalents of contributions in lieu (in respect of Class O exempt dwellings) in 2021-22 (to 1 decimal place)										18.8
26. Tax base (to 1 decimal place) (line 24 col 10 + line 25)										153,332.9

Part 2

27. Number of dwellings equivalents after applying discounts and premiums to calculate tax base (Line 22)	30.75	45,391.50	67,624.25	36,131.75	16,683.75	8,281.50	4,454.25	2,700.75	290.75	181,589.3
28. Reduction in taxbase as a result of local council tax support (b/fwd from CT Support tab)	10.56	13,921.02	10,325.57	2,684.49	573.08	154.16	39.14	6.60	0.00	27,714.6
29. Number of dwellings equivalents after applying discounts, premiums and local tax support to calculate taxbase	20.2	31,470.5	57,298.7	33,447.3	16,110.7	8,127.3	4,415.1	2,694.2	290.8	153,874.6
30. Ratio to band D	5/9	6/9	7/9	8/9	9/9	11/9	13/9	15/9	18/9	
31. Total number of band D equivalents after allowance for council tax support (to 1 decimal place) (line 29 x line 30)	11.2	20,980.3	44,565.6	29,730.9	16,110.7	9,933.4	6,377.4	4,490.3	581.5	132,781.3
32. Number of band D equivalents of contributions in lieu (in respect of Class O exempt dwellings) in 2021-22 (to 1 decimal place)(line 25)										18.8
33. Tax base after allowance for council tax support (to 1 decimal place) (line 31 col 10 + line 32)										132,800.1

Certificate of Chief Financial Officer

I certify that the information provided on this form is based on the dwellings shown in the Valuation List for my authority on 13 September 2021 and that it accurately reflects information available to me about exemptions, demolished dwellings, disabled relief, discounts and premiums applicable on 4 October 2021 and, where appropriate, has been completed in a manner consistent with the form for 2020.

Chief Financial Officer :

Date :

Decision Pathway – Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 14 December 2021

TITLE	Collection Fund Surplus/Deficit 2021/22		
Ward(s)	City Wide		
Author: Denise Murray	Job title: Director of Finance		
Cabinet lead: Cllr Craig Cheney	Executive Director lead: Mike Jackson		
Proposal origin: BCC Staff			
Decision maker: Cabinet Member			
Decision forum: <i>Cabinet</i>			
Purpose of Report:			
<ol style="list-style-type: none"> 1. To set the estimated Collection Fund surplus / deficit as at 31st March 2022 as required by legislation for determination by Full Council. 			
Evidence Base:			
<ol style="list-style-type: none"> 1. The Local Government Finance Act 1992 (as amended) requires the Council to determine the estimated surplus or deficit on the Collection Fund in respect of Council Tax by 15 January. This will enable the precepting authorities (the Police and Crime Commissioner for Avon and Somerset and Avon Fire and Rescue) to take into account their share of any surplus before finalising their precepts for 2022/23. 2. Similarly, following the introduction of the Business Rates Retention Scheme from April 2013, in accordance with the Non-Domestic Rating (Rates Retention) Regulations 2013, the Council must determine the estimated surplus or deficit on the Collection Fund in respect of Business Rates prior to 31 January 2022. 3. Budgeted income from Council Tax and Business Rates are fixed at the start of each financial year. Any variations from this are realised through the Collection Fund and are distributed over the following two financial years (based on estimated in the following year and actuals in the subsequent year.) The Council is required by statute to maintain a Collection Fund separate from the General Fund. The Collection Fund accounts independently for: <ul style="list-style-type: none"> ▪ Income into the Fund: the Fund is credited with the amount of receipts of Council Tax and Non Domestic Rates (NDR) it collects. ▪ Payments out of the Fund: in relation to Council Tax payments that are made to the Council and the two major precepting authorities (Avon and Somerset Police and Crime Commissioner and Avon Fire and Rescue). In relation to NDR payments that are made to the Council, Avon Fire and Rescue Service and WECA. 4. The impact of Covid-19 has had an on-going significant impact on the collection of both Council Tax and Business Rates that was anticipated when setting the budget. There is a significant deficit forecast on the collection fund of £13.999m, including any amounts brought forward from the previous financial year. 5. The deficit is largely due to the requirement to make a one off increase to the provision for the 			

impairment of debts, both for council tax and business rates. Also of significance is the on-going risk in the volatility associated with business rates appeals. There have been a number of significant rateable value reductions in 2021/22, so it is proposed that an additional £5m is set aside to top up the provision.

- Generally, the surplus or deficit on the collection fund is carried forward and distributed in the following financial year. However last year the government allowed any in-year deficits relating to 2020/21 to be phased over the next three years, reducing the impact on 2021/22 budgets. No such announcement has been made to date for losses incurred in 2021/22. Any further developments may be announced in the provisional local government finance settlement in December.

Cabinet Member / Officer Recommendations:

- That Cabinet approve the report and calculations as set out in this report and refer to Full Council for approval.

Corporate Strategy alignment: Managing our local tax income well is aligned to the being an effective development organisation. By having good governance and sound financial management of our tax income ensures we deliver good value for money and maximises resources available to deliver all other corporate strategy objectives

City Benefits: Setting the Collection Fund Estimate is a legislative requirement. Council Tax and Business Rates provides the largest proportion of income to the Council to provide all services. There are various exemptions, discounts and reductions available to ensure those who aren't able to pay receive the help they need.

Consultation Details: N/A

Background Documents: N/A

Revenue Cost	£10.854m	Source of Revenue Funding	General Fund
Capital Cost	£ Nil	Source of Capital Funding	N/A.
One off cost <input checked="" type="checkbox"/>	Ongoing cost <input type="checkbox"/>	Saving Proposal <input type="checkbox"/>	Income generation proposal <input type="checkbox"/>

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

1. Finance Advice:

The total estimated deficit on the Collection Fund for 2020/21, including any brought forward balances is £13.399m. The Bristol share of this deficit, after adjustments and the application of £1.5m Local Council Tax Support Grant, charged to the general fund in 2022/23, is £10.854m. This is in line with collection fund assumptions made in the recently published MTFP. This impacts on the resources available to the fund the revenue budget in 2022/23 due to be considered by Full Council on 14 February 2022

Finance Business Partner: Tony Whitlock, 16 November 2021

2. Legal Advice

This report enables the Council to comply with the requirements of the Local Government Finance Act 1992(as amended), to determine the estimated surplus or deficit on the Collection Fund in respect of Council Tax prior to 15 January. This is so that the precepting authorities (the Police and Crime Commissioner for Avon and Somerset and Avon Fire and Rescue) can take into account their share of any surplus before finalising their precepts for 2022/23.

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

Legal Team Leader: Nancy Rollason – Head of Legal Services 23/11/21		
3. Implications on IT: No IT Implications		
IT Team Leader: Iain Godding, Head of Enterprise Architecture, 3.12.2021		
4. HR Advice: No HR implications		
HR Partner: Mark Williams 24/11/21		
EDM Sign-off	Denise Murray	17/11/21
Cabinet Member sign-off	Cllr Craig Cheney	29/11/21
For Key Decisions - Mayor's Office sign-off	Mayor's Office	15/11/21

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

Policy

APPENDIX 1

1. The Local Government Finance Act 1992 (as amended) requires the Council to determine the estimated surplus or deficit on the Collection Fund in respect of Council Tax by 15 January. This will enable the precepting authorities (the Police and Crime Commissioner for Avon and Somerset and Avon Fire and Rescue) to factor in their share of any surplus or deficit before finalising their precepts for 2022/23.

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

As a result of the ongoing impact of the Covid-19 pandemic, Bristol, in line with many other local authorities is predicting a deficit on its collection fund for the second year. This has been partially alleviated by a surplus brought forward from the previous financial year, due mainly to fluctuations in the appeals provision.

Last year the government announced that the repayment of collection fund deficits arising in 2020/21 could be spread over 3 years rather than the usual period of payment in full in the subsequent year. Regulation was passed in Parliament to implement the collection fund deficit phasing which came into force on 1 December 2020. In addition, a local tax income guarantee scheme was introduced that compensated councils for 75% of losses once deemed irrecoverable in council tax and business rates income in respect of 2020/21. Due to the methodology for calculating irrecoverable losses this only resulted in £1.4 million compensation in 2021/22 for the Council's 2020/21 losses.

No new funding for Local Government Covid related pressures were announced in the government's Spending Review published in October 2021. There has been no announcement yet as to whether deficit phasing will be allowed again. Assuming there is no continuation of the support mechanisms outlined above then the deficit on the collection fund as set out in this report will impact on the budget for 2022/23. Any decision to offer further assistance with regards the spreading of collection fund deficits may be made in the local government finance settlement, due to be announced in December.

A full analysis of the financial impact of this arrangement for both the Council and its preceptors follows in the report.

Consultation

2. Internal

Budget Task and Finish Group
Head of Revenues - Resources

3. External

Not applicable

Context

4. Income from Council Tax and Business Rates are fixed at the start of each financial year. Any variations from this are realised through the Collection Fund and will now be distributed in the following three financial years. The Council is required by statute to maintain a Collection Fund separate from the General Fund. The Collection Fund accounts independently for:
- Income into the Fund: The Fund is credited with the amount of receipts of Council Tax and (Non-Domestic Rates) NDR it collects.
 - Payments out of the Fund: in relation to Council Tax payments that are made to the Council and the two major precepting authorities (Avon and Somerset Police and Crime Commissioner and Avon Fire and Rescue). In relation to NDR payments that are made to the Council, Avon Fire and Rescue Service and WECA.

2021/22 estimated deficit for Council Tax

5. For the year ending 31 March 2022 we are forecasting a deficit of £10.016m for the council tax element of the Collection Fund. After taking account of balances brought forward in the collection fund this is reduced to a deficit of £9.763m. Under current arrangements this deficit will be distributed in 2022/23.

Composition of Council Tax Deficit 2021/22

6. The table below details the major elements making up the Council Tax Deficit in 2021/22.

	£m
Reduction in the estimated cost of Council Tax Support	(2.0)
Reduction in the number of chargeable dwellings	0.3
Increase in discounts and reliefs	0.5
Increase in the allowance for impairment of debts (net of budgeted allowance of £4.2m)	11.2
Total	10.0

Details are set out below.

Council Tax Support Scheme

7. Bristol is one of the few local authorities retaining a fully funded Local Council Tax Reduction scheme (CTRS). Prior to the pandemic, there had been year on year reductions in both the numbers of working age and pensioner claimants to the

CTRS. During the pandemic, we saw a significant increase in CTRS claimants and caseload, particularly amongst working age. Since then, pensioner numbers have started to reduce while working age numbers have continued to rise but at a much slower rate than during the high of the Pandemic.

Table 1 below shows the number of pensioner and working age claimants for the last five years, while table 2 shows the value (net of the Hardship Fund where applicable) for each of the last three years.

Table 1

	Oct-17	Oct-18	Oct-19	Oct-20	Oct-21
Working Age	24,420	24,026	23,506	25,114	25,211
Pensioners	12,540	11,844	11,239	10,755	10,436
Total	36,960	35,870	34,745	35,869	35,647

Table 2

	Value of Claims			
	Working Age	Pensioners	Hardship Fund	Total
	£'000	£'000	£'000	£'000
01-Oct-19	26,564	12,996		39,560
01-Oct-20	30,489	13,012	(1,289)	42,212
01-Oct-21	31,167	13,252	(730)	43,689

8. The value of benefits awarded through the Council Tax Support Scheme for 2021/22 was originally estimated at £46.6m. It is anticipated that the actual cost of the scheme by the end of March will be £44.6m. The original estimate, based on August 2020 figures, assumed a further 5% increase in working age claimants going into 2021/22. This would have taken the number of working age claimants to 26,488. This increase did not materialise, and instead began to stabilise. This accounts for the £2m saving in the cost of the scheme.
9. The government's Spending Review, announced in October, included change to the Universal Credit taper from December 2021. This will result in some claimants receiving more Universal Credit, which will, in turn, reduce the amount of CTRS claimed.

Growth

10. When setting the amount of Council Tax collectable for the year ahead an estimate is made on new properties being built which will pay Council Tax during the year. The Council Tax Base report for 2021/22 estimated a further 2,045 band D equivalent dwellings would be completed, added to the rating list and chargeable for council tax during the year. Current estimates would suggest this number will be 1888, a reduction of 157 band D equivalents. Continuing issues with building supplies will have contributed to this slower than expected growth.

Discounts and Exemptions

11. There is a very small increase of around £500k in discounts and exemptions forecast for year-end. These are mainly due to the fluidity of Bristol's student population and a very small increase in the care home population and probate cases.

Losses on Collection and contribution to the provision for the impairment of debts

12. As at the end of October 2021, arrears, excluding current year, stood at £20.9m. Of this £10.2m relates to 2020/21. Overall collection for 2021/22 is likely to show a shortfall of £20.8m against the annual billing debit, potentially increasing arrears at year-end to £41.7m. Pre the Pandemic, the Council would normally anticipate collecting around £4m towards previous years arrears. This year, to date, around £500k has been collected. In the light of this officers have reassessed the impairment provision for doubtful debts with a view to making a "one off" increase to the provision, over and above that normally anticipated.
13. Pre-pandemic, collection would normally keep pace with, and slightly exceed, the annual increase in council tax, year on year, however collection in both 2020-21 and 2021-22 has slipped whilst recovery action was paused to support households manage the impact of the pandemic. As recovery action begins officers will focus on supporting citizens to maintain their ongoing payments, but are confident arrears will also start to reduce, with an on-going improved position continuing throughout 2022/23. However, it must be recognised, over time this debt will become more difficult to collect, although clearly the Council will seek to recover as much of the arrears as it is possible to do.
14. To ensure the provision is sufficient to provide for year-end arrears officers have increased the annual percentage of debt provided for by five percent. So, for example, the Council might expect, over time, to recover 53 percent of current year arrears. This has been reduced to 48 percent. A similar reduction has been applied to arrears balances for 2019/20 and 2020/21. All balances over three years old are fully provided for. This increase is to mitigate the uncertainties arising as a result of the covid debt collection pause and will be reassessed at year

end based on initial recovery experience. All impairment provisions are the subject of scrutiny by the Council's External Auditor at year end.

15. The total requirement for the provision is estimated at £28.1m. As at the 1 April 2021 the provision stood at £13.4m. After a small adjustment for write offs of £700k, an increase of £15.4m is required. (Note, the original tax base allowed for £4.2m) This additional sum reduces net receipts and contributes to the in-year deficit for the council tax element of the collection fund.

16. Only after full investigations have been completed will debt be recommended for write-off if deemed uncollectable in the longer term. Debt written off during 2021/22 is largely due to citizens who have moved where we are unable to trace them.

17. Calculation of the council tax debt impairment provision

Year	Arrears	Percentage Provided	Provision
	£'000		£'000
To 13/14	250	100%	250
2014/15	213	100%	213
2015/16	429	100%	429
2016/17	835	100%	835
2017/18	1,415	100%	1,415
2018/19	2,462	100%	2,462
2019/20	5,057	84%	4,248
2020/21	10,232	73%	7,469
2021/22	20,800	52%	10,816
Total	41,691		28,136
Provision opening balance 1.4.21			13,392
Written off			(704)
Total remaining in provision			12,688
Required			<u>28,136</u>
Additional provision			15,448
Budgeted Provision for 2021/22			(4,200)
Additional required over budget 31.3.22			<u>11,248</u>

Distribution of the Council Tax Deficit

18. The estimated deficit is distributed to the major precepting authorities in proportion to the current year's demands and precepts on the Collection Fund. A detailed determination of the estimated Council Tax Collection Fund deficit for 2021/22 is shown in Appendix A. Against the deficit attributable to the Council we have applied £1.5m of Covid related Council Tax Support Grant. The allocation of

the estimated deficit to each of the major precepting authorities, is summarised below:

	2021/22 £m
Council Tax	
21/22 losses	10,016
(Surplus)/Deficit carried forward	(253)
Total Deficit	9,763
Apportionment of Deficit	
Bristol City Council	8,372
Police and Crime Commissioner for Avon & Somerset	1,056
Avon Fire Authority	335
	<u>9,763</u>

Adjustments to BCC Share of the Deficit

	£m
21/22 losses	8,546
(Surplus)/Deficit carried forward	(216)
S13A Care Leavers(BCC only)	42
	<u>8,372</u>
Allocation of Local Council	
Tax Support Grant	(1,500)
Total	6,872

Note: The council gives discretionary relief from council tax to our care leavers until they are 25 years old, giving these young people invaluable financial support as they begin their independent adult lives. The cost of this is born wholly by the council.

2021/22 Estimated Deficit for Non-Domestic Rates (NDR)

- Since 2017/18 Bristol has been piloting 100% retention of business rates. Only authorities with signed devolution deals were eligible to participate in a pilot: the pilot for the West of England (WoE) therefore includes Bath & North East Somerset Council (B&NES), Bristol City Council (BCC), South Gloucestershire Council (SGC) and the West of England Combined Authority (WECA). The 100% pilot gives the WoE the opportunity to retain 100% of any business rates growth. This arrangement was due to end in 2020/21 with changes in business rates retention and the rollout of a fair funding review by Government. Under the reforms, the

business rates system was due to be “reset” and funds retained by councils in areas with high business rates growth redistributed more in line with needs with a new baseline set for funding allocation based on up-to-date needs and resources. This has now been further delayed, with no reference made in the government’s Spending Review published in October 2021. As such there is much uncertainty in the detail of how the rates retention system will work beyond the current pilot period. We are expecting more detail to be announced in the local government finance settlement, announcement in December.

20. During 2021/22 the government have continued to make available a range of reliefs, including those to the retail, leisure, and hospitality sector. By the end of this financial year, it is estimated the Council will have received around £39m in additional grant relief. Assuming all rates relief for businesses are funded by Central Government we estimate an in-year reduction of £13.3m of business rate income primarily because of increased appeals, and a reduction in the collection rate and associated impact on providing for this and previous years uncollected business rates.

Composition of the Business Rates Deficit 2021/22

21. The table below details the major elements making up the business rates deficit in 2021/22.

	£m
Additional Empty Property Relief awarded	2.0
Increase in the allowance for impairment of debts (net of budgeted allowance of £4.1m)	6.0
Increase to the appeals provision	5.3
Total	13.3

22. Any estimated surplus/deficit is distributed in accordance with the 100% Business Rates Retention Pilot Agreement between the West of England authorities, so 94% Bristol City Council, 4% WECA and 1% Avon Fire and Rescue.
23. The detailed determination of the estimated NDR Collection Fund deficit for 2021/22 is shown in Appendix B and the allocation of the estimated deficit to the relevant precepting authorities is summarised in the table below.

	2021/22
	£m
Business Rates	
21/22 losses	13,312
(Surplus)/Deficit carried forward	(6,115)
Spreading Adjustment	(2,961)
Total Deficit	4,236
Apportionment of Deficit	
Bristol City Council	3,982
West of England Combined Authority	212
Avon Fire Authority	42
	4,236

24. The business rates income which each billing authority collects is determined by reference to local rating lists maintained by the Valuation Office Agency. These lists are subject to variation between revaluations because of physical changes (either to the property or the locality) and appeals. The amount of business rates income collected by billing authorities therefore varies year on year. The main factors affecting this year's business rates income are outlined below.

Additional Empty Property Relief

25. Empty properties are exempt from business rates for three months, and industrial buildings for six months. The original estimate for 2021/22 assumed a cost of £9.6m. At the end of September, the cost was £10.6m, so we anticipate a further £1m by the end of the financial year. The outturn position for 2020/21 was £9.7m. The Revenue's team are not necessarily informed of the reason a building has become unoccupied, and it may not be because of businesses becoming insolvent. However, a potential increased cost of £2m on 2020/21 would suggest the Pandemic has had an impact.

Losses on Collection and contribution to the provision for the impairment of debts

26. The ability of businesses to recover from the pandemic is still uncertain. The relief for retail, hospitality and leisure sectors has now reduced and the impact on collection rates will become clearer in the coming months. Many businesses have missed instalments or opted to spread payments into February and March. Officers are predicting an in-year collection rate of 92.5%. This compares with an actual collection rate of 92.2% for 2020/21 and 98% pre the Pandemic.

- 27.** As at the end of October 2021, arrears, excluding current year, stood at £15.1m. Of this £9.8m relates to 2020/21. Overall collection for 2021/22 is likely to show a shortfall of £14.5m against the annual billing debit, potentially increasing arrears at year-end to £29.6m.
- 28.** Pre the Pandemic, the Council would normally anticipate an annual net reduction in arrears of around £3m. This year, to date, net arrears have reduced by around £500k. Similarly, as with council tax, officers have reassessed the impairment provision for doubtful debts with a view to making a “one off” increase to the provision, over and above that normally anticipated.
- 29.** To ensure the provision is sufficient to provide for year-end arrears officers have again deemed it reasonable to the annual percentage of debt provided for by five percent. So, for example, the Council might expect, over time, to recover 50 percent of current year arrears. This has been reduced to 45 percent. A similar reduction has been applied to arrears balances for 2019/20 and 2020/21. All balances over three years old are fully provided for.
- 30.** The total requirement for the provision as at 31 March 2022 is estimated at £18.8m. As at the 1 April 2021 the provision stood at £8.7m. After taking into account a small adjustment for write offs of £100k, an increase of £10.2m is required (£6m after the budgeted contribution of £4.2m). This additional sum reduces net receipts and contributes to the in-year deficit for the business rates element of the collection fund.

Year	Arrears	Percentage Provided	Provision
	£'000		£'000
To 2015/16	177	100%	177
2016/17	143	100%	143
2017/18	418	100%	418
2018/19	1,140	100%	1,140
2019/20	3,404	89%	3,030
2020/21	9,822	60%	5,893
2021/22	14,500	55%	7,975
Total	29,605		18,777
Provision opening balance 1.4.21			8,724
Written off			(100)
Total remaining in provision			8,624
Required			18,777
Additional provision			10,152
Budgeted Provision for 2021/22			(4,200)
Additional required over budget 31.3.22			5,952

Business Rates Appeals

- 31.** The Council is required to provide for potential appeals from its business rates income. Calculations for the provision are based upon the Valuation Office Agency ‘Settled and Outstanding’ proposals at end March reports. These reports show all appeals that have been lodged for each authority against the 2017 valuation listing along with the very small number of appeals outstanding on the 2010 list, including those which were agreed, dismissed, withdrawn or are still outstanding. This list is analysed into “types” of appeal. The average success rate and the percentage reduction in rateable value for those appeals which were successful is considered along with the potential for the backdating of any appeals decisions and the estimated annual cost was then adjusted by the ratings multiplier for the relevant year. Local intelligence is used alongside statistical modelling to inform decision making.
- 32.** As at the end of 2020/21 the appeals provision stood at £25.3m. As this is a significant amount this provision is reviewed against valuation lists on a quarterly basis and is compared to that of both our nearest neighbours and similar sized authorities nationally. The Government recommends that 4.7% of net rates should be set aside in the provision to cover potential, and yet unknown, appeals relating to the 2017 list. This amounts to an annual sum of £11m. However, it should be noted that the appeals position remains extremely volatile with potentially large fluctuations occurring from one year to the next.
- 33.** To illustrate the point, at the end of 2020/21 we were able to reduce the provision by just over £2m. The primary reasons for this were that most of the appeals against the 2010 list were now settled and the actual claims against the provision

for appeals settled against the 2017 list were generally lower than originally estimated.

34. However, during the first six months of 2021/22 there have been a substantial number of successful appeals, resulting in significant reductions in rateable value. Although the biggest single loss is in relation to a hospital complex, the majority are in relation to office blocks, and although City wide, there has been a notable reduction in rateable values for offices within the Temple Quarter Enterprise Zone (TQEZ). This has a wider impact, than other areas of the City, in that it impacts on the City region Deal or business rates pool. Fifty percent of the growth in the TQEZ is paid into the pool, which in turn is used to fund capital projects across the region. A reduction in income paid into the pool will impact on the funds available for these projects.
35. Appeals can be backdated to the beginning of the current rating list, April 2017. The value of each refund varies considerably; the lowest so far this year is £10, and the highest is £1.8m. We often see a higher number of appeals being submitted and decided toward the end of the current rating list, so it is likely that we will see more appeals coming through both in the remainder of this year and through the next. During the first six months of this financial year £13.5m has been lost in terms of gross rates as a result of successful appeals. Of this almost £6.5m is within the TQEZ. The on-going reduction in rateable value in terms of gross rates is £2.4m, of which the TQEZ totals £908k. This will impact on the gross rateable value for 2022/23.
36. The full £13.5m can be charged to the appeals provision. Revenue colleagues have estimated a further £3m could be lost to successful appeals by the end of the year. The impact on the provision is shown in the table below.
37. Charging to the provision protects the “net rates” position including growth into the business rates pool. However, any replenishment to the provision needs to be charged to the income received from business rates and therefore contributes to the overall in-year deficit.

Appeals Provision	£'000
Opening balance 1 April 2021	25.3
Budgeted increase to the provision	11.1
Appeals to 1 October 2021	(13.5)
Additional to 31 March 2022	(3.0)
Balance remaining 31 March 2022	19.9
Top-up required	5.3
Balance as at 31 March 2022	25.2

Bristol's share of the total deficit on the collection Fund for 2021/22

38. Bristol City Council's share of the total deficit on the collection fund, charged in 2022/23 is as follows

	2021/22 £m
Council Tax	6,872
Business Rates	3,982
Total	10,854

Other Options Considered

39. Not applicable

Risk Assessment

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

- The volatility of business rates appeals. Once settled the Council may have to settle several years business rates from a single year's income. This is a significant financial risk as the Council is now required to fund 94% of any award. Furthermore, the Government have yet to set out clear proposals as to how the appeals process will be dealt with going forward.
- Changes to the rateable values of very large business properties such as power stations or hospitals can have a material effect on business rate collection.
- Business Properties switching between rating lists. This can include large cross boundary properties switching from one list to another or joining the central list.
- Difficulty in estimating Council Tax discounts and exemptions, including the take-up of the Council Tax Support Scheme.
- Effect of Brexit property market in Bristol
- The on-going impact of Covid-19 on employment and businesses on collection rates and Council Tax Reduction Scheme.

Public Sector Equality Duties

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

Legal and Resource Implications

Legal

This report enables the Council to comply with the requirements of the Local Government Finance Act 1992(as amended), to determine the estimated surplus or deficit on the Collection Fund in respect of Council Tax prior to 15 January. This is so that the precepting authorities (the Police and Crime Commissioner for Avon and Somerset and Avon Fire and Rescue) can take into account their share of any surplus before finalising their precepts for 2022/23.

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

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

Financial

(a) Revenue

The total estimated deficit on the Collection Fund for 2020/21, including any brought forward balances is £13.999m. The Bristol share of this deficit, net of adjustments and grant, charged to the general fund in 2022/23 is £10.854m. This is line with collection fund assumptions in the current MTFP.

(b) Capital

None

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

Land

Not applicable

Personnel

Not applicable

Appendices:

Appendix I – Estimated Council Tax Collection Fund Account 2020/21

Appendix II – Estimated Non-Domestic Rates Collection Fund Account 2020/21

LOCAL GOVERNMENT (ACCESS TO INFORMATION) ACT 1985

Background Papers: Working papers held in Corporate Finance

2018/19 Actual	2019/20 Actual		2020/21 Estimate as per Surplus/Deficit Report	2020/21 Actual	2021/22 Estimated Outturn	
£'000	£'000		£'000	£'000	£'000	
		Income				
(240,849)	(255,560)	Council Tax Income (in year liability)	(265,414)	(264,793)	(281,285)	
		Additional S31 Grant (Hardship Fund)	(1,220)	(1,563)	(985)	
		Expenditure				
		Precepts				
204,539	214,730	Bristol City Council	226,055	226,055	236,197	
24,380	27,662	Police	29,289	29,289	30,862	
8,974	9,510	Fire	9,635	9,635	9,779	
		Bad and Doubtful Debts				
2,573	5,347	Losses on Collection	5,534	4,960	15,448	
240,466	257,249	Total Expenditure	270,513	269,939	292,286	
(383)	1,689	(Surplus)/Deficit for the year	3,879	3,583	10,016	
(1,772)	(2,192)	Accumulated (surplus)/deficit Bfwd (Actual)	1,695	1,695	5,321	
(37)	2,198	Distribution of prior years estimated surplus	43	43	(5,574)	
(383)	1,689	(Surplus)/Deficit for the year	3,879	3,583	10,016	
(2,192)	1,695		5,617	5,321	9,763	
		Allocation of estimated surplus/deficit	BCC	Police	Avon Fire	Total
		In year(surplus)/deficit	8,546	1,117	354	10,016
		Spreading adjustment	0	0	0	0
		Residual prior-year (surplus)/deficit	(216)	(28)	(9)	(253)
		Subtotal	8,330	1,088	345	9,763
		Local Council Tax Support Grant - BCC only	(1,500)			(1,500)
		S13A Care Leavers - BCC only	42	(32)	(10)	(0)
		Estimated (surplus)/deficit for 22/23 budget	6,872	1,056	335	8,263

2018/19	2019/20		2020/21	2020/21	2021/22	
Actual	Actual		Estimated Outturn as per surplus/deficit report	Actual	Estimated Outturn	
£'000	£'000		£'000	£'000	£'000	
		Income				
(219,626)	(227,650)	Business rates income	(135,267)	(137,951)	(193,931)	
2,355	2,879	Transitional Surcharge	2,601	3,254	2,127	
		Payments to Preceptors				
197,400	197,330	Bristol City Council	197,854	197,854	197,436	
2,100	2,111	Avon Fire	2,105	2,105	2,100	
10,500	10,547	WECA	10,524	10,524	10,502	
4,572	8,297	Disregarded amounts	4,636	4,716	6,386	
714	704	Cost of collection allowance	704	702	698	
		Bad and Doubtful debts				
123	2,589	Losses on in-year collection	4,131	7,200	10,152	
		Appeals losses and provision				
3,401	575	Increase/(decrease) in appeals provision	11,096	(2,056)	16842	
218,810	222,153	Total Expenditure	231,050	221,045	244,116	
1,539	(2,618)	(Surplus)/Deficit for the year	98,384	86,348	52,312	
		Accumulated (surplus)/deficit				
13,725	1,288	Accumulated (surplus)/deficit BFwd (Actual)	(314)	(314)	84,253	
(13,976)	1,016	Distribution of prior year estimated surplus/deficit	(1,780)	(1,780)	(90,368)	
1,539	(2,618)	(Surplus)/deficit for the year	98,384	86,348	52,312	
1,288	(314)		96,290	84,254	46,197	
			2021/22	2021/22	2021/22	
			BCC	WECA	Avon Fire	Total
2020/21		Prior year (surplus)/deficit	(5,748)	-306	-61	(6,115)
2021/22		Current year (surplus)/deficit	49,173	2,616	523	52,312
2020/21		Spreading Adjustment	(2,783)	(148)	(30)	(2,961)
2021/22		S31 grant to reimburse 21/22 retail relief	(36,660)	(1,950)	(390)	(39,000)
		Total Estimated (Surplus)/Deficit at the end of 21/22 for distribution in 22/23	3,982	212	42	4,236

Decision Pathway – Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 14 December 2021

TITLE	2021/22 Period 7 Finance Report		
Ward(s)	n/a		
Author: Tim Gibson	Job title: Interim Head of Financial Management		
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. This report provides an update on the Council’s financial performance at Period 7 (end of October) 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 the 5-year medium term. Executive Directors are responsible for ensuring that appropriate action is taken to contain both revenue and capital spending in line with the directorate’s overall budget limit.</p> <p>Budget holders forecasting a risk of overspend which is not related to the Covid 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>At Period 7, 2021/22 the financial position is as follows:</p> <ul style="list-style-type: none"> ○ Against the General Fund budget of £424.1m the forecast variation at period 7 is £25.1m (£25.4m in P06) overspend, this is shown after applying £4.8m of ringfenced covid funding but prior to the application of all further available COVID-19 funding. ○ After applying the Covid funding that has been allocated to date, the Council is forecasting a potential net overspend of £1.8m against the approved General Fund budget. This is made up entirely of non-funded covid pressures, with the non-covid spend against budget being broadly break-even. ○ It may be possible to mitigate the projected overspend by further application of Covid funding and by reducing spend in other areas, however, should this overspend materialise then it will be funded by utilisation of existing reserves. <p>The Ring-fenced Accounts</p> <ul style="list-style-type: none"> ○ Housing Revenue Account (HRA) of £107.9m gross expenditure budget, forecasts an underspend of £1.0m at P07 (no change from P06) ○ The Dedicated Schools Grant (DSG) budget, including amounts recouped by the Education and Skills Funding Agency for Academies, is £404.7m. It forecasts £14.8m in-year deficit and a total £24.8m carried forward deficit at P07. ○ The Public Health budget is £33.6m and no variation is forecast at P07 (unchanged from P06). <p>Capital Programme</p>			

- Capital programme budget has been further revised at P7 2021/22 so that it plans spend of £271.5m. This comprises £184.3m for General fund and £87.2m for the HRA. The forecast variation at P07 is a net £30.8m underspend (£10.4m underspend on General fund and £20.4m underspend on HRA).

Core Budget

We are currently forecasting an overspend of £1.8m against core services budgets however there are further significant risks 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 these are still to be delivered. 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, and Children and Families Services which could result in further overspends at the end of the financial year if not mitigated in a timely manner. Where services have projected risks that exceed their cash limited budgets the Council has a governance pathway to review these areas and agree action plans.

COVID-19

Provision has been made in the budget for additional expenditure and income losses which are anticipated to occur against base budgets. Detailed reviews are under way to align the criteria of each COVID grant available to the Council with these pressures.

Dedicated Schools Grant

The in-year forecast deficit on the DSG is significant at £14.8m, 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 £24.8m. The main area for concern continues to be the High Needs block, which is forecasting an in-year overspend of £15.5m resulting from additional EHCP assessments; offset slightly by an underspend of £0.86m in the Schools' block on the growth fund and also due to closure of 3 schools.

Housing Revenue Account

The HRA forecasts an underspend of (£1.0m) as at P07. This is unchanged from P06. The underspend will be transferred to the HRA general reserve at the end of the year.

Public Health

Public Health services continue to forecast 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 for Revenue and Appendix B for Capital.

Cabinet Member / Officer Recommendations:

That Cabinet approves:

- The decision taken to accept the Mandatory element of the grant for Adult Social Care Infection Control and Testing Fund (Round 3) and its conditions which was taken under the urgency/emergency powers provided in the Council's Constitution and scheme of delegation (Appendix A7).

That Cabinet notes:

- The potential overspend position of £1.8m for 21/22 at P07.
- The risks within service areas of non-COVID-19 related overspend on services, and that it is expected that the further risk of overspends will be managed through management actions /mitigations through the rest of the financial year.
- The ongoing risks associated with the forecast outturn and the long-term financial impact on the Council as a result of COVID-19 pandemic.
- A forecast underspend of £1.0m within the Housing Revenue Account.
- A forecast in-year deficit of £14.8m and a total £24.8m carried forward deficit in the ring-fenced Dedicated

<p>Schools Account (DSG).</p> <ul style="list-style-type: none"> • A breakeven position on Public Health services. • A forecast £30.8m underspend against the approved Capital Programme's Revised Budget.
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<p>Corporate Strategy alignment:</p> <ol style="list-style-type: none"> 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).

<p>City Benefits:</p> <ol style="list-style-type: none"> 1. Cross priority report that covers whole of Council's business

<p>Consultation Details: n/a</p>

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

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

Interim Head of Financial Management: Tim Gibson, 25 November 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 report also seeks approval of the Officer decision taken to accept the Mandatory element of the grant for Adult Social Care Infection Control and Testing Fund (Round 3) and its conditions which was taken pursuant to urgency/emergency powers in the Council's Constitution and scheme of delegation.

There are no particular legal implications with regard to the decision.

Legal Team Leader: Nancy Rollason, Head Of Legal Service, 6 December 2021

3. Implications on IT: No impact to IT/Digital Services arises from this report. The information within is as expected from the service areas.

IT Team Leader: Simon Oliver, Director Digital Transformation, 25 October 2021

4. HR Advice: Expenditure on staffing is monitored on a monthly basis by budget holders. Managers are required to deliver their service within the agreed staffing budget that has been set for 2021/22.

HR Partner: Mark Williams, Head Of Human Resources, 6 December 2021

EDM Sign-off	Denise Murray	6 December 2021
Cabinet Member sign-off	Cllr Craig Cheney	6 December 2021
For Key Decisions - Mayor's Office sign-off	Mayor's Office	6 December 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

Period 7 Revenue Finance Monitoring Report

1. GENERAL FUND REVENUE SUMMARY POSITION

- 1.1 At Period 7 (October), the Council is forecasting a potential net overspend of £1.8m against the approved General Fund budget (£424.4m). This is after allowing for Covid funding received to date and is made up almost entirely of non-funded covid pressures. The non-covid spend is broadly break-even. This is broken down in Table 1, para iv below. This position could fundamentally change however if additional covid funding is received by the Council or if ring-fenced covid funding can be used to fund existing planned expenditure. Note also that this does not include the Covid Hardship Funding of £2m and thus the projected overspend will be updated in Period 8 along with a more detailed analysis of the available Covid funding.
- 1.2 Should an overspend arise which cannot be mitigated, this will need to be funded via a transfer from reserves.
- 1.3 The forecast gross impact of the COVID-19 pandemic to the end of the current financial year is £48.4m which is offset by covid funding carried forward from 2020/21 and received in year totalling £46.6m, i.e. a net covid overspend of £1.8m (this assumes that all of the Contain Outbreak Management Fund (COMF) funding received will be spent by the financial year end). Note that there are other Covid ring-fenced amounts that have been received that are over and above these allocations and which are matched against equivalent amounts of expenditure.
- 1.4 The Covid funding received is made up as follows:

		£
Sales, Fees and Charges Scheme (DLUHC)	Claimed in 2021/22	2.05
Unringfenced (DLUHC)	Carried Forward	8.1
Unringfenced (DLUHC)	Received in 2021/22	14.371
COMF (ring-fenced) *	Carried Forward	13.595
COMF (ring-fenced) *	Received in 2021/22	3.709
Sub-total		41.825
Other specific Ring-fenced grants		4.801
Total		46.626
* Contain Outbreak Management Fund (COMF)		

Note that this is not a complete list of all Covid allocations.

The Hardship Funding is not included in the above breakdown. This will be updated in the Month 8 report and could impact on the overall forecast variance for the Council.

1.5 Table 1 provides a summary of the current 2021/22 forecast General Fund position by directorate:

Table 1 General Fund P07 Directorate Level Forecast

Period 7 Budget Monitoring - Summary									
SERVICE NET EXPENDITURE SUMMARY	2021/22 - Full Year					Gross COVID Impact	Covid Grants/Income	Net Covid Position	Non-COVID
	Approved Budget	Revised Budget	Forecast Outturn	Outturn Variance					
	£000s			£000s	Context				
1 - People									
14 - Adult Social Care	151,448	157,648	166,260	8,612		12,554	(3,942)		0
15 - Children and Families Services	65,115	65,076	68,931	3,855		6,260			(2,405)
16 - Educational Improvement	11,998	11,928	14,146	2,218		2,244			(26)
36 - Public Health - General Fund	4,753	4,777	4,777	0		859	(859)		0
Total 1 - People	233,315	239,428	254,113	14,685		21,917	(4,801)		(2,431)
2 - Resources									
21 - Digital Transformation	15,305	14,721	15,127	406		975			(569)
22 - Legal and Democratic Services	8,603	8,275	8,146	(129)		58			(187)
24 - Finance	8,885	8,923	11,882	2,959		3,071			(112)
25 - HR, Workplace & Organisational Design	16,344	17,001	16,977	(25)		162			(187)
28 - Policy, Strategy & Partnerships	3,436	3,828	3,708	(120)		64			(184)
Total 2 - Resources	52,572	52,749	55,840	3,091		4,330	0		(1,239)
4 - Growth & Regeneration									
37 - Housing & Landlord Services	14,896	14,802	15,786	984		2,303			(1,319)
42 - Development of Place	1,591	1,530	1,417	(113)		0			(113)
46 - Economy of Place	12,519	12,908	13,969	1,061		1,192			(131)
47 - Management of Place	33,049	33,735	40,483	6,748		6,318			430
49 - Property and Asset Strategy	(7,122)	(7,122)	(7,168)	(46)		0			(46)
Total 4 - Growth & Regeneration	54,933	55,852	64,487	8,635		9,813	0		(1,178)
SERVICE NET EXPENDITURE	340,820	348,030	374,440	26,411		36,060	(4,801)		(4,848)
X2 - Levies	10,118	10,118	10,118	0		0			0
X3 - Corporate Expenditure	49,219	41,934	40,819	(1,115)		0			(1,300)
X4 - Capital Financing	22,495	22,495	22,295	(200)		0			0
X9 - Corporate Allowances	1,749	1,824	1,824	0		0			0
TOTAL REVENUE NET EXPENDITURE	(0)	(0)	25,096	25,096		36,060	(4,801)	31,259	(6,148)
Adjustment for COMF Funding included in non-covid Directorate forecasts above				0		0	(4,956)	(4,956)	4,956
Additional COMF to be spent by year end				0		12,348	(12,348)	0	
				25,096		48,408	(22,105)	26,303	(1,192)
Non-ringfenced Covid Funding available				(24,521)		0	(24,521)	(24,521)	
				575		48,408	(46,626)	1,782	(1,192)
Risks and Opportunities expected to materialise in year (see Appendix A2)				1,200		0		0	1,200
Net Forecast Over / (Under) Spend				1,775		48,408	(46,626)	1,782	8

1.6 Further detail of the financial pressures and variances are contained in the following appendices:

- People Directorate – Appendix A1
- Resources Directorate – Appendix A2
- Growth and Regeneration Directorate – Appendix A3

2. NON-COVID POSITION

2.1As can be seen in Table 1 above, the non-Covid budget spend is broadly forecasting a breakeven position.

2.2 The key areas at **risk of overspend** are:

- People – There is significant volatility in the market particularly in relation to the availability of care staff. This presents a significant challenge as the service approaches winter and the challenge to facilitate timely hospital discharges.
- Growth and Regeneration – Increases in energy costs are a significant financial risk to the Council as a result of the current high prices in the market, the current energy contracts have been extended by 3 months and will be reviewed during this period.

3. COVID-19 IMPACT

SUMMARY POSITION

- 3.1 The Covid funding available in 2021/22 is anticipated to be £46.6m (see, para iv above).
- 3.2 Further work continues to be done to manage the spend on the Contain Outbreak measures.
- 3.3 Further funding totalling £2.6m has been allocated to BCC for Adult Social Care Infection Control and Testing Fund (Round 3) and a decision to accept this grant and its conditions has been taken under the urgency/emergency powers provided in the Council's scheme of delegation. This decision is included at Appendix A7. Note that the emergency decision was to allocate the mandatory element of £1.8m to providers, the £0.8m discretionary element will be subject to a separate future report.
- 3.4 Sales, fees and charges losses of £8.3m in 2021/22 is higher than budgeted assumptions, although following the cessation of recovery restrictions collection may be quicker than assumed in the current financial year. Further losses are anticipated in 2022/23 as services and demand takes time to return to pre-covid-19 levels, although no provision for a further outbreak or lockdown has been included and

these forecasts were formulated before details of the new Omicron variant had emerged.

- 3.5 BCC has claimed £2.0m for lost Sales, Fees and Charges under the scheme for the period from April to June 2021. This scheme has now ended.

Table 3: Forecast Variances Due to COVID-19

SERVICE NET EXPENDITURE SUMMARY	COVID-19 Exp	COVID-19 Inc	Gross COVID Impact	Covid Service Grants/Inco
	£000s			£000s
1 - People				
14 - Adult Social Care	12,554	0	12,554	(3,942)
15 - Children and Families Services	6,260	0	6,260	
16 - Educational Improvement	2,074	170	2,244	
36 - Public Health - General Fund	859	0	859	(859)
Total 1 - People	21,747	170	21,917	(4,801)
2 - Resources				
21 - Digital Transformation	821	154	975	
22 - Legal and Democratic Services	58	0	58	
24 - Finance	2,218	853	3,071	
25 - HR, Workplace & Organisational Design	0	162	162	
28 - Policy, Strategy & Partnerships	64	0	64	
Total 2 - Resources	3,161	1,169	4,330	0
4 - Growth & Regeneration				
37 - Housing & Landlord Services	2,303	0	2,303	
42 - Development of Place	0	0	0	
46 - Economy of Place	131	1,061	1,192	
47 - Management of Place	412	5,906	6,318	
49 - Property and Asset Strategy	0	0	0	
Total 4 - Growth & Regeneration	2,846	6,967	9,813	0
SERVICE NET EXPENDITURE	27,754	8,306	36,060	(4,801)

ADDITIONAL EXPENDITURE

People:

- 3.6 **Adult social Care:** Budgets continue to experience significant pressure in 2021/22 with a risk of a gross overspend of £12.6m at

- P07. This is partly mitigated by the receipt of £3.9m of infection control and rapid testing grant funding giving a net position of £8.6m. This compares to the forecast net position of £8m at P06, a movement of £0.6m.
- 3.7 The Government recently awarded an additional £2.6m in respect of infection control, rapid testing and vaccine grant funding Round 3 in October 2021. Adult Social Care has been allocated the sum of £1.8m to date which will be passported to care providers.
- 3.8 It is becoming increasingly difficult to confidently forecast the on-going financial impact of Covid v non-Covid to the end of 2021/22, there remains uncertainty over transitional vs legacy costs.
- 3.9 **Children and Families:** Current estimated Covid-19 expenditure pressure is £6.3m. The main area where costs have increased is on additional cost of placements for Children, which is forecast to overspend by £5.6m. This overspend position is offset by one-off COMF funding in P07 which leaves a net forecast overspend position of £3.9m. The major area of overspend is in placements which is forecasted to overspend by £4.3m, a £254k increase compared to P06.
- 3.10 **Education and Skills:** There is a forecast overspend of £3.9m, offset by £1.661m of COMF funding giving a net forecast overspend of £2.218m (of which roughly £2.2m is Covid-19 related). The main cost pressure is related to Home to School Transport (HTST) of £2.4m (with £1.6m of this deemed to be Covid-19 related).
- 3.11 **Communities and Public Health:** At P07, there is no adverse forecast relating to the Public Health ring-fenced budgets. The current forecast on the PH general fund relates to the potential financial assistance for Leisure services contracts in the sum of £0.859m in 2021/22 as a result of the Covid-19 pandemic. This will be mitigated and partly funded by the National Leisure Recovery Funding (NLRf) - £0.634m grant and the remaining £0.225m will be covered by unallocated Covid-19 response funding carried forward from 2020/21.

Resources:

- 3.12 **Legal and Democratic Services'** forecast underspend has increased by (£0.1m) at P7 compared to P6 due to a reduction in the Members'

Allowances forecast and a decrease in salary costs forecast within Democratic Services.

- 3.13 **HR, Workplace and Organisational Design division** is now forecasting to come in on budget. This is a deterioration since P6 when a (£0.1m) underspend was anticipated and is due to a £0.3m shortfall on internal income from the holiday purchase scheme partially offset by a confirmed (£0.2m) of savings in training in Organisational Development. Both this risk and opportunity have been flagged in previous months on the Directorate's Risks and Opportunities register.
- 3.14 **The Finance Division** continues to forecast a £2.9m overspend at P07. 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 £0.8m, relating to the ongoing loss of summons and overpayments income.

Growth and Regeneration:

- 3.15 The Growth & Regeneration Directorate is forecasting an £8.6m overspend against the revised net expenditure budget of £55.852m in P07. The overspend results largely from the impact of the Covid lockdown on several of the Council's fee generating services, the additional pressure of providing support for homelessness during the pandemic and unachieved income targets resulting from vacant operational buildings.

4. SAVINGS PROGRAMME

- 4.1 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 thus £11.7m.
- 4.2 Some savings reported at risk have been impacted by the current Covid-19 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 currently £6.2m of the planned savings are safe and £5.5m of savings remain reported at risk. It should be noted that these savings are expected to be recurrent annual savings and whilst one off mitigation

may be provided via Covid funding as outlined in the tables above, undelivered savings will create a c/fwd pressure in 2022/23.

- 4.3 The improvement in savings reported as safe since P6 (£0.9m) relates mainly to the reporting of Third-Party Savings (£0.8m) as safe and 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	2021/22 Savings reported as at risk	
		£m	£m	%
People	6.11	2.11	4.00	65
Resources & Cross-Cutting	3.49	2.64	0.85	24
Growth and Regeneration	2.14	1.52	0.62	29
Total	11.74	6.27	5.47	47

5. RING-FENCED BUDGETS

a. HRA

- 5.1 The HRA forecast as at P07 is an underspend of (£1.0m), there is no movement on the reported forecast at P06. The underspend will be transferred to the HRA general reserve at the end of the year. The details of these movements are covered in Appendix A4.
- 5.2 The revenue underspend of (£1.0m) is split 50/50 between increased income and an overall reduction in expenditure. The most notable item is an allowance for the impairment of debt of £1.6m, although this is offset by reductions in other expenditure headings. The increase in the impairment allowance is as a result of the pandemic, which has led to a need for a downward revision of the level of debt assumed to be recoverable. In addition to this, there has also been a further £0.7m of other Covid related expenditure. Therefore, without the impacts of the pandemic, the forecast net underspend would have been (£3.3m).
- 5.3 The HRA capital programme is forecast to have £20.4m slippage from the revised budget of £87.2m. This is primarily due to external factors, which have led to delays on a number of development schemes in the new build and land enabling programme of works.
- 5.4 Appendix A4 provides more detail.

b. DSG

- 5.4 The in-year forecast deficit on the DSG is significant at £14.8m (movement of £0.27m from P6), which when added to the brought forward deficit balance of £10.0m will give a total deficit to carry forward at the end of the year of £24.8m as can be seen in the table in para 5.7 below. The main area for concern continues to be the High Needs block, which is forecasting an in-year overspend of £15.5m.
- 5.5 Within the High Needs Block, top-up funding is still experiencing the biggest pressure, with significant increase from 2020/21, the current forecast is indicating an overspend of £15.4m in top up funding. The forecast model allows for requests that are likely to come through in the coming months and this is reviewed regularly.
- 5.6 The Schools Block is forecast to underspend by (£0.86m) which is caused by a forecast underspend on the Growth Fund and due to the closure of 3 schools.
- 5.7 Summary of DSG grant performance is detailed in the table below and Appendix A5 provides further detail.

Revenue Position**Summary DSG position 2021/22 Period 07** (all figures in £000s)

	b/f	Net DSG funding/ budget 2021/22	P07 2021/22 Forecast Outturn	In-year variance at P07	Cumulative c/f
Schools Block	(619)	87,256	86,397	(859)	(1,478)
De-delegation	(553)	31	31	0	(553)
Schools Central Block	0	2,627	2,627	0	0
Early Years	(621)	37,185	37,406	221	(400)
High Needs Block	12,609	55,230	70,712	15,482	28,091
HNB Transformation	(812)	1,400	1,400	0	(812)
Funding		(183,698)	(183,698)	0	0
Total	10,004	0	14,843	14,843	24,847

c. COMMUNITIES AND PUBLIC HEALTH

- 5.8 The Public Health England (PHE) grant award for Public Health (PH) ring-fenced grant for 2021/22 is £33.6m. PH also hold general fund budget and other partnership grants of £4.8m which supports domestic abuse and sexual violence, health watch, substance misuse, rough sleeping, drug and alcohol treatment, sports projects and the Hengrove Park and other Leisure Centres.

- 5.9 At Period 7, 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 £0.859m in 2021/22 as a result of Covid-19 pandemic. This will be partly funded by the National Leisure Recovery Funding (NLRf) - £0.634m grant and the remaining £0.225m would be covered by unallocated Covid-19 response funding carried forward from 2020/21.
- 5.10 Appendix A6 provides further detail.

7. REGULATORY INCOME LOSS

7.1 COUNCIL TAX

- 7.1.1 Council tax (CT) 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).
- 7.2.1 The current year's collection rate is around 92%, compared with pre-Pandemic collection rates of 96.8%. There is currently over £20m in missed instalments. Initial steps are being taken towards the recovery of arrears.
- 7.2.2 In terms of the Council Tax Reduction Scheme (CTRS), during the pandemic, there was a significant increase in working age CTRS claimants and caseload, whereas, due to the triple lock, pensioner numbers continued to reduce. Working age claimants have continued to rise but at a much slower rate than during the pandemic. Current trends would suggest that the number of working age claimants is likely to peak in 2022/23, followed by a levelling off and then a reduction over the medium term.
- 7.2.3 £1.0m has been set aside for Hardship Fund payments, of which to date £0.7m has been awarded.
- 7.2.4 It is important to note this represents latest modelling and we anticipate a tapered recovery through 2022/23 and beyond.

7.2 BUSINESS RATES

- 7.2.1 Business rates (BR): The Council's budgeted BR income is £133.6m in 2021/22 (net of tariff) and represents 31.5% of the net budget requirement (£424.1m). It is estimated that around £39m 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. However, missed instalments for 2021/22 are currently over £14.5m

- 7.2.2 To date the impact (in-year and backdated) of rateable value (RV) reductions is around £14m. This can be met from the appeals provision, but any requirement at year-end to top up the provision, over and above that budgeted for will impact on net income from business rates.
- 7.2.3 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-19	Non-COVID
P07	£239.4m	£254.1m	£14.7m overspend (Covid-19 expenditure offset by £4.8m direct grant income)	£21.9m	(£2.4m)
P06	£239.4m	£254.8m	£15.4m overspend (Covid-19 expenditure offset by £4.6m direct grant income)	£21.4m	(£1.5m)

May	Jun/Jul	Aug	Sept	Oct	Nov	Dec	Jan	Feb
12.2	18.4	18.7	15.4	14.7				
	▼	▼	▲	▲				

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	Covid Service Grants/Income	Non-COVID
	£000s			£000s	£000s				
1 - People									
14 - Adult Social Care	151,448	157,648	166,260	8,612	12,554	0	12,554	(3,942)	0
15 - Children and Families Services	65,115	65,076	68,931	3,855	6,260	0	6,260		(2,405)
16 - Educational Improvement	11,998	11,928	14,146	2,218	2,074	170	2,244		(26)
36 - Public Health - General Fund	4,753	4,777	4,777	0	859	0	859	(859)	0
Total 1 - People	233,315	239,428	254,113	14,685	21,747	170	21,917	(4,801)	(2,431)

Position by Division:

Adult Social Care

Adult Social Care (ASC) budgets continue to experience significant pressure in 2021/22 with a risk of a gross overspend of £12.6m at P07. This is partly mitigated by the receipt of £3.9m of Infection Control and Rapid Testing grant funding giving a net position of £8.6m. This compares to the forecast net position of £8m at P06, a movement of £0.6m.

The finance position can be summarised as follows.

Summary by Service	2021/22 - Full Year								
	Revised Budget	Forecast Outturn	Outturn Variance		Context	COVID-19 Exp	COVID-19 Inc	Covid-19 Pressures (B)	Non-Covid Pressures (C)
			£000s	£000s		R	£000s		
111 - Joint Commissioning (Adults)	1,127	1,094	(33)				0	(33)	
141 - Maximising Independence and Specialist Teams	116,207	125,746	9,539			6,070	6,070	3,469	
142 - Hospitals and Front Door	4,718	4,428	(289)				0	(289)	
143 - Safeguarding/Deprivation of Liberty	3,017	2,663	(354)				0	(354)	
145 - Reablement, Intermediate Care & Regulated Services	12,995	12,202	(793)				0	(793)	
146 - Technical Specialist Mental Health/PSW	1,168	974	(194)				0	(194)	
147 - Head of Service – Senior Professional Lead	315	1,287	972			2,542	2,542	(1,570)	
148 - Contracts & Quality Assurance	8,517	9,055	538			3,942	3,942	(3,404)	
152 - 0-25 Integrated Service	9,585	8,810	(774)				0	(774)	
1A2 - Early Intervention – Adults	0	0	0				0	0	
Division: 14 - Adult Social Care	157,648	166,260	8,612			12,554	0	12,554	(3,942)

The major areas of overspend continue to be:

- Adults with Long Term Conditions (aged 18-64) which is forecasting a potential overspend of £11.18m (mainly relating to an increase in the number of people supported since 2020/21 with forecast pressures in residential and nursing placements and accommodation-based support costs).
- Older People with a forecast overspend of £3.9m relating to residential and nursing home cost pressures.

These cost pressures are partially offset by additional income from contributions to care costs of c£1.4m and other variations of c£0.2m.

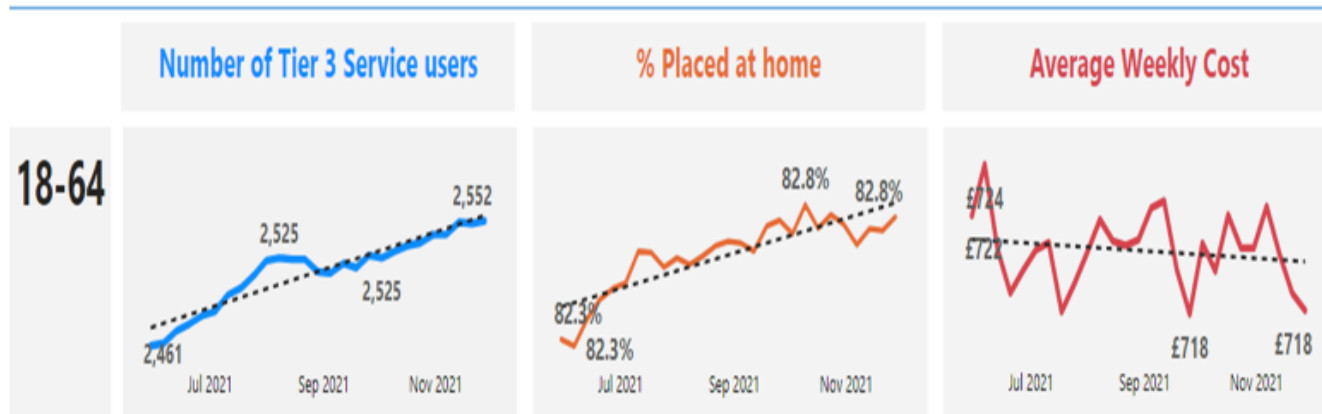
The Covid-19 pandemic continues to be a challenging situation contributing significant cost pressures and challenges to the service in trying to meet its savings targets. There are also on-going pressures for the service from provider sustainability issues and they are also seeing an increase in the size of home care packages. This could in part be explained by citizen choice in relation to concerns and uncertainty regarding residential care as a choice of care setting given the risks presented during the early stages of the pandemic. Additionally, as we start to approach the winter period, there are ongoing challenges to secure home care capacity to facilitate timely hospital discharges.

It remains very difficult to confidently forecast the on-going financial impact of Covid-19 to the end of 2021/22 and whether demand / patterns of expenditure and costs pressures will continue.

Below are excerpt tables of current analysis of Adult with Long Term Conditions (AWLTC), two main highest risk areas of Adult Purchasing pressures facing the Adult Social Care services.

18-64 Long Term Service Users

<h3>18-64 - Long Term (Tier 3) Service Users</h3>	<ul style="list-style-type: none"> Activity is increasing away from initial proposed 2021/22 target (growth in MH has been the biggest pressure point associated with COVID) 	
	<ul style="list-style-type: none"> Service users supported at home remains in line and slightly above 2021/22 target – heading towards statistical neighbours 84.9% 	
	<ul style="list-style-type: none"> Average weekly unit prices has remained stable and moving closer to our target for 2021/22 	



<h3>18-64 – 12 month Trends</h3> <p>(excludes carers and inhouse)</p>	<ul style="list-style-type: none"> Average Weekly Costs over the 12 months was £720. Prices went up at the start of Covid to almost £725 but have since stabilised.
	<ul style="list-style-type: none"> Service Users continue to grow steadily before, throughout COVID and as we come out of the pandemic. Climbing 9.3% Oct 2020 to Oct 2021. (particular spike in Tier 3 MH during the peak months of COVID)

Average Weekly Cost by Date, with 3-Month Forecast



Number of Active Service Users by Date, with 3-Month Forecast

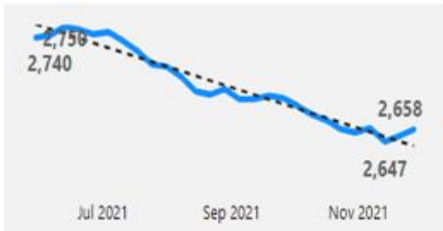


Over 65s - Long Term Service Users

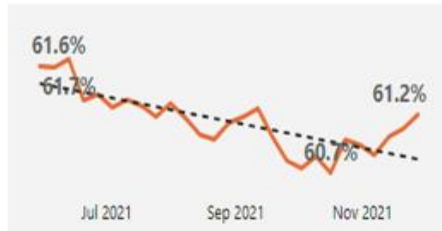
Over 65s - Long Term (Tier 3) Service Users

- Activity remains well below pre covid numbers and despite a small increase at the start of the financial year the overall trend is down
- The percentage of service users supported at home has flatlined and is moving away from target but is still aligned with statistical neighbours at 62%
- Average weekly unit prices went up at the start of the financial year but are now heading back towards target and have remained stable over the past 12 months

Number of Tier 3 Service users



% Placed at home



Average Weekly Cost



Over 65s – 12 month Trends

(excludes carers and inhouse)

- Average unit cost over the period for service users over 65 is £543. currently stands at £547. small growth associated to lack of home care
- Service user numbers averaged 2,707 over the period and currently stand at 2,655. OP numbers have been falling for years and that trend continues despite a short spurt of growth at the start of the financial year as numbers in care homes adjusted falling the high death rate due to COVID at the very start of the pandemic.

Average Weekly Cost by Date, with 3-Month Forecast



Number of Active Service Users by Date, with 3-Month Forecast



Bristol City Council (BCC) signed a Memorandum of Understanding (MOU) with the Department of Health and Social Care (DHSC) for an award of £0.395m for 2021/22. DHSC proposes to provide a Community Discharge

Grant to BCC to be managed by Adult Social Care. This grant will be awarded under Section 31 of the Local Government Act 2003 to BCC within a Transforming Care Partnership (TCP) or Integrated Care System (ICS). The Grant to be received in 2021/22 is £0.395m. The purpose of the Grant is to provide TCPs and ICSs with additional funding to Local Authorities in order to facilitate timely discharges into the community to reduce the net number of people with learning disabilities and/or autism who are inpatients. This is a new grant for two years which is expected to continue in 2022/23. The level of the award for 2022/23 is expected to be announced towards the end of this financial year.

The Government has also recently awarded £2.626m in respect of infection control, rapid testing and vaccine grant funding Round 3 in October 2021. Adult Social Care has received the sum of £1.601m to date which will be passported to care providers before the end of Period 8.

Children and Families

Children and Families Service is forecasting a baseline position of £6.67m overspend, offset by recent award of £2.815m COMF funding giving a net **forecast overspend of £3.855m** (this adjustment of £2.815m is shown below, which is £3.295m total COMF allocated to Children and Families net of £480k commitment to Complex Needs pilot study). The current gross estimated Covid-19 expenditure pressure is £6.3m. The finance position by service area is illustrated in the table below.

Service Area	Children and Families Services	20/21 Outturn	2021/22 - Full Year				Variance Analysis			
			Approved Budget	Revised Budget	P07 Forecast Outturn	Outturn Variance	Covid Expenditure	Covid Income	Total Covid Impact	Non-covid
156	Service: Area Social Work (South)	3,144,234	2,656	2,655	2,651	-5	90	-	90	-95
157	Service: Children & Aftercare teams	7,609,678	7,749	7,748	7,471	-277	303	-	303	-580
158	Service: Internal & External Placements	29,696,877	27,347	26,547	30,855	4,308	5,567	-	5,567	-1,259
159	Service: Children & Family Support - Mai	1,308,220	1,171	2,281	2,210	-70	-	-	-	-70
15A	Service: Safeguarding and Area Services	1,939,629	1,916	1,876	1,810	-66	-	-	-	-66
15B	Service: Specialist Services	1,636,710	2,169	2,169	2,067	-102	-	-	-	-102
15	Children and Families Services Total	68,711,073	65,115	65,076	68,931	3,855	6,260	-	6,260	-2,405
COMF	One-off COMF funding £3.295m less £480k committed spend					2815				
15	Children's and Families Service baseline forecast position					6,670				

The major area of overspend is in placements which is forecasted to overspend by £4.3m, this is a £254k increase compared to the previous month, but before that had reduced for two consecutive months in August & September.

Educational and Skills

The Education and Skills division is forecasting a gross overspend of £3.8m, offset by £1.661m of COMF funding giving a net **forecast overspend of £2.218m** of which roughly £2.2m is Covid-19 related. The main cost pressure is in Home to School Transport (HTST) £2.4m (with £1.6m of this deemed to be Covid-19 related), these cost increases are due to increase in suppliers' costs relating to fuel and drivers' costs as well as due to additional SEN assessments, where a proportion of children require transport support; and having to travel further due to local capacity issues. Accessible City £1.2m overspend (£0.4m is Covid-19 related) is driven by additional staffing required for SEN assessments. £1.661m one-off COMF funding awarded in P07 has reduced the spending gap to £2.2m at the end of year.

Financial performance by service area is summarised in the table below:

		2021/22 - Full Year				Variance Analysis			
Service Area	Education and Skills Services	Approved Budget	Revised Budget	P07 Forecast Outturn	Outturn Variance	Covid Expenditure	Covid Income	Total Covid Impact	Non-covid
		£'000				£'000			
162	Learning City for All	623	623	633	10	-	-	-	10
163	Education Management	3,579	3,579	3,384	-195	-	-	-	-195
164	Additional Learning Needs	5,677	5,677	7,047	1,370	1,566	-	1,566	-196
165	Employment, Skills &	734	734	772	38	67	-	67	-29
166	Trading with Schools	-441	-441	-441	0	-	-	-	0
167	Schools PFI	0	0	-1	-1	-	-	-	-1
168	Inclusive City	290	290	419	129	18	170	188	-59
169	Accessible City	1,536	1,465	2,333	867	423	-	423	444
16	Education and Skills Service	11,998	11,928	14,146	2,218	2,074	170	2,244	-25
COMF one-off funding in 2021/22					1,661				
Division 16 baseline position BEFORE COMF funding:					3,879				

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.

The risk of overspend in Accessible City is driven by additional staffing needed for Education Psychologists to tackle significant amount of EHC assessments backlog.

Communities and Public Health

Public Health (PH) Grant of £33.643m was awarded for 2021/22 by Public Health England (PHE).

The Public Health grant is awarded annually to the local authority. It is ring fenced for the purposes of public health. The grant funds a range of mandated public health services and supports the Director of Public Health to discharge their statutory duties for protecting health, improving health, promoting health equity, and reducing health inequalities through the funding of locally identified public health priorities.

Bristol's local priorities include reducing harms from drugs and alcohol, improving mental health, reducing harms from domestic abuse, food equality and community health action. 75 % of public health functions and services are externally commissioned with 14% internally commissioned.

An annual return must be provided by the authority to Public Health England, which is audited against the grant regulations.

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 P07, there is no adverse forecast relating to the Public Health ring-fenced budgets. The current forecast on the PH general fund relates to the potential financial assistance for Leisure services contracts in the sum of £0.859m in 2021/22 as a result of Covid-19 pandemic. This will be mitigated and partly funded by the National Leisure Recovery Funding (NLRFF) - £0.634m grant and the remaining £0.225m will be covered by unallocated Covid-19 response funding carried forward from 2020/21.

Since 2020/21 Public Health has received significant amounts of government Contain Outbreak Management funding and Test and Trace Outbreak Management funding totalling £18.160m. It is expected that this funding will be fully utilised by March 2022 as work continues, on delivering the Local Outbreak Management Plan.

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	5,350	4,000	75%	5,350	4,000	75%
Yes - savings are safe	724	0	0%	764	40	5%
SAVING CLOSED - CONFIRMED AS 'SECURED & DELIVERED'	40	0	0%	0	0	n/a
NO RAG PROVIDED	0	0	n/a	0	0	n/a
Grand Total	6,114	4,000	65%	6,114	4,040	66%
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	4,000	88%	4,552	4,040	89%

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)	£ 1,800
21_NS_01	Monitoring and grip debt recovery and DPs	£ 1,200
FP33_21_B	Strengths Based Approach (subset of original Better Lives savings)	£ 1,000

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:	£	2.80

Key Changes since last month

1. There has been an increase to the amount reporting at safe this month, due to the approval of **BE7-2b 18/19 Rollover - Organisational redesign including the council's senior management structures (Mitigation for Education Post)** (£40k) as 'secured & delivered' in P7

Key messages/Comments:

- The People Directorate target for 21/22 is £6.114m, made up of 6 individual savings. £3.39m of this is rollovers from 20/21.
- Adult Social Care savings account for 3 of the top 5 largest savings at risk for 21/22. A revised delivery approach has been agreed to transition the original programme into the new model, which splits apart service led change from project supported change, as well as shaping of future work-packages. Support services are being engaged in the planning of this new approach and a change request will also follow to revise the savings breakdown.
- A secured and delivered form is in progress for FP07-1 but is not yet in a position to be signed off.

b) Risks and Opportunities

Division	Risk or Opportunity	Description of Impact £	Risk / Opportunity	Likelihood	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 regarding levels infection control or other government grant assistance.	4,000,000	50%	2,000,000
Adult Social Care	Risk	Impact of pandemic on ability to deliver transformational change and savings plans	5,390,000	69%	3,740,000
Adult Social Care	Risk	Emerging risk in relation to pathway 3 beds in excess of Hospital Discharge Funding (4 weeks) being recharged to ASC	Emerging risk	TBC	TBC but could be significant
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
People	Gross General Fund Risk		9,566,000		5,872,000

c: Capital

Approved Budget £35.1m	Revised Budget £25.9m	Expenditure to Date £12.8m 50% of Budget	Forecast Outturn £20.5m 79% of budget	Outturn Variance (£5.4m)
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Gross expenditure by Programme		Current Year (FY2021) - Period 7				Performance to budget	
Ref	Scheme	Budget	Expenditure to Date	Forecast	Variance	Expenditure to date	Forecast
		£000s				%	
People							
CRF1	Covid Recovery Fund – Community Improvements – Pending Business Case Deve	150	0	150	0	0%	100%
CRF2	Covid Recovery Fund – Youth Zones Investment – Pending Business Case Develo	395	0	395	0	0%	100%
PE01	School Organisation/ Children’s Services Capital Programme	13,721	9,321	13,348	(373)	68%	97%
PE02	Schools Organisation/SEN Investment Programme	6,577	1,111	1,512	(5,065)	17%	23%
PE03	Schools Devolved Capital Programme	1,570	462	1,599	29	29%	102%
PE05	Children & Families - Aids and Adaptations	170	83	170	0	49%	100%
PE06	Children Social Care Services	820	168	813	(7)	20%	99%
PE06B	Adult Social Care – Better Lives at Home Programme	2,466	1,682	2,466	0	68%	100%
PE10	Sports Capital Investment	0	(15)	0	0		
Total People		25,869	12,814	20,453	(5,416)	50%	79%

The People capital programme is currently reporting a small underspend of £5.42m at P07, following the reprofiling of budgets. Most of the People capital programme relates to schools and the service have advised that there has been a re-forecast and a conservative view has been taken due to the current turbulence we are currently experiencing in the construction sector. This is likely to have the following effects on some of the projects:

- Potential lack of labour could hold up Contractors’ ability to mobilise in short to medium term creating delay
- Anticipated shortage of materials is worsening. This will impact the ability of contractors to meet previously achievable start on site dates
- Inflation due to the above issues could impact the sufficiency of approved budgets. This is being reviewed but could delay while strategy is developed to manage any increase in costs

These risks have been captured in operational and strategic risk registers.

a: Revenue Budget Monitor

	Revised Budget	Forecast Outturn	Outturn Variance	Of which: COVID-19	Non-COVID
P07	£52.7m	£55.8m	£3.1m overspend	£4.3m	(£1.2m)
P06	£52.7m	£55.7m	£3.0m overspend	£4.3m	(£1.3m)

May	Jun/Jul	Aug	Sept	Oct	Nov	Dec	Jan	Feb
2.9	3.0	3.0	3.0	3.1				
	▼			▼				

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	Covid Service Grants/Income	Non-COVID
	£000s			£000s	£000s				
2 - Resources									
21 - Digital Transformation	15,305	14,721	15,127	406	821	154	975		(569)
22 - Legal and Democratic Services	8,603	8,275	8,146	(129)	58	0	58		(187)
24 - Finance	8,885	8,923	11,882	2,959	2,218	853	3,071		(112)
25 - HR, Workplace & Organisational Design	16,344	17,001	16,977	(25)	0	162	162		(187)
28 - Policy, Strategy & Partnerships	3,436	3,828	3,708	(120)	64	0	64		(184)
Total 2 - Resources	52,572	52,749	55,840	3,091	3,161	1,169	4,330	0	(1,239)

Key Messages:

There is a £0.055m net increase since P6 in the Resources directorate's forecast full year overspend. This reflects the materialisation of risks previously anticipated and reported in the directorate's risks and opportunities register. The net outturn £3.1m overspend is driven by £4.3m of COVID-related spend partially offset by £(1.2)m of non-COVID driven underspend. It is anticipated that much of the net risk identified and advised at 'Section b: Risks and Opportunities' below will crystallise in the next month so that by P8 this £(1.2)m underspend will be forecast as fully utilised.

- **Digital Transformation** reports no movement in the full year outturn and continues at P7 to forecast a net overspend of £0.4m.
- **Legal and Democratic Services'** forecast underspend has increased by £(0.1)m at P7 compared to P6 due to a reduction in the Members' Allowances forecast and decrease in salary costs forecast within Democratic Services.
- **Finance** continues to forecast a £2.9m overspend at P07. 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 £0.8m, relating to the ongoing loss of summons and overpayments income. A further reduction in income collection due to continuing delays in recovery activity is currently reflected in the Risks and Opportunities register at section (b). A £0.1m net overspend is forecast across the other divisions within Finance.

- **HR, Workplace and Organisational Design** division is now forecasting to come in on budget. This is a deterioration since P6 when a £(0.1)m underspend was anticipated. This is due to a £0.3m shortfall on internal income from the holiday purchase scheme partially offset by a confirmed £(0.2)m of savings in training in Organisational Development. Both this risk and opportunity have been flagged in previous months on the Risks and Opportunities register at section (b).
- **Policy, Strategy and Partnerships** division forecast has not changed from P06.

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	1,350	849	63%	2,225	1,711	77%	21_NS_03	Common Activities	£ 462
Yes - savings are safe	1,863	0	0%	988	0	0%	NEW_4_Amended	Digital Transformation savings (Replaces legacy rollovers from 1920)	£ 140
SAVING CLOSED - CONFIRMED AS 'SECURED & DELIVERED'	280	0	0%	280	0	0%	21_New12	Sale of vehicles	£ 130
NO RAG PROVIDED	0	0	n/a	0	0	n/a	21_NS_05	Corporate Landlord Delivery Model	£ 55
Grand Total	3,493	849	24%	3,493	1,711	49%	21_New06	Efficiencies through new delivery models - Consultancy Spend	£ 32
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	849	26%	3,250	1,711	53%	Amount reported at risk:		£ -

Key Changes since last month:

1. There has been a **reduction in the amount at risk** in the Resources Directorate this month, from £1.7m to £0.8m. This is due to the following changes:

- *21_New06 Efficiencies through new delivery models - Consultancy Spend - amount at risk **reduced** from £50k to £32k
- *21_New17 Consistent CSC budget slack (Citizen advice services call centre) - now reporting the full £125k as **safe** for 21/22
- *21_NS_03 Common Activities Programme - amount at risk **reduced** from £481k to £462k
- *21_NS_04 Third Party Savings - now reporting the full £750k as **safe** for 21/22

Key messages/Comments

1. Common Activities is due to be split into tactical G&R/Resources savings for 21/22, once those Directorates have a confirmed plan. This remains work in progress. Transformational savings plans are shaping up as part of the CA programme.
2. 22/23 budget setting is now in prep. Note there have been no requests from Resources to write off any legacy savings so these will all remain.

b: Risks and Opportunities

Division	Risk or Opportunity	Detailed Comment	Net Risk / (Opportunity) £
Digital Transformation	Risk	Various (including DT contract pressures, legacy issues, Citizen Services Income targets)	1,407
Digital Transformation	Opportunity	Citizens Services	(38)
Finance	Risk	Ongoing loss of summons and overpayments income	570
Finance	Opportunity	Various including underspends in Revenue, Benefits and Procurement and Sourcing services plus additional Internal Income	(389)
Legal and Democratic Services	Opportunity	Internal income	(196)
HR, Workplace & Organisational Development	Risk	Risk around additional capacity required in Change Service if more work is approved by CLB.	100
HR, Workplace & Organisational Development	Opportunity	£190k in Organisational Development and £100k in Change Services	(290)
Resources	Risk	Common Activities Programme	221
Total			1,385

c: Capital

Approved Budget	Revised Budget	Expenditure to Date	Forecast Outturn	Outturn Variance
£8.6m	£6.3m	£2.6m	£5.7m 91%	(£0.6m)

Gross expenditure by Programme

Ref	Scheme	Current Year (FY2021) - Period 7				Performance to budget	
		Budget	Expenditure to Date	Forecast	Variance	Expenditure to date	Forecast
						%	
£000s							
Resources							
NH06A	Bristol Operations Centre - Phase 2	220	46	268	48	21%	122%
PL21	Building Practice Service - Essential H&S	2,987	1,110	2,451	(536)	37%	82%
PL27	Vehicle Fleet Replacement Programme	1,307	489	1,287	(20)	37%	98%
RE01	ICT Refresh Programme	1,424	745	1,424	0	52%	100%
RE03	ITTP – IT Transformation Programme	219	181	219	0	83%	100%
RE06	Return to Workplace ICT equipment – Covid Response Fund	99	16	47	(52)	16%	47%
Total Resources		6,256	2,587	5,696	(560)	41%	91%

Key Messages:

PL21 - Building Practice projects have been reviewed and reprofiled resulting in £0.5m of expenditure being pushed back to next year, primarily roofing projects.

RE01 ICT Refresh – The P7 forecast remains unchanged from P6 but the forecast for 22/23 has been revised to show the expectation there will be a £1m spend, an increase from £0.5m at forecast at P6. At the same time, the 23/24 forecast has been revised down from £2m to £1.5m.

Section A: Revenue Budget Monitor

	Revised Budget	Forecast Outturn	Outturn Variance	Of which:	
				Covid-19	Non-Covid
P07	£55.8m	£64.5m	£8.6m overspend	£9.8m	£ (1.2m)
P06	£55.8m	£64.3m	£8.5m overspend	£9.7m	£(1.2m)

May	Jun/Jul	Aug	Sept	Oct	Nov	Dec	Jan	Feb
9.1	10.6	10.1	8.5	8.6				
	▼	▲	▲	▼				

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	Covid Service Grants/Inco	Non-COVID
	£000s				£000s				
4 - Growth & Regeneration									
37 - Housing & Landlord Services	14,896	14,802	15,786	984	2,303	0	2,303		(1,319)
42 - Development of Place	1,591	1,530	1,417	(113)	0	0	0		(113)
46 - Economy of Place	12,519	12,908	13,969	1,061	131	1,061	1,192		(131)
47 - Management of Place	33,049	33,735	40,483	6,748	412	5,906	6,318		430
49 - Property and Asset Strategy	(7,122)	(7,122)	(7,168)	(46)	0	0	0		(46)
Total 4 - Growth & Regeneration	54,933	55,852	64,487	8,635	2,846	6,967	9,813	0	(1,178)

The Growth & Regeneration Directorate reported an **£8.6m** overspend against the revised net expenditure budget of **£55.852m** in P07. The overspend results from a combination of the impact of the Covid lockdown which is still having a significant impact on several of the directorate's fee generating services; the additional pressure of providing support for homelessness during the pandemic; as well as additional enforcement costs as well as cleaning & materials resulting from extra measures introduced to keep people safe and dealing with associated issues.

* Note – the total budget has increased by circa **£1m** due to inflationary increases in the Waste contract, and other minor adjustments.

Key Messages:

Housing & Landlord Services

The Division is forecasting an overspend of **£0.984m** against a revised budget of **£14.8m**. This is a reduction of **£0.77m** against the previously reported overspend of **£1.75m** at P06. The reason for change is a one-off mitigation of **£1.1m**, due to funding from Public Health to accommodate additional vulnerable households by ensuring that COVID safe accommodation is provided. This was offset by increasing cost in B&B placements and Rogue Landlord Enforcement services.

The main reasons for the expenditure pressures are:

- **131 Housing Options** – Forecast overspend of **£1.030m**.

Housing Benefits, subsidy loss has a forecast overspend at P07 of **£1m**. The main reason for overspending is due to the impact of the pandemic which has seen an increase in Temporary Accommodation. The measures to reduce this overspend are currently being considered i.e. Increasing block purchases and changes in the type of accommodation provided.

- **132 GF - Private Housing & Accessible Homes** – (**£0.045m**)

The underspend reduced by £0.052m compared with previously reported in period 6. This is due to increasing cost in Rogue Landlord Enforcement services.

- **135 Housing Solutions** – Forecast to budget.

There is no change to forecast compared with previously reported at P05.

Development of Place

The division is forecasting a **£0.1m** underspend. Mainly due to additional income.

Economy of Place

The division is forecasting a **£1.1m** (£0.24m negative movement against last month) overspend against a revised budget of **£12.908m**. The total Covid-19 related budget pressure is £1.196m, which is offset by underspends that total £0.11m. The main reasons for the £1.2m overspend are:

- **Culture Services** - Most of this is attributable to an estimated shortfall in income across a range of services due to the pandemic £1.1m, as well as Covid related expenditure.
- **Various** – Other smaller Covid-19 pressures within the division are largely mitigated by underspends elsewhere.

Management of Place

The division is forecasting a **£6.7m** overspend against a revised budget of **£33.735m**. 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 **£5.2m**.
- Licensing Income is also reporting a significant Covid-19 related income shortfall for both Licensing and Pest control totalling **£0.7m**.
- Various additional costs are being incurred due to Covid-19 (Waste, enforcement, cleaning & materials, additional staff) related to covid-19 restrictions and these represent an additional pressure of **£0.4m**.
- The non-covid related activities also reported a significant net movement of £982k, which is due to additional energy costs (£2.4m) from street lighting and corporate buildings due to the increase costs of extending current contracts by an additional 3 months with the expectation that prices would have normalised by then. These additional costs have been offset in part by additional bus lane enforcement income (£1.3m), as well as other smaller favourable movements during the month.

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																
No - savings are at risk	825	615	75%	825	725	88%	<table border="1"> <thead> <tr> <th>ID</th> <th>Name of Proposal</th> <th>Value at Risk in 21/22 (£'000)</th> </tr> </thead> <tbody> <tr> <td>FP36-E2</td> <td>MITIGATION/ROLLOVER For "Identify alternative funding to continue to support people in Council Housing".</td> <td>£ 210</td> </tr> <tr> <td>FP01-7b</td> <td>Alternative to expensive nightly accommodation</td> <td>£ 190</td> </tr> <tr> <td>IN27b</td> <td>Generating and saving money through energy generation and efficiency</td> <td>£ 180</td> </tr> <tr> <td>IN25_continued</td> <td>Increase income generation and efficiency across culture services</td> <td>£ 35</td> </tr> </tbody> </table>	ID	Name of Proposal	Value at Risk in 21/22 (£'000)	FP36-E2	MITIGATION/ROLLOVER For "Identify alternative funding to continue to support people in Council Housing".	£ 210	FP01-7b	Alternative to expensive nightly accommodation	£ 190	IN27b	Generating and saving money through energy generation and efficiency	£ 180	IN25_continued	Increase income generation and efficiency across culture services	£ 35
ID	Name of Proposal	Value at Risk in 21/22 (£'000)																				
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FP01-7b	Alternative to expensive nightly accommodation	£ 190																				
IN27b	Generating and saving money through energy generation and efficiency	£ 180																				
IN25_continued	Increase income generation and efficiency across culture services	£ 35																				
Yes - savings are safe	1,252	0	0%	1,252	0	0%																
SAVING CLOSED - CONFIRMED AS 'SECURED & DELIVERED'	58	0	0%	58	0	0%																
NO RAG PROVIDED	0	0	n/a	0	0	n/a																
Grand Total	2,135	615	29%	2,135	725	34%																
n/a - represents one off savings or mitigations in previous year	-1,652	0	0%	-1,652	0	0%	<table border="1"> <thead> <tr> <th colspan="2">Mitigated savings from previous years' that remain 'due' for delivery this year (£m)</th> </tr> </thead> <tbody> <tr> <td>Amount due from previous year(s):</td> <td>£ 0.78</td> </tr> <tr> <td>Amount reported at risk:</td> <td>£ 0.58</td> </tr> </tbody> </table>	Mitigated savings from previous years' that remain 'due' for delivery this year (£m)		Amount due from previous year(s):	£ 0.78	Amount reported at risk:	£ 0.58									
Mitigated savings from previous years' that remain 'due' for delivery this year (£m)																						
Amount due from previous year(s):	£ 0.78																					
Amount reported at risk:	£ 0.58																					
WRITTEN OFF	1,195	0	0%	1,195	0	0%																
Grand Total	1,678	615	37%	1,678	725	43%																

Key Changes since last month

1. The value at risk has **reduced** this month for the G&R Directorate, due to FP01-7b Alternative to expensive nightly accommodation (£300k) reducing the amount at risk from the full £300k to £190k (a change request will soon follow to restructure this saving).

Key messages/ Comments

1. Of the £2.1m target, £0.8m is continuing to report as 'RED', with **£0.6m of that stated as at risk**. *All 4* of the savings at risk relate to rollover/legacy items.

2. Of the legacy savings at risk, a large proportion of these have been endorsed by G&R EDM (22/09/21) to be put forward for corporate consideration to **write off**, given these are deemed not deliverable. This was flagged at Delivery Executive 13/10, which confirmed that these are still under consideration as part of wider budget setting plans.

3. 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).

4. In addition to in year mitigations needed for savings at risk above, note that G&R is also due to find an additional £240k contribution to the Common Activities in-year target, and likely to also have some contribution to wider thematic savings such as Third Party Spend.

Section B: Risks and Opportunities

GROWTH & REGENERATION DIRECTORATE RISKS & OPPORTUNITIES

Division Name	Risk / Opportunity	Description	NET Risk / Op £'000
Management of Place	Risk	Energy Services additional project costs	410
Management of Place	Risk	Income shortfall	250
Housing & Landlord Services	Risk	Housing savings shortfall	210
Housing & Landlord Services	Risk	Housing savings shortfall	190
Management of Place	Risk	Income shortfall	115
Management of Place	Risk	Income shortfall	87
Management of Place	Risk	Energy grant pressure	30
Management of Place	Risk	Energy Service Staff & Overheads	14
Growth & Regeneration	Gross Risk		1,306
Economy of Place	Opportunity	Additional income - following deep dive	-350
Management of Place	Opportunity	Potential non-cv19 underspends in MOP Reg Services	-434
Management of Place	Opportunity	Potential non-cv19 underspends in MOP Highways	?
Growth & Regeneration	Gross Opportunity		-784
			522

The net risks and opportunities flagged by service managers total **£0.5m, down** £0.5m from last month. The Energy cost pressure from last month is now reflected in the forecast. The Directorate is engaging in continuous reviews with an aim to identifying mitigating options that can help address the remaining risks. Any unmitigated pressure by the end of P09 will be escalated.

Section C: Capital

Approved Budget £191.8m	Revised Budget £150.9m	Expenditure to Date £46.4m	Forecast Outturn £146m	Outturn Variance £4.4m
2020/21 £163.3m	Comparator £104.7m	31% of Budget £28.5m	97% of Budget £108.3m	£ (3.6m)

Gross expenditure by Programme		Current Year (FY2021) - Period 7				Performance to budget	
Ref	Scheme	Budget	Expenditure to Date	Forecast	Variance	Expenditure to date	Forecast
		£000s				%	
Growth & Regeneration							
CRF3	Covid Recovery Fund – Economic Infrastructure	850	0	850	0	0%	100%
GR01	Strategic Property – Temple Meads Development	5,777	392	5,631	(147)	7%	97%
GR03	Economy Development - ASEA 2 Flood Defences	3,634	178	3,634	0	5%	100%
GR05	Strategic Property - Hawkfield Site	2,000	167	2,000	0	8%	100%
GR05A	South Bristol Light Industrial Workspace Redevelopment	(127)	0	127	253	0%	-100%
GR08	Delivery of Regeneration of Bedminster Green	982	215	1,195	213	22%	122%
GR09	Clean Air Zone Programme	11,600	272	11,600	0	2%	100%
NH01	Libraries for the Future	152	20	152	0	13%	100%
NH02	Investment in parks and green spaces	1,523	631	1,684	161	41%	111%
NH03	Cemeteries & Crematoria - Pending Business Case Development	672	62	517	(155)	9%	77%
NH04	Third Household Waste Recycling and Re-use Centre	4,782	1,611	4,782	0	34%	100%
NH06A	Bristol Operations Centre - Phase 2	1,911	1,733	1,911	0	91%	100%
NH07	Private Housing	3,527	1,503	3,528	1	43%	100%
PL01	Metrobus	569	154	911	341	27%	160%
PL02	Passenger Transport	758	153	696	(62)	20%	92%
PL04	Strategic Transport	1,916	1,396	2,788	873	73%	146%
PL05	Sustainable Transport	2,123	729	1,727	(396)	34%	81%
PL06	Portway Park & Ride Rail Platform	1,000	217	1,000	0	22%	100%
PL09	Highways infrastructure - bridge investment	2,490	812	971	(1,519)	33%	39%
PL09A	Highways infrastructure - Cumberland Road Stabilisation Scheme	6,075	2,359	5,545	(530)	39%	91%
PL10	Highways & Traffic Infrastructure - General	12,588	4,970	11,605	(983)	39%	92%
PL10B	Highways & Traffic - Street Lighting	579	172	579	0	30%	100%
PL10C	Transport Parking Services	1,357	997	1,357	0	73%	100%
PL11A	Cattle Market Road site re-development	500	147	500	0	29%	100%
PL14	Bristol Legible City Scheme	162	57	162	0	35%	100%
PL15	Environmental Improvements Programme	179	122	159	(20)	68%	89%
PL17	Resilience Fund (£1m of the £10m Port Sale)	47	1	47	0	3%	100%
PL18	Energy services - Renewable energy investment scheme	10,067	2,001	10,508	440	20%	104%
PL18A	Energy Services – Bristol Heat Networks expansion	7,605	4,553	7,605	0	60%	100%
PL18B	Energy Services - School Efficiencies	341	196	262	(79)	57%	77%
PL18D	Energy Services - EU Replicate Grant	(154)	0	12	166	0%	-8%
PL20	Strategic Property	270	157	261	(9)	58%	97%
PL22	Strategic Property - Investment in existing waste facilities	469	0	469	0	0%	100%
PL23	Strategic Property - Temple St	341	16	100	(241)	5%	29%
PL24	Bristol Beacon	28,478	16,910	28,478	0	59%	100%
PL30	Housing Delivery Programme	15,804	3,445	13,110	(2,694)	22%	83%
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	132	43	88	(44)	32%	67%
PL36	Investment in Markets infrastructure & buildings	387	(12)	370	(17)	-3%	96%
Total Growth & Regeneration		150,873	46,378	146,425	(4,447)	31%	97%

Key Messages

The current report shows **£46.4m** YTD (£8m in P7) spend against the revised budget of **£150.9m**, and a forecast underspend of **£4.4m**. To achieve the budget target for 2021/22, the directorate will need to increase the average spend per month by **£13m** to an average of **£20m** (excluding HRA) each month for the rest of the year. Services are expected to submit a revised budget profile during the P8 monitoring cycles to revise down the current year forecast as well as reflect a realistic programme for future years. The newly procured Strategic Partner are also being tasked with coming forward with proposals to help deliver the Capital programme at pace in line with their mandate.

a: Revenue Budget Monitor

	Revised Budget	Forecast Outturn	Outturn Variance	Of which :	
P07	£0.0m	(£1.0m)	(£1.0m) underspend	Covid-19	Non-Covid
P06	£0.0m	(£1.0m)	(£1.0m) underspend	£2.3m	(£3.3m)
				£2.3m	(£3.3m)

Forecast Outturn Variance by month £m									
May	June	July	Aug	Sept	Oct	Nov	Dec	Jan	Feb
(1.5)	(1.5)	0.3	(0.6)	(1.0)	(1.0)				
		▼	▲	▲	▲				

Revenue Position – Income and Expenditure

HRA Income and Expenditure	2021/22 - Full Year					Current Forecast Variance P7		Previous Forecast Variance P6		Movement	
	Budget £000	Current Forecast £000	Forecasted Outturn Variance £000	Previous Forecast £'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)	(113,612)	(118)	(113,615)	3	0	(118)	0	(121)	0	3
Voids	1,200	1,200	0	1,200	(0)	0	0	0	0	0	0
Non-dwelling rents	(1,171)	(917)	254	(932)	15	0	254	0	239	0	15
Charges for services and facilities	(8,621)	(9,260)	(639)	(8,806)	(453)	0	(639)	0	(185)	0	(454)
Contributions towards expenditure	(30)	9	39	9	0	0	39	0	39	0	0
TOTAL INCOME	(122,117)	(122,580)	(463)	(122,145)	(435)	0	(463)	0	(28)	0	(435)
Repairs & Maintenance	33,854	32,805	(1,049)	33,033	(229)	600	(1,649)	600	(1,421)	0	(228)
Supervision & Management	32,219	30,069	(2,150)	30,326	(257)	79	(2,229)	79	(1,972)	0	(257)
Special Services	9,771	11,048	1,277	9,991	1,057	22	1,255	22	198	0	1,057
Rents, rates, taxes and other charges	755	585	(170)	703	(118)	0	(170)	0	(52)	0	(118)
Depreciation & impairment of non-current assets	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 for bad debts	1,362	1,362	0	1,362	0	1,600	(1,600)	1,600	(1,600)	0	0
Movement on Impairment provision	421	2,021	1,600	2,021	0	0	1,600	0	1,600	0	0
TOTAL EXPENDITURE	107,867	107,375	(493)	106,921	454	2,301	(2,794)	2,301	(3,247)	0	453
NET COST OF HRA SERVICES	(14,250)	(15,205)	(956)	(15,224)	19	2,301	(3,257)	2,301	(3,275)	0	19
Net interest payable, pension costs and other non operational charges	11,043	11,043	0	11,043	0	0	0	0	0	0	0
Capital Expenditure Funded From The HRA	3,206	3,204	(2)	3,204	0	0	(2)	0	(2)	0	0
SURPLUS FOR THE YEAR ON HRA SERVICES	0	(957)	(957)	(976)	19	2,301	(3,258)	2,301	(3,277)	0	19

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 P7 is an underspend of (£1.0m), which represents no movement compared to P6. The underspend will be transferred to the HRA general reserve 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	COVID-19 Exp	COVID-19 Inc	Covid-19 Pressures (B)	Non-Covid Pressures (C)	Outturn Variance	Previous Forecast Outturn	Movement in Forecast
		£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s	£000s
321	Strategy, Planning & Governance	17,284	16,758			0	-526	-526	16,804	-46
322	Responsive Repairs	28,385	26,981	600		600	-2,004	-1,404	27,225	-244
323	Planned Programmes	15,006	15,943	79		79	858	937	15,496	447
324	Estate Management	-105,326	-106,729	22		22	-1,425	-1,403	-106,629	-101
326	Estate Regeneration	536	375			0	-160	-160	413	-38
Division: Housing Services - HRA		-44,115	-46,672	701	0	701	-3,258	-2,557	-46,691	19
X10	HRA - Funding & Expenditure	11,465	13,065		1,600	1,600	0	1,600	13,065	0
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	45,715	0
TOTAL HRA		0	-957	701	1,600	2,301	-3,258	-957	-976	19

- **321 Strategy, Planning & Governance- (£0.526m) underspend.** Main reasons for variance are; 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), revised recharge to general fund (£0.092m) and other minor variances (£0.064m). At £0.046m, there is no significant movement on the previously reported figure.
- **322 Responsive Repairs - (£1.404m) underspend.** Lower number of relets and voids therefore less repair costs of (£2.536m), salary savings (£0.442m) offset by additional repair costs, due to use of sub-contractors of £1.090m. Legal costs and cost of hand held devices, at £0.234m, are not included in budget. PPE equipment and Leaseholder recharge income are lower than expected by £0.083m and £0.150m respectively. The leaseholder service is currently under review. The movement of (£0.244m) on the previously reported variance of (£1.160m) is mainly attributable to an increase in recharge of relet costs to capital and a further reduction in the salary forecast due to recruitment difficulties.
- **323 Planned Programmes - £0.937m overspend.** Renewal of heat management contract was higher than expected by £0.328m, an increase in spend of £0.759m on communal amenities energy cost which are now based on updated forecasts following the recent price increases by the energy companies. Increase in costs of £0.061m due additional safety testing required on lifts, additional expenditure on Brislington Depot £0.016m offset by salary savings due to vacancies (£0.220m). The movement in forecast of £0.447m is mainly due to the changes in the energy costs, offset by salary savings.
- **324 Estate Management - (£1.483m) underspend.** The main underspends are; salary savings due to vacancies of (£0.833m), additional rents largely from unsecured tenanted properties (£0.118m) and (£0.116m) additional service charges income from caretaking due to inflationary increase not included in budget, (£0.200m) savings from court cost, (£0.150m) reduction in forecast for council tax voids and other minor variations of (£0.066m). The movement of (£0.100m) on previously reported forecast is mainly due to reduction in the forecast for council tax voids.
- **326, Estate Regeneration - (£0.160m) underspend,** mainly due to savings on consultancy fees of (£0.098m) and (£0.062m) on salary savings. This is a change of £0.038 from period 6 relating salary savings.

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 due to the end of furlough and the withdrawal of UC uplift.	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 Fire Safety Act and the Building Safety Bill or the outcomes of independent fire safety checks on clad blocks	£25m has been set aside in the Housing Investment Plan to cover costs of any remedial or fire safety improvement works	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.
Unable to spend Right to Buy receipts within designated timeframe	Impact of Covid-19 social distancing and economic disruption	Impact on the ability to develop new stock and to progress the Housing Investment Programme	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 P7 £110.6m	Revised Budget £87.2m	Expenditure to Date £17.5m 20% of Budget	Forecast Outturn £66.8m 77% of Budget	Outturn Variance (£20.4m)
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P6 £110.6m

£87.2m

£14.8m
17% of Budget£78.4m
90% of budget

(£8.8m)

Gross expenditure by Programme

Ref	Scheme	Current Year (FY2021) - Period 7				Performance to budget	
		Budget	Expenditure to Date	Forecast	Variance	Expenditure to date	Forecast
						%	
						£000s	
Housing Revenue Account							
HRA1	Planned Programme - Major Projects	11,012	3,267	10,405	(607)	30%	94%
HRA2	New Build and Land Enabling	53,410	5,930	34,391	(19,019)	11%	64%
HRA3	Building Maintenance and Improvements	22,410	8,341	21,857	(553)	37%	98%
HRA4	HRA Infrastructure	375	8	120	(255)	2%	32%
Total Housing Revenue Account		87,207	17,546	66,773	(20,434)	20%	77%

At £66.77m there was a £11.67m reduction in the forecast expenditure at period 7 giving rise to a projected underspend for the end of October of £20.43m.

The main variations in the forecast are:

- **New Build and Land Enabling** – An underspend (£19.0m) against a budget of £53.4m. The budget continues to be re-profiled, as the year progresses. There are delays on a number of developments due to external factors including changes to material and labour supply and implications on legal contracts being signed with the contractors which is delaying start on sites, until the new year. A number of schemes which are under construction have suffered delays for highways and other issues which has meant a reduction in spend in the current financial year. The majority of material and labour supply issues are a knock on effect from Covid 19 which has affected the construction industry and it's supply chain on a national scale.

a: Revenue Budget Monitor

	Revised Budget	Forecast Outturn	Outturn Variance	Cumulative Deficit
P07	£182.7m	£197.5m	£14.8m overspend	£24.8m overspend
<i>P06</i>	<i>£182.7m</i>	<i>£197.3m</i>	<i>£14.6m overspend</i>	<i>£24.6m overspend</i>

May	June	Jul/Aug	Sept	Oct	Nov	Dec	Jan	Feb
20.5	20.5	21.1	24	24.8				
		▼	▼	▼				

Revenue Position

Summary DSG position 2021/22 Period 07 (all figures in £000s)

	b/f	Net DSG funding/ budget 2021/22	P07 2021/22 Forecast Outturn	In-year variance at P06	Cumulative c/f
Schools Block	(619)	87,256	86,397	(859)	(1,478)
De-delegation	(553)	31	31	0	(553)
Schools Central Block	0	2,627	2,627	0	0
Early Years	(621)	37,185	37,406	221	(400)
High Needs Block	12,609	55,230	70,712	15,482	28,091
HNB Transformation	(812)	1,400	1,400	0	(812)
Funding		(183,698)	(183,698)	0	0
Total	10,004	0	14,843	14,843	24,847

Key Messages

The in-year forecast deficit on the DSG is significant at £14.843m, which when added to the brought forward balance (of £10.004m) will give a total deficit to carry forward at the end of the year of £24.847m 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 £15.482m and Early Years SEN overspend of £0.221m resulted from additional EHCP assessments; offset slightly by an underspend of £0.859m in the Schools' Block (on the growth fund and due to the closure of 3 schools).

b: Risks and Opportunities

Currently the Service is formulating a management strategy to mitigate the financial pressure.

Division	Risk or Opportunity	Description of impact	Risk / Opportunity £	Likelihood (%)	Net / (opportunity) £
DSG	Risk	Impact of future panel meetings not yet reflected in the monitor.	2,500,000	80%	2,000,000

Appendix A6 – Public Health

2021/22 – P07 Budget Monitor Report

a: Revenue Budget Monitor

	Revised Budget	Forecast Outturn	Outturn Variance
P7	£0.0m	£0.0m	£0.0m overspend
<i>P06</i>	<i>£0.0m</i>	<i>£0.0m</i>	<i>£0.0m overspend</i>

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

Public Health (PH) Grant of £33.643m was awarded for 2021/22.

The Public Health grant is awarded annually to the local authority. It is ring fenced for the purposes of public health. The grant funds a range of mandated public health services and supports the Director of Public Health to discharge their statutory duties for protecting health, improving health, promoting health equity, and reducing health inequalities through the funding of locally identified public health priorities.

Bristol's local priorities include reducing harms from drugs and alcohol, improving mental health, reducing harms from domestic abuse, food equality and community health action.

75 % of public health functions and services are externally commissioned with 14% internally commissioned.

An annual return must be provided by the authority to Public Health England, which is audited against the grant regulations

The tables below provide a breakdown as follows:

- Table 1: The budget for 2021/22 and the current forecast at P07
- 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 P7 2021/22	Variance
	£'000	£'000	£'000
Salaries	2,896	2,985	89
Running Costs & Overheads	1,115	1,028	-87
Internal Commissioned Services	5,572	5,633	61
External Commissioned Services	28,868	30,672	1,804
Gross Cost	38,451	40,318	1,867
Funding:			
Public Health Grant	-33,643	-33,643	0
Other Grants	0	0	0
Joint Partnership Funding	-4,808	-6,675	-1,867
Use of Reserve	0	0	0
Total Funding	-38,451	-40,318	-1,867
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 P7	Variance Outturn as at P7
		£'000	£'000	£'000
Gypsy and Traveller Health	Growth & Regeneration	12	12	0
Healthy Homes	Growth & Regeneration	70	70	0
Prevention Homelessness - Substance Misuse Pathway	Growth & Regeneration	750	750	0
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	655	6
Children and Young People Substance Misuse	People	146	146	0
Domestic Abuse	People	896	896	0
Impact Fund - Grants to VCSE	People	673	673	0
Community Development	People	929	929	0
Healthy Eating	People	0	95	95
Public Health Intelligence	Various	25	36	12
Public Health Programmes and Campaigns	Various	100	47	-53
Total - Internal Commissioned Services		5,572	5,633	60

Notes and explanations for variance:

- Additional public health intelligence due to a new sudden death surveillance programme
- Additional funding to pilot a weight management programme to enable a larger cohort of participants
- A reduction in campaigns due to Covid focused campaigns funded from the Contain Outbreak Management Fund Grant

Table 3: Public Health – External Commissioned Services: Plan 2021/22

PHE Code	Public Health - External Commissioning Intentions	Planned 2021-22	Forecast as at P7	Variance Outturn as at P7
		£'000	£'000	£'000
361	Sexual health services - STI testing and treatment (prescribed functions)	5,251	5,251	0
362	Sexual health services - Contraception (prescribed functions)	3,388	3,446	58
363	Sexual health services - Promotion, prevention and advice (non-prescribed functions)	288	449	161
365	NHS health check programme (prescribed functions)	400	400	0
368	National child measurement programme (prescribed functions)	463	554	91
371/372	Obesity - Children & Adults	0	59	59
373/374	Physical Activity - Children & Adults	384	309	-75
376/377	Substance misuse - Treatment for drug & Alcohol misuse in adults	8,865	8,632	-233
378/379/380	Substance misuse - Preventing & Reducing harm from drug & Alcohol misuse in adults, children and young people	39	44	5
381	Smoking and tobacco - Stop smoking services and interventions	470	499	29
382	Smoking and tobacco - Wider tobacco control	15	15	0
383/384/385	Children 0-19 public health programmes (including schools nursing and other health programmes)	8,988	10,679	1,691
386	Health at work	0	0	0
387	Public mental health	110	175	65
389	Miscellaneous public health services - other	207	160	-47
	Total External Commissioning Intentions	28,868	30,672	1,804

Notes and explanations for variance:

- Adverse variance is due mainly to pilot programmes for Childrens' mental health (BAME)

Decision Pathway – Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 14 December 2021

TITLE	Household Support Fund		
Ward(s)	All		
Author: Matthew Kendall	Job title: Benefits Technical Manager		
Cabinet lead: Cllr Craig Cheney	Executive Director lead: Mike Jackson		
Proposal origin: Other			
Decision maker: Cabinet Member			
Decision forum: Cabinet			
Purpose of Report: To approve the proposed spend and allocation of the Department for Work and Pensions (DWP) £4m Hardship Support Fund.			
Evidence Base:			
Background:			
<p>On 30 September 2021 the government announced a package of targeted financial support for those in need over the winter period. The £500 million (£421m for England) Hardship Fund sees new funding issued to Councils to support those most in need with the cost of food, energy and water bills, phone, broadband and clothing and in exceptional cases, housing costs.</p> <p>The Department for Work and Pensions (DWP) has allocated £4,039,965 to Bristol, under section 31 of the Local Government Act 2003, to award grants and administer this scheme. The period of the grant covers from October 2021 to March 2022 and payment is made to the council in arrears, based on two management information returns in January and April 2022 and the amounts committed at the point of their return. Actual payments will be credited in February/March 2022 and May/June 2022 respectively.</p> <p>The eligibility criteria are contained in 3.2 of appendix A, but the main points are that a minimum of 50% of funding must be ringfenced to support households with children, whilst the other 50% can be used to fund other households genuinely in need of support this winter. Any grant should be predominately be used to assist households with the costs of; food, gas/electricity, water, phone/broadband, essential household items (e.g. white goods, beds/bedding, clothing, baby/sanitary products) and housing costs (in exceptional circumstance).</p> <p>The details of how the fund is to planned to be spent are summarised both below and also again in 3.3 of appendix A of this report, but effectively the proposal here is that rather than simply replicating the previous awards made solely to free school meals recipients, a more imaginative and wider reaching approach has been taken, following consideration of all of the factors that affect poverty across low income families, especially around fuel and food and then determining how the biggest impact could be made to those who are most in need and not already benefitting from other financial assistance for this period.</p> <p>These households have been identified by looking at a variety of data sets across both Bristol City Council and DWP, excluding those who are already receiving the equivalent assistance, such as winter fuel payments for people over pension age, in order to best target those who are in need.</p>			

This proposed solution therefore is a blend of a continuation of providing food poverty assistance to those children currently entitled to free school meals/pupil premium over the holiday period, as well as support to more than 28,000 low income working age households over the winter, via a food voucher (NB; as a fuel voucher does not exist) to assist recipients not only with food poverty, but also indirectly with gas/electricity poverty, by enabling them to 'free up' some of their household expenditure to meet these increased costs.

The proposed spend is as follows:

- £660,000 – Free School Meals food vouchers for October and February half terms (October has already been distributed). Awarded to BlackHawk Network via a Crown Commercial Services framework agreement. Please note [Officer Executive Decision \(OED\)](#) reflecting the urgent decision to enable payment to be made during the October half term.
- £2,850,000 – £100 food voucher to go to 28,500 low-income households identified by Bristol City Council data to be delivered in December and before Christmas 2021 in order to enable increase household budgets to assist with winter pressures including gas/electricity poverty. Awarded to BlackHawk Network via a Crown Commercial Services framework agreement.
- £100,000 to assist those with No Recourse to Public Funds via Red Cross
- £229,965 - Contingency support for households that may need additional support and are not identified in the above targeted support and to be approved by Cllr Cheney under delegated authority.
- £200,0000 - administration costs (including the cost of the vouchers themselves).

All public authorities must comply with the Public Sector Equality Duty and data is required to be kept and maintained by the relevant organisations and provided to the Council to report on delivery of agreed objectives and actual spend.

Details of the proposed spend and households that will benefit are also contained within Appendix A.

Cabinet Member / Officer Recommendations: That Cabinet;

Approve:

1. The acceptance of the Department for Work and Pension Hardship Support Fund of £4,039,965, as set out in this report and associated budget adjustment.
2. Approve the allocation and proposed spend as set out in this report
3. Award to BlackHawk Network via a Crown Commercial Services framework agreement to give effect to the distribution of the Household Support Fund and distributed in full by December 2021.
4. Authorise the Director Finance in consultation with the Deputy Mayor, Cabinet member for Finance, Governance, Property and Culture to take all necessary steps to give effect to the fund allocation, including any decisions in relation to the contingency.

Note:

5. The Officer Executive Decision to allocate under urgency £330,00 for FSM vouchers during the October 2021 half term

Corporate Strategy alignment:

The proposed spend and allocation of the Hardship Support Fund aligns to the corporate strategy in which the vision is for Bristol to be a City;

1. In which everyone benefits from the city's success and no-one is left behind.
2. Where people have access to decent jobs and to affordable homes.
3. In which services and opportunities are accessible.
4. Where life chances and health are not determined by wealth and background.

This is through providing support to households who are on a low income, so that levels of poverty are reduced with the benefits to health and opportunities that this brings.

City Benefits:

Additional levels of support to households on a low income to help alleviate winter pressures for those who have been impacted by; the COVID pandemic, the ending of the £20 Universal Credit uplift, ending of furlough schemes, increased energy bills and the cost of living, the lifting of the eviction ban and any loss of income because of the current economic circumstances and the current challenging financial circumstances.

Consultation Details:

None at present.

Background Documents:

[Government launches £500m support for vulnerable households over winter - GOV.UK \(www.gov.uk\)](#)
[Officer Executive Decision – Food vouchers for Free School Meals children \(October 2021 half term\)](#)

Revenue Cost	£4,039,965	Source of Revenue Funding	15461 (DWP Funded in full)
Capital Cost	NA	Source of Capital Funding	NA
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: Council is requested to approve the disbursement of £4.04m hardship funding and its proposed target areas in line with eligibility criteria as outlined in Appendix A. This scheme and administration of it is fully funded by the DWP so that there is no financial impact on BCC's budget..

Finance Business Partner: Jemma Prince, Finance Business Partner, 8 November 2021

2. Legal Advice: To the extent that the means employed for the distribution of the fund may involve any procurement activities, then, as the report notes, these must be conducted in a manner consistent with the Public Contracts Regulations 2015 and the Council's own procurement rules.
 In addition, Cabinet is reminded that, given the subject matter of the report, particular regard will need to be had to the EQIA. Similarly given the intended delegation, the Chief Executive will likewise need to ensure proper regard is had to the Council equalities duties and the EQIA, when determining the arrangements for the distribution of the funds.

Legal Team Leader: Eric Andrews, Legal Services, 4/11/2021

3. Implications on IT: I can see no IT implications in this proposal.

IT Team Leader: Gavin Arbuckle – Head of Service Operations, Digital Transformation, 5th November 2021.

4. HR Advice: If vouchers are the chosen method of distribution of these funds then this can be achieved within the existing staff team. If on the other hand bank transfers are the chosen method then additional staff employed via an agency or on a fixed term contract basis will be required.

HR Partner: James Brereton (HR Business Partner), 30th October 2021.

EDM Sign-off	Mike Jackson	17/11/2021
Cabinet Member sign-off	Cllr Craig Cheney	29/11/2021
For Key Decisions - Mayor's Office sign-off	Mayor's Office	15/11/2021

Appendix A – Further essential background / detail on the proposal Hardship Support Fund Policy (October 2021)	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 L – Procurement	NO

Appendix A Bristol City Council - Household Support Fund (December 2021)

1. Background

On 30 September 2021 the government [announced](#) a package of targeted financial support for those in need over the winter period. The £500 million (£421m for England) Hardship Fund sees new funding issued to Councils to support those most in need with the cost of food, energy and water bills, phone, broadband and clothing, and in exceptional cases, housing costs.

The Department for Work and Pensions (DWP) is providing funding to Councils, under section 31 of the Local Government Act 2003, who will administer the scheme and provide direct assistance to vulnerable households and families with children particularly affected by the increase in the cost of living.

2. Period Covered

The Hardship Support Fund will enable Bristol City Council to provide support to vulnerable households and individuals from early October 2021 and covers the period up until the end of March 2022.

3. Hardship Support Fund

3.1 Funding available

Bristol City Council will receive a grant of £4,039,965 in arrears and based on two management information (MI) returns in January and April 2022 and the amounts committed at the point of their return.

3.2 Eligibility Criteria

- A minimum of 50% of the total funding must be ringfenced to support households with children, the other 50% can be used to fund other households genuinely in need of support this winter. (This may include households that are not currently in receipt of DWP welfare benefits)
- Can be used to assist households with the costs of; food, gas/electricity, water, phone/broadband, essential household items (e.g. white goods, beds/bedding, clothing, baby/sanitary products) and housing costs (in exceptional circumstance)
- No application is needed if households requiring assistance can be determined in advance
- Individuals, regardless of their immigration status are eligible to ensure a basic safety net of support.
- Cannot be used for advice or mortgage related costs.

3.3 Implementation of fund

- Can be used for existing schemes and other support which deliver the same outcomes and where the need is greatest, but need to be mindful of possible funding overlaps
- Can be provided in cash or vouchers.
- Distribution of grants can be made using the voluntary/third sector.

- A proportion of the funds can be used for administration; however these costs should be kept to a minimum, in order to maximise the overarching funds available to support our most vulnerable citizens. Due to the approach being adopted in the deployment of these funds, the administration cost is expected to be in the region of £200,000.

3.4 Reporting structure

All public authorities must comply with the Public Sector Equality Duty and MI is required to be kept and maintained by the relevant organisations and provided to the Council to report on delivery of agreed objectives and actual spend.

3.5 Receipt of funds

The grant will be paid in arrears and based on MI returns in January and April 2022. Actual payments will be credited in February/March 2022 and May/June 2022 respectively.

4. Approved /Proposed Spend

Award	Spend Value	Comments
Targeted support for 2 – 16+ who receive Free School Meals and/or Pupil Premium over October 2021 and February 2022 half term.	£660,000	This is for a total of 2 weeks at a value of £15 x 22,000 children. This is an extension of the previous FSM reach. Vouchers will be supplied which allows the recipient to choose which supermarket they wish to use.
Targeted support for low-income households (including 50% with children) also covering December school holidays.	£2,850,000	This will cover c28,500 working age households identified from Housing Benefit and Council Tax Reduction data. This would equate to a one-off Winter food/fuel payment of £100 per household regardless of size. Payment mechanism could be a universal voucher.
Targeted support to assist those with No Resource to Public Funds (including c500 Syrian/ Afghanistan Refugees and Asylum Seekers households known directly to BCC).	£100,000	This would be administered by direct award using the existing provisions via Housing Options to the Red Cross.

Contingency support for households that may need additional support and not identified in the above targeted support and to provide future resilience, and to be approved by Cllr Cheney under delegated authority.	£229,965	These amounts and application and payment mechanisms are yet to be determined, but experience of future grant schemes suggests it would be prudent to keep an amount back to cover such groups and especially as the scheme continues until March 2022.
Administration, procurement communications, and marketing.	£200,000	As referenced above this is 5% of the total award and to assist with the cost of administration and also procuring and purchasing of universal vouchers and Free School Meals vouchers.
Total	£4,039,965	

Household Support Fund_Risk Register

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

Ref	Risk Description	Key Causes	Key Consequence	Status Open / Closed	Risk Category	Risk Owner	Key Mitigations	Direction of travel	Current Risk Level			Monetary Impact of Risk Ek	Risk Tolerance			Actions to be undertaken (Include dates as appropriate)	Resp. Officer	Escalation			Portfolio Flag	Audit Trail											
									Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating			Date	Escalated to: DRR/CRR	Escalated by:		Date	Date risk identified	Directorate Flag	Date Risk Closed	Closed by:	Amends / Updates Completed Date:	By:					
1	Poor quality data/ modelling of households in need	Poor quality data/ issue of data sources	Under estimation or incorrect identification of households in need.	Open	Legal Service Provision Communities Financial Reputational	Graham Clapp	Results are sample tested back against real life data and other data sets within the Benefits Service	➔	1	3	3	NK			0																		
2	Incorrect identification of those households in need within statutory equalities groups	Poor quality data/issue of data sources and/or poor matching to known equalities data sources	Households that should benefit from such awards within certain equalities groups, do not.	Open	Legal Service Provision Communities Financial Reputational	Graham Clapp	Full EqIA completed and close working with Equalities Team	➔	1	3	3	NK			0																		
4	Award mechanism not in place by Christmas/Winter	Procurement timescales not aligning to those needed within the project/political request for distribution. Poor quality advise	Award mechanism not being in place and households therefore not receiving additional financial assistance. Legal challenge to procurement process.	Open	Legal Financial Reputational	Graham Clapp	Close joint working with colleagues in Procurement Support/weekly update meeting/senior sign off of any decisions made.	➔	1	1	1	NK			0																		
5	Award mechanism not fit for purpose	Market research not being conducted fully/testing of product.	Award mechanism not being in place in time. Contact by those affected to resolve issues. Reputational damage.	Open	Service Provision Communities Financial Reputational	Graham Clapp	Product put forward has been fully tested and used in Free School Meals vouchers exercise on numerous occasion and with same supplier.	➔	1	1	1	NK			0																		

Positive Risks that offer an opportunity to Council Tax Reduction and its Aims (Aim - Increase Level of Risk / Opportunity)

Ref	Risk Description	Key Causes	Key Consequence	Status Open / Closed	Risk Category	Risk Owner	Key Mitigations	Direction of travel	Current Risk Level			Monetary Impact of Risk Ek	Risk Tolerance			Actions to be undertaken (Include dates as appropriate)	Resp. Officer	Escalation			Portfolio Flag	Audit Trail												
									Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating			Date	Escalated to: DRR/CRR	Escalated by:		Date	Date risk identified	Directorate Flag	Date Risk Closed	Closed by:	Amends / Updates Completed Date:	By:						
1	Increase assistance to low income households facing fuel/food poverty over the Winter/Christmas period and beyond in some circumstances	Additional grant of £4m by DWP to enable increased financial assistance	Reduce further financial pressures on low income families, especially following welfare reform and COVID impacts and withdraw of associated support	Open	Legal Service Provision Communities Financial Reputational	Graham Clapp	NA	➔	3	3	9	4,000			0																			

Appendix E - Equality Impact Assessment [version 2.9]

Title: Household Support Grant	
<input checked="" type="checkbox"/> Policy <input type="checkbox"/> Strategy <input type="checkbox"/> Function <input type="checkbox"/> Service <input type="checkbox"/> Other <i>[please state]</i>	<input checked="" type="checkbox"/> New <input type="checkbox"/> Already exists / review <input type="checkbox"/> Changing
Directorate: Finance	Lead Officer name: Denise Murray
Service Area: Benefits Service	Lead Officer role: Service Director – Finance

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.

On 30 September 2021 the government [announced](#) a package of targeted financial support for those in need over the winter period. The £500 million (£421m for England) Hardship Fund sees new funding issued to Councils to support those most in need with the cost of food, energy and water bills, phone, broadband and clothing, and in exceptional cases, housing costs.

The Department for Work and Pensions (DWP) has provided just over £4m to Bristol to administer the scheme and provide direct assistance to vulnerable households and families with children particularly affected by the increase in the cost of living.

The aim of this proposal is to provide a Hardship Support Fund that effectively and efficiently provides financial assistance to low-income households with the costs (listed above) before the end of March 2022.

The proposed spend has the potential to benefit around 28,000 low-income working age households and those families whose children are entitled to free school meals/Pupil Premium, plus other households where there is no resource to public funds (NRPF).

This will be done by;

- awarding vouchers of around £100 (over December / Christmas holiday period) to 28,000 working age low-income families as identified by Housing Benefit/Council Tax Reduction data
- £15 per child (over October 21 and February 22 half terms) to those in receipt of free school meals/pupil premium

- £100k fund to assist those with No Recourse to Public Funds (tbc).
- £229k for contingency fund to cover any households not identified above, and
- £200k for administration costs.

Within these cohorts there will be a number of those that fall in one or multiple equalities group who will benefit from this additional financial assistance.

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 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?

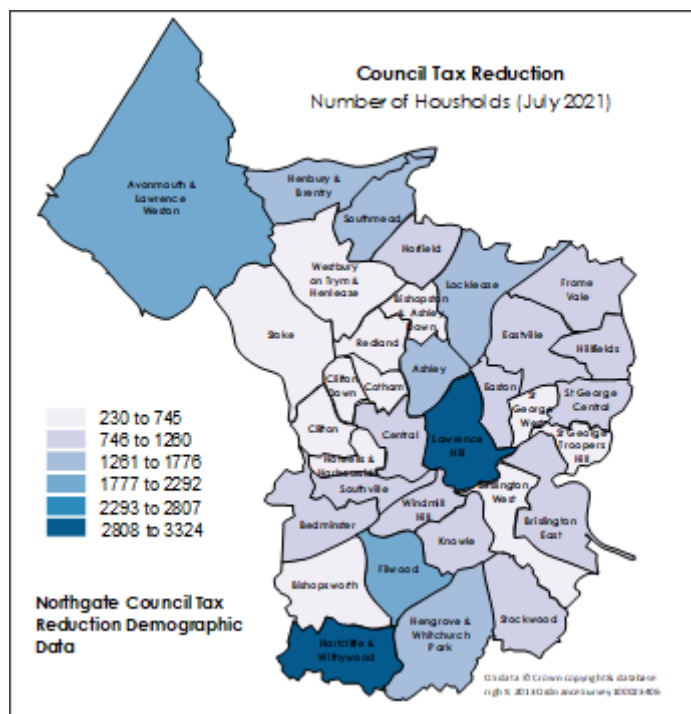
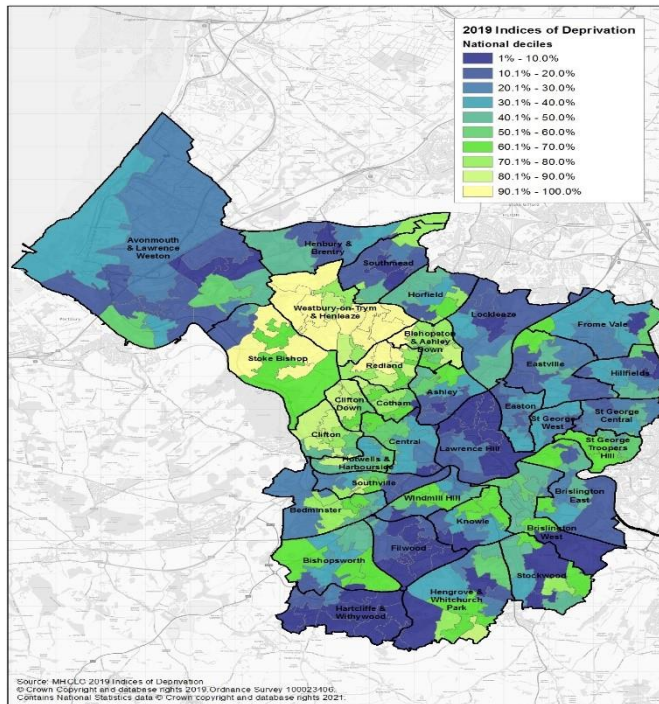
Please use this section to demonstrate an understanding of who could be affected by the proposal. Include general population data where appropriate, and information about people who will be affected with particular reference to protected and other relevant characteristics: <https://www.bristol.gov.uk/people-communities/measuring-equalities-success>.

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 <i>[Include a reference where known]</i>	Summary of what this tells us
<i>Housing Benefit/Council Tax Reduction data (Single Housing Benefit Extract (SHBE)/CTR demographics) [Northgate HB/CTR database]</i>	<p><i>Council Tax Reduction (CTR) data has been compared to areas of deprivation by Ward to show any correlation between the two and ensure that these households and areas are the most in need.</i></p> <p>The maps show that CTR awards are greater in areas of high deprivation e.g. Lawrence Hill, Hartcliffe and Withywood, Avonmouth and Lawrence Weston, Ashley, Filwood, Lockleaze, Southmead and Brislington East.</p>



[Quality of Life 2020-21 — Open Data Bristol](#)

The Quality of Life in Bristol survey shows there are significant disparities based on peoples characteristics and circumstances in the extent to which they find it difficult to manage financially:

Quality of Life Indicator	% who find it difficult to manage financially
16 to 24 years	13.8
50 years and older	5.5
65 years and older	3.7

	Female	7.6
	Male	5.9
	Disabled	16.0
	Black Asian & Minority Ethnic	12.3
	White Minority Ethnic	7.5
	White British	6.0
	Asian/Asian British	8.3
	Black/Black British	23.7
	Mixed Ethnicity	9.8
	White	6.2
	Lesbian Gay or Bisexual	11.5
	No Religion or Faith	6.3
	Christian Religion	5.7
	Other Religions	23.3
	Carer	8.9
	Full Time Carer	16.9
	Part Time Carer	6.3
	Single Parent	22.7
	Two Parent	5.8
	Parent (all)	7.8
	No Qualifications	10.3
	Non-Degree Qualified	9.9
	Degree Qualified	5.1
	Rented (Council)	20.4
	Rented (HA)	19.6
	Rented (Private)	11.5
	Owner Occupier	3.4
	Most Deprived 10%	15.8
	Bristol Average	6.8
	<u>Source: Quality of Life in Bristol 2020-21</u>	
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 checked="" 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 we have local diversity data for comparison, our existing Housing Benefit (HB) and Council Tax Reduction (CTR) database does not hold data on: religion/belief, sexual orientation, marriage/civil partnership, pregnancy/maternity, gender reassignment or disability (however it does show if a disability related benefit is in payment). This is the database that will be used to pay the majority (c£3m) of the £4m allocation.

Some limited data is held on ethnicity, but this is of poor quality due to the low response rates to equality questions asked on application forms (which we have asked for our supplier to enhance).

We do hold geographical location data for our current claim database, and we have been able to use census and other data to help fill the gaps in data.

We have tried to match with other datasets including the Department for Work and Pensions (DWP) Universal Credit data files extracts, but they only contain information relating to National Insurance numbers, income and number of children.

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.

Due to the timeframes, including the very short notice of roll out of the Hardship Support Fund by central government (Department for Work and Pensions) and short timelines for distribution (October 2021 to March 2022) a full-scale consultation process is not possible.

However there has been engagement with a multitude of internal stakeholders, including the BCC's Bristol Community Development Team, to explore best possible solutions around the distribution of this grant.

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.

Engagement will continue with stakeholders as the proposals go through the council's decision making pathway and whilst working closely with its consultation and engagement 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. [Equality Impact Assessments \(EqIA\) \(sharepoint.com\)](https://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 overall we expect the award of monies through the Hardship Support Grant will have a positive impact on people from protected characteristic groups who find it more difficult to manage financially. We are aware that our allocation process (using HB/CTR data) may mean some groups disproportionately benefit, whereas other groups may not to the same extent. The main mitigation/justification is that allocation will be based on robust measures and indicators of financial hardship - see below for specific mitigations and comments.	
PROTECTED CHARACTERISTICS	
Age: Young People	Does your analysis indicate a disproportionate impact? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	The proposal is to award any grants to those of working age and/or those households with children only. However, some students are excluded from claiming HB/CTR and it is likely that these will predominantly be younger people.
Mitigation s:	As the majority of the grant allocation is respect of those facing gas, electricity and utility poverty, households of pension age already have access to the universal winter fuel allowance of £200 - £300. Students do however have access to local educational establishment hardship funds, where others would not.
Age: Older People	Does your analysis indicate a disproportionate impact? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	The proposal is to award any grants to those of working age and/or those households with children only.
Mitigation s:	As the majority of the grant allocation is respect of those facing gas, electricity and utility poverty, households of pension age already have access to the universal winter fuel allowance of £200 - £300.
Disability	Does your analysis indicate a disproportionate impact? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>

Potential impacts:	Possible over representation when compared to Department for Work and Pensions (DWP) official estimates showing 18% of working age adults have a disability, whereas in HB/CTR (when using the definition to be households in receipt of DLA, PIP, or the Support Component of ESA are in payment for either the claimant or the partner) shows 25% which is higher than Bristol's working age indicator of 12.4%.
Mitigation s:	This overrepresentation is by design within a benefit system to recognise additional costs/expenditure within this group and the fact that not everyone with a disability will be in receipt of a disability benefit, it is likely that this figure is an underestimate.
Sex	Does your analysis indicate a disproportionate impact? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	There is possible overrepresentation and despite that the fact that the amount of single people of working age without children is roughly equal 50/50% and reflects Bristol's sex split, women make up over 95% of single parent households in our current HB/CTR caseload which is higher than average for the South West of 84.7%
Mitigation s:	None
Sexual orientation	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	We do not hold any data on sexual orientation however there is no reason to suppose that this protected characteristic would be differently distributed across the working age HB/CTR caseload compared to the wider population.
Mitigation s:	None
Pregnancy / Maternity	Does your analysis indicate a disproportionate impact? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	We do not hold any data on pregnancy and maternity however it would be reasonable to assume that this protected characteristic may be overrepresented in our current working age caseload due to the high number of families with children and particularly of female lone parents (see 'sex').
Mitigation s:	None
Gender reassignment	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	We do not hold any data on gender reassignment however there is no reason to suppose that this protected characteristic would be differently distributed across income bands or across the working age HB/CTR caseload compared to the wider population.
Mitigation s:	None
Race	Does your analysis indicate a disproportionate impact? Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Potential impacts:	Census data from 2011 carries information on the ethnicity of Bristol's residents as shown in table 1 below. This shows 16% being Black, Asian and minority ethnic and 5.1% being White (other than UK or Ireland). It is likely that the majority of the 5.1% white group is comprised of European nationals as this correlates with table 2 that shows 4.6% with a European (non-UK and Office for National Statistics) ONS data showing 4.7% of Bristol's population hold

an EU passport.

Table 1. Ethnic Group (KS201EW)

	Count		
All Usual Residents	428234		
White; English/Welsh/Scottish/Northern Irish/British	%	77.9	
White; Irish	%	0.9	
White; Gypsy or Irish Traveller	%	0.1	
White; Other White	%	5.1	5.1%
Mixed/Multiple Ethnic Groups; White and Black Caribbean	%	1.7	
Mixed/Multiple Ethnic Groups; White and Black African	%	0.4	
Mixed/Multiple Ethnic Groups; White and Asian	%	0.8	
Mixed/Multiple Ethnic Groups; Other Mixed	%	0.7	
Asian/Asian British; Indian	%	1.5	
Asian/Asian British; Pakistani	%	1.6	
Asian/Asian British; Bangladeshi	%	0.5	
Asian/Asian British; Chinese	%	0.9	
Asian/Asian British; Other Asian	%	1	
Black/African/Caribbean/Black British; African	%	2.8	
Black/African/Caribbean/Black British; Caribbean	%	1.6	
Black/African/Caribbean/Black British; Other Black	%	1.6	
Other Ethnic Group; Arab	%	0.3	
Other Ethnic Group; Any Other Ethnic Group	%	0.6	16%

Table 2. Country of Birth (KS204EW)

	Count	
All Usual Residents	428234	
England	%	81.3
Northern Ireland	%	0.4
Scotland	%	1.1
Wales	%	2.4
Ireland	%	0.7
Other EU; Member Countries	%	2.1
Other EU; Accession Countries	%	2.5
Other Countries	%	9.5

The HB/CTR caseload is estimated to contain 25% of those from Black, Asian and minority ethnic communities a group which is overrepresented within the caseload and at ward level when compared to the population of Bristol as a whole which is 16%, (especially those central wards and those to the inner east of the city). Data for HB/CTR caseload regarding European nationals is not available and this area is further complicated by the fact that many European nationals will be excluded by HB/CTR regulations for receiving any support.

Mitigation For those with No Recourse to Public Funds (e.g. refugees, asylum seekers, those

s:	failing to register under EUSS) there is an additional £100k further assistance, ring fenced with this grant.																																	
Religion or Belief	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>																																	
Potential impacts:	<p>We do not hold any data on religion and belief for our HB/CTR caseload.</p> <p>Data from the Office for National Statistics shows the three largest groups in Bristol to be Christian 47%, no religion 37%, and Muslim 5%</p> <table border="1"> <thead> <tr> <th>Table 3. Religion (QS208EW)</th> <th colspan="2">Number / %age</th> </tr> </thead> <tbody> <tr> <td>All Usual Residents</td> <td>428234</td> <td></td> </tr> <tr> <td>Christian</td> <td>200254</td> <td>47%</td> </tr> <tr> <td>Buddhist</td> <td>2549</td> <td>1%</td> </tr> <tr> <td>Hindu</td> <td>2712</td> <td>1%</td> </tr> <tr> <td>Jewish</td> <td>777</td> <td><1%</td> </tr> <tr> <td>Muslim</td> <td>22016</td> <td>5%</td> </tr> <tr> <td>Sikh</td> <td>2133</td> <td><1%</td> </tr> <tr> <td>Other Religion</td> <td>2793</td> <td>1%</td> </tr> <tr> <td>No Religion</td> <td>160218</td> <td>37%</td> </tr> <tr> <td>Religion Not Stated</td> <td>34782</td> <td>8%</td> </tr> </tbody> </table> <p>By LSOA we see the considerable variation for the top three groups by 2011 Census data as follows:</p> <p>Christian 20% to 99% No religion 15% to 58% Muslim 0% to 16%</p> <p>The three maps below, maps 2-4 show the distribution within Bristol of these three largest groups within the protected characteristic of 'religion and belief'.</p> <p>Comparing these with the first map of distribution of CTR suggests a correlation between areas with high proportion of Muslim residents and high CTR demand (central areas) but also high demand in some peripheral areas where there are high proportions of Christians or those with no religion.</p> <p>Map 2. Distribution of % Christian residents of Bristol from 2011 Census data (the darker the colour the greater the value).</p>	Table 3. Religion (QS208EW)	Number / %age		All Usual Residents	428234		Christian	200254	47%	Buddhist	2549	1%	Hindu	2712	1%	Jewish	777	<1%	Muslim	22016	5%	Sikh	2133	<1%	Other Religion	2793	1%	No Religion	160218	37%	Religion Not Stated	34782	8%
Table 3. Religion (QS208EW)	Number / %age																																	
All Usual Residents	428234																																	
Christian	200254	47%																																
Buddhist	2549	1%																																
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Jewish	777	<1%																																
Muslim	22016	5%																																
Sikh	2133	<1%																																
Other Religion	2793	1%																																
No Religion	160218	37%																																
Religion Not Stated	34782	8%																																



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Map 3. Distribution of % 'no religion' residents of Bristol From 2011 Census data (the darker the greater the value)



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Map 4. Distribution of % Muslim residents of Bristol From 2011 Census data (the darker the colour the greater the value)



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Mitigation
s:

None

**Marriage
&
civil**

Does your analysis indicate a disproportionate impact? Yes No

partnership	
Potential impacts:	We do not hold any data on marriage and civil partnerships however there is no reason to suppose that this protected characteristic would be differently distributed across income bands or across the working age HB/CTR caseload compared to the wider population.
Mitigations:	None
OTHER RELEVANT CHARACTERISTICS	
Socio-Economic (deprivation)	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	See original map distribution of CTR.
Mitigations:	None
Carers	Does your analysis indicate a disproportionate impact? Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>
Potential impacts:	We do not hold any data on gender reassignment however there is no reason to suppose that this protected characteristic would be differently distributed across income bands or across the working age HB/CTR caseload compared to the wider population.
Mitigations:	None
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:	There may be other groups that may not qualify for the £100 voucher award in other groups and hard to identify.
Mitigations:	Those with No Recourse to Public Funds will have a fund of £100k available to assist those that may be missed via the £100 voucher award. There is also a £229k contingency fund for further households that may need assistance and not identified and/or signposting to the council's Local Crisis and Prevention Fund.

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*

As per section 3.1. the award of monies through the Hardship Support Grant will only have a positive impact of those protected or relevant characteristics, but by using HB/CTR data there may be some groups that disproportionately benefit, where other groups may not.

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 are no significant negative impacts, although it is possible that some equalities groups may not benefit from this fund when compared to others, and other groups benefit more due to higher representation in the HB/CTR caseload.

For the former group there will be a £229k contingency fund for further households that may need assistance and not identified and/or signposting to the council's Local Crisis and Prevention Fund. For the latter group, no mitigation is needed as their over representation is justified.

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

The Household Support fund will advance equality of opportunity for those protected characteristic groups who are more likely to experience financial hardship.

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
None		

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.

Although the total sum of the grant is £4m to Bristol City Council, overall awards are not sums that will have a major impact of those households/take them out of benefit entitlement, but will assist for a short term with immediate needs to pay food and utility /clothing bills over the Winter/Christmas period.

The impact is to help reduce food /fuel poverty over this period, but this will be difficult to measure as the effect will be relatively short terms but will measure against contacts to the CSP for this type of advice and against applications to the council's Local Crisis and Prevention Fund over the same period.

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: 11/11/2021	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.

Appendix E - Eco Impact Checklist

Title of report: Hardship Support Fund				
Report author: Denise Murray				
Anticipated date of key decision				
Summary of proposals:				
<p>On 30 September 2021 the government announced a package of targeted financial support for those in need over the winter period. The £500 million (£421m for England) Hardship Fund sees new funding issued to Councils to support those most in need with the cost of food, energy and water bills, phone, broadband and clothing, and in exceptional cases, housing costs.</p> <p>The Department for Work and Pensions (DWP) has provided just over £4m to Bristol to administer the scheme and provide direct assistance to vulnerable households and families with children particularly affected by the increase in the cost of living.</p> <p>The aim of this proposal is to provide a Hardship Support Fund that effectively and efficiently provides financial assistance to low-income households with the costs (listed above) before the end of March 2022.</p>				
Will the proposal impact on...	Yes/ No	+ive or -ive	If Yes...	
			Briefly describe impact	Briefly describe Mitigation measures
Emission of Climate Changing Gases?	No			
Bristol's resilience to the effects of climate change?	No			
Consumption of non-renewable resources?	No			
Production, recycling or disposal of waste	No			
The appearance of the city?	No			
Pollution to land, water, or air?	No			
Wildlife and habitats?	No			
Consulted with: N/A				
Summary of impacts and Mitigation - <u>to go into the main Cabinet/ Council Report</u>				
None expected				

Checklist completed by:	
Name:	Matt Kendall
Dept.:	Benefits Service
Extension:	0117 352 6514
Date:	28 th October 2021
Verified by Environmental Performance Team	Nicola Hares – Environmental Project Manager

Decision Pathway – Report

PURPOSE: Key decision

MEETING: Cabinet

DATE: 14 December 2021

TITLE	End User Computer Devices		
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 an End User Computer contract <ol style="list-style-type: none"> 1. Approval to tender for a new End-User Computer Device contract 2. Cabinet approves the award of a 3 year contract, through a framework, for the supply of End-User Computer Devices 3. That Cabinet delegate authority to the Director/Executive Director with responsibilities for Digital Transformation to award the contract 			
Evidence Base: <ol style="list-style-type: none"> 1. The terminology, End-User computer, 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. These devices are required for the continued deployment of W10 devices to Bristol City Council staff as well as replacement devices under business as usual over the lifetime of any new contract. 3. 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 for the Procurement, Storage and Deployment of new end user computer devices to a value of £5m, with an allowable 10% uplift. 4. In September 2021, Cabinet approved the extension and funding to the existing contract to April 2022. 5. Cabinet is asked to approve initiating the process to establish a replacement 3 year contract for the supply of End-User Computer devices from April 2022. 			
Cabinet Member / Officer Recommendations: <ol style="list-style-type: none"> 1. Approve the procurement of a complaint End-User Computer contract for a period of 3 years at a cost of up to £3m. 2. Cabinet delegate authority to the Director/Executive Director with responsibilities for Digital Transformation to award the contract 			
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: <ul style="list-style-type: none"> • 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 Agenda Template (bristol.gov.uk) Cabinet Approval document September 2021 ModernGov - bristol.gov.uk

Revenue Cost	£	Source of Revenue Funding	
Capital Cost	£3m	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:		
<p>1. Finance Advice: This report seeks approval to follow the specified procurement pathway and place a contract with an approved supplier for the purchase of up to £3m of hardware devices over the next 3 years. Finance confirms that this £3m expenditure has previously been approved by Cabinet as published in the Capital Programme for the 5 years from 2021/22. ICT Refresh scheme reference RE01 reports total approved expenditure of £3.211m for the contract timeframe and is currently profiled as follows: 2022/23 £1.000m 2023/24 £2.211m 2024/25 £0.000m</p>		
Finance Business Partner: Jemma Prince - Finance Business Partner - 5 October 2021		
<p>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 regards to the conduct of the procurement process and the resulting contractual arrangements.</p>		
Legal Team Leader: Husinara Jones, Team Leader/Solicitor 1 October 2021		
<p>3. Implications on IT: It is critical that the Council has access to up to date technology, through a contract that offers best value. By entering into a new contract, the Council is able to benefit from guaranteed supply and costs, as well as a range of ancillary services which will give flexibility in regards to future deployments</p>		
IT Team Leader: Simon Oliver, Director – Digital Transformation, 6 th October 2021		
4. HR Advice: No HR implications evident		
HR Partner: James Brereton (HR Business Partner), 2 nd October 2021		
EDM Sign-off	Mike Jackson	13/10/21
Cabinet Member sign-off	Cllr Craig Cheney	11/10/21
For Key Decisions - Mayor's Office sign-off	Mayor's Office	15/11/21

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: End User Computer Devices	
<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: Gavin Arbuckle
Service Area: Digital Transformation	Lead Officer role: Head of Service Improvement & Performance

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 \(EqIA\) \(sharepoint.com\)](http://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 Services require to go out to tender for a replacement contract for the end user computer devices. This is to ensure that over the next 3 years we have a compliant contract in place to enable us to continue purchasing end user computer devices to meet the demands and needs of the business areas of Bristol City Council.

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 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 equality impact from this request which is limited in scope to a replacement contract to supply computer devices. The proposed contract will continue to allow us to provide

computer systems with additional or adapted technology which may be required to meet the accessibility needs of disabled colleagues and is distinct from the Microsoft365 project requirement to deploy software applications which assist disabled staff within the Windows10 operating environment. Continued efficiencies and improvements in service delivery will ensure Council staff have appropriate, modern and fully supported IT equipment that is capable of delivering future innovation.

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: Gavin Arbuckle
Date: 2/11/2021	Date: 04/11/21

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 December 2021

TITLE	The discretionary award element of the DHSC Adult Social Care Infection Control and Testing Fund Round 3 and The Workforce Recruitment and Retention Fund	
Ward(s)	All	
Author: Lucia Dorrington Dave Toole	Job title: Deputy Director – Commissioning, Adult Social Care and Contract and Quality Assurance Manager, Adult Social Care	
Cabinet lead: Helen Holland	Executive Director lead: Hugh Evans	
Proposal origin: BCC Staff		
Decision maker: Cabinet Member Decision forum: Cabinet		
<p>Purpose of Report:</p> <ol style="list-style-type: none"> 1. To provide information for decision to authorise the allocation of the Discretionary Award element of the Adult Social Care Infection Control and Testing Fund Round 3. Adult Social Care Infection Control and Testing Fund: round 3 - GOV.UK (www.gov.uk) 2. The allocation of Workforce Recruitment and Retention Fund for adult social care adult. Guidance overview: Workforce Recruitment and Retention Fund for social care - GOV.UK (www.gov.uk) 		
<p>Evidence Base:</p> <p>This is Department of Health and Social Care (DHSC) funding allocated to Local Authorities to support Adult Social Care provision. The Adult Social Care Infection Control Fund was first introduced in May 2020, to support adult social care providers in England to reduce the rate of COVID-19 transmission. This fund has been extended until 31 March 2022 to support the care sector to put in place crucial measures over the winter period. This is a new grant, with separate conditions to previous Infection Control and Testing Funds.</p> <p>The local authority discretionary portion of this funding consists of 3 allocations:</p> <ul style="list-style-type: none"> • infection prevention and control (IPC) funding • testing funding • vaccines funding <p>Local authorities must use 30% of the IPC allocation to support the care sector to put in place other COVID-19 infection control measures, but this can be allocated at their discretion. Local authorities must use their discretionary allocation of the testing allocation of the grant to support the care sector to operationally deliver testing.</p> <p>Local authorities should use 30% of their vaccines allocation to support staff in other care settings, including non-</p>		

registered settings, and to provide additional support to providers where required in order to undertake the following measures:

- ensuring that staff who need to attend work or another location for the purposes of being vaccinated for COVID-19 or flu are paid their usual wages to do so
- any costs associated with reaching a vaccination facility
- any reasonable administrative costs associated with organising COVID-19 or flu vaccinations where these were not being supported by other government funding streams.

The funding was paid in 2 tranches. The first 60% of the fund was paid to local authorities on 25th October 2021. The remaining 40% of the fund will be paid in January 2022. DHSC expect the grant to be fully spent on infection prevention and control, vaccines and testing measures by 31 March 2022.

The main purpose of the **Workforce Recruitment and Retention Fund** is to support local authorities to address adult social care workforce capacity pressures in their geographical area through recruitment and retention activity this winter, in order to:

- support providers to maintain the provision of safe care and bolstering capacity within providers to deliver more hours of care
- support timely and safe discharge from hospital to where ongoing care and support is needed
- support providers to prevent admission to hospital
- enable timely new care provision in the community
- support and boost retention of staff within social care
- This allocation of the grant must only be used to deliver measures that address local workforce capacity pressures in adult social care between 21 October 2021 and 31 March 2022 through recruitment and retention activity. DHSC expects local authorities to work closely with providers to determine how funding should best be spent, including passporting funding directly to providers where appropriate. It will be important to retain existing staff capacity as well as encourage new and returning entrants.
- Local authorities can use funding directly to deliver measures that help all providers of adult social care in their geographical area, this includes care home and domiciliary care, care providers with which local authorities do not have contracts, and organisations providing care who may not be registered with the CQC.
- Local authorities can also choose to passport some, or all, of the fund directly to a care provider to deliver measures that retain existing capacity or increase staffing capacity within the provider's organisation. However, they should ensure that funding is only passported directly to a provider that is registered with the CQC. A provider is legally required to register with the CQC when they carry on a regulated activity set out in the Health and Social Care Act 2008 (Regulated Activities) Regulations 2014

The funding will be paid in 2 tranches. The first 60% of the fund was due be paid to local authorities in late November 2021 (yet to be received). The remaining 40% of the fund will be paid by 14 January 2022. The payment of the second instalment of the fund is contingent on local authorities having returned templates to the department by 14 January 2022. The Department's expectation is that the grant will be fully spent on addressing local workforce capacity pressures through recruitment and retention activity by 31 March 2022. We are clear that 'spent' means that expenditure has been incurred between 21 October 2021 and 31 March 2022. This means the activity leading to the expense must have happened by 31 March 2022, so that the local authority is accruing the expense and it appears in the local authority's 2021 to 2022 accounts.

Financial breakdown of these two funds

Adult Social Care Infection Control and Testing Fund Round 3

£2,625, 901 has been allocated to Bristol City Council in total. The Direct Award element was authorised

for payment on 16th November 2021 by Director of Adult Social Care, Director of Finance and Deputy Mayor).

The discretionary award element is **£818,500** for distribution as per guidance (see Appendix A).

DECISION REQUIRED: To authorise allocation of funding as described below.

	1 st tranche	2 nd tranche	Total	
Infection Prevention Control	£284 022.29	£189 348.19	£473 370	Allocate to SL and STAC providers on per user basis 1% admin fee of £4781.52 claimed by BCC
Testing	£172 642.20	£115 094.80	£287 737	Allocate to ECH, SL, STAC, T4U providers on per user basis
Vaccine	£31 566.60	£21 044.40	£52 611	Allocate to SL and STAC providers on per user basis

Key – SL – Supported Living, STAC -Support to Access the Community, ECH – Extra Care Housing, T4U – Time for You (Carers Support). All are community- based providers which are were not allocated funds from the direct award element of the grant.

Workforce Recruitment and Retention Fund for Adult Social Care

£1, 373, 373 has been allocated to Bristol City Council for distribution as per guidance (see links to Government guidance at the end of this report).

DECISION REQUIRED: To authorise allocation of funding as described below

Proud to Care / Recruitment Projects	£120 000
Passported to Providers	£1 239 640
1% administration	£13 733
Total allocation	£1 373 373

Passported directly to providers	1 st tranche	2 nd tranche	Total
CQC registered Provider	£743 784	£495 856	£1, 239 640

Cabinet Member / Officer Recommendations:

That Cabinet

1. Approve the acceptance award and payment of funding to Adult Social Care providers as set out in the report.
2. Authorises the Executive Director, People in consultation with the Cabinet member for Adult Social Care to take all necessary steps to procure/extend/vary and award contract(s) to enable the implementation of short-term funding in-line with the budget envelopes outlined in this report, and including any decisions that are over £500K

Corporate Strategy alignment: This funding for providers of Adult Social Care fits with the Corporate Strategy vision 2022-27 for BCC to “play a leading role in driving an inclusive, sustainable and healthy city of hope and aspiration, one where everyone can share in its success” and aligns to the current strategic aims to be `Empowering and Caring` and `Fair and Inclusive`.

City Benefits:

1. This funding for ASC providers benefits provision of adult social care as it is there to support providers with infection prevention control measures and with workforce retention and recruitment.
2. It therefore benefits vulnerable service users with continuity of services, safety and sustainability of care and support services.

Consultation Details: These recommendations have been discussed at Adult Social Care Divisional Management Team and provider engagement took place with ASC Strategic Providers at the monthly engagement session on 5th November and at November Provider Forums.

Background Documents:

[Adult Social Care Infection Control and Testing Fund: round 3 - GOV.UK \(www.gov.uk\)](http://www.gov.uk)

[Guidance overview: Workforce Recruitment and Retention Fund for adult social care - GOV.UK \(www.gov.uk\)](http://www.gov.uk)

Revenue Cost	£2,191,873	Source of Revenue Funding	Department of Health and Social Care Infection Control and Workforce Recruitment and Retention Funding
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 authorises the acceptance, allocation and payment of £818,500 Infection Control and £1,373,373 of Workforce Recruitment and Retention Funds received from the Department of Health and Social Care. This expenditure is therefore fully funded and there should be no recurrent expenditure commitments. Bristol City Council is allowed an element of this funding for administrative costs as set out in the report.

Finance Business Partner: Denise Hunt, 6 December 2021.

2. Legal Advice: There are no direct legal implications arising from this report. Legal advice will be needed in relation to any agreements needed to enable funds to be distributed to ensure compliance with procurement rules and regulations.

Legal Team Leader: Nancy Rollason, Head of Legal Services, 6TH December 2021

3. Implications on IT: TBC (No ICT implications envisaged)

IT Team Leader: TBC

4. HR Advice: The report is seeking authorisation for the allocation of the discretionary award element of the Adult Social Care Infection Control and Testing Fund Round 3 and the allocation of Workforce Recruitment and Retention Fund for adult social care. There are no HR significant implications arising from this report for Bristol City Council employees.

HR Partner: Lorna Laing, HR Business Partner, December 6th 2021.

EDM Sign-off	Hugh Evans	6 December 2021
Cabinet Member sign-off	Councillor Helen Holland	6 December 2021
For Key Decisions - Mayor's Office sign-off	Mayor's Office	6 December 2021

Appendix A – Further essential background / detail on the proposal	YES
<p>The Adult Social Care Infection Control Fund was first introduced in May 2020, to support adult social care providers in England to reduce the rate of COVID-19 transmission. This fund has been extended until 31 March 2022 to support the care sector to put in place crucial measures over the winter period. This is a new grant, with separate conditions to previous Infection Control and Testing Funds.</p> <p>The local authority discretionary portion of this funding consists of 3 allocations:</p> <ul style="list-style-type: none"> • infection prevention and control (IPC) funding • testing funding • vaccines funding <p>Local authorities must use 30% of the IPC allocation to support the care sector to put in place other COVID-19 infection control measures, but this can be allocated at their discretion.</p> <p>Local authorities must use their discretionary allocation of the testing allocation of the grant to support the care sector to operationally deliver testing.</p> <p>Local authorities should use 30% of their vaccines allocation to support staff in other care settings, including non-registered settings, and to provide additional support to providers where required in order to undertake the following measures:</p> <ul style="list-style-type: none"> • ensuring that staff who need to attend work or another location for the purposes of being vaccinated for COVID-19 or flu are paid their usual wages to do so • any costs associated with reaching a vaccination facility • any reasonable administrative costs associated with organising COVID-19 or flu vaccinations where these were not being supported by other government funding streams <p>The funding will be paid in 2 tranches. The first 60% of the fund was paid to local authorities on 25th October 2021. The remaining 40% of the fund will be paid in January 2022. DHSC expect the grant to be fully spent on infection prevention and control, vaccines and testing measures by 31 March 2022.</p> <p>The main purpose of the Workforce Recruitment and Retention Fund is to support local authorities to address adult social care workforce capacity pressures in their geographical area through recruitment and retention activity this winter, in order to: support providers to maintain the provision of safe care and bolstering capacity within providers to deliver more hours of care</p> <ul style="list-style-type: none"> • support timely and safe discharge from hospital to where ongoing care and support is needed • support providers to prevent admission to hospital • enable timely new care provision in the community • support and boost retention of staff within social care • This allocation of the grant must only be used to deliver measures that address local workforce capacity pressures in adult social care between 21 October 2021 and 31 March 2022 through recruitment and retention activity. DHSC expects local authorities to work closely with providers to determine how funding should best be spent, including passporting funding directly to providers where appropriate. It will be important to retain existing staff capacity as well as encourage new and returning entrants. • Local authorities can use funding directly to deliver measures that help all providers of adult social care in their geographical area, this includes care home and domiciliary care, 	

<p>care providers with which local authorities do not have contracts, and organisations providing care who may not be registered with the CQC.</p> <ul style="list-style-type: none"> Local authorities can also choose to passport some, or all, of the fund directly to a care provider to deliver measures that retain existing capacity or increase staffing capacity within the provider's organisation. However, they should ensure that funding is only passported directly to a provider that is registered with the CQC. A provider is legally required to register with the CQC when they carry on a regulated activity set out in the Health and Social Care Act 2008 (Regulated Activities) Regulations 2014 <p>The funding will be paid in 2 tranches. The first 60% of the fund was due be paid to local authorities in late November 2021 (yet to be received). The remaining 40% of the fund will be paid by 14 January 2022. The payment of the second instalment of the fund is contingent on local authorities having returned templates to the department by 14 January 2022. The department's expectation is that the grant will be fully spent on addressing local workforce capacity pressures through recruitment and retention activity by 31 March 2022. We are clear that 'spent' means that expenditure has been incurred between 21 October 2021 and 31 March 2022. This means the activity leading to the expense must have happened by 31 March 2022, so that the local authority is accruing the expense and it appears in the local authority's 2021 to 2022 accounts.</p>	
<p>Appendix B – Details of consultation carried out - internal and external</p> <p>Internal discussions took place with the ASC Strategic Commissioning Leadership group. A consultation took place with ASC Strategic Providers at the monthly engagement session on 5th November and at Provider Forums.</p>	YES
<p>Appendix C – Summary of any engagement with scrutiny</p>	NO
<p>Appendix D – Risk assessment</p>	NO
<p>Appendix E – Equalities screening / impact assessment of proposal</p>	NO
<p>Appendix F – Eco-impact screening/ impact assessment of proposal</p>	NO
<p>Appendix G – Financial Advice</p>	YES
<p>Appendix H – Legal Advice</p>	YES
<p>Appendix I – Exempt Information</p>	No
<p>Appendix J – HR advice</p>	YES
<p>Appendix K – ICT</p>	YES
<p>Appendix L – Procurement</p>	YES

Decision Pathway – Report

PURPOSE: For reference

MEETING: Cabinet

DATE: 14 December 2021

TITLE	Corporate Risk Management Report – Q2 2021/22		
Ward(s)	City wide		
Authors: Ben Hooper and Paul Dury	Job title: Risk and Insurance Senior Officers		
Cabinet lead: Councillor Cheney	Executive Director lead: Mike Jackson		
Proposal origin: BCC Staff			
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 22 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. 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. 5. 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. 6. The CRR summary of risks is attached to this report at Appendix A is the latest position following a review by managers and Directors. 			

Corporate Risk Report - Summary of Corporate Risks:

7. Cabinet 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 September 2021
8. 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.
9. Members of the EDM's reviewed the DRRs in October 2021 to form the CRR. Cabinet are asked to accept the attached CRR as a working summary report of the critical and significant risks from the Service Risk Registers.
10. The CRR sets out the significant critical and high rated risks both threats and opportunities. All other business risks reside on the Service Risk Registers and reported through the Directorate Risk Reports and the Corporate Risk Report.
11. The Q2 21-22 Corporate Risk Report (CRR) as at 30th September 2021 contained:

Threat Risks	Opportunity Risks	External / Contingency Risks
• 2 critical	• 0 significant	• 1 critical
• 18 high	• 1 high	• 1 high
• 3 medium	• 1 medium	• 0 medium
• 0 new	• 0 new	• 0 new
• 5 improving	• 0 improving	• 0 improving
• 2 deteriorating	• 1 deteriorating	• 0 deteriorating
• 1 de-escalating	• 1 de-escalating	• 0 de-escalating
• 0 closed	• 1 closed	• 1 closed

12. A summary of risks (Threat and Opportunities) for this reporting period are set out below.

13. There are two critical threat risks:

- 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 Registers.
- CRR9: Safeguarding Vulnerable Children. The risk rating being 4x7 (28) critical threat risk. This risk is managed on the People Service Risk Registers. The risk detail (including description) has been amended in Q2 and how we present this risk is being further reviewed in Q3.

14. There are 5 improving threat risks:

- CRR41: Long Term Major Capital projects. The risk rating being 4x5 (20) high threat risk. This risk is managed on the Growth and Regeneration Service Risk Registers.
- CRR29: Information Security Management System. The risk rating being 3x5 (15) high threat risk. This risk is managed on the Resources Service Risk Registers.
- CRR4: Corporate Health, Safety and Wellbeing. The risk rating being 3x5 (15) high threat risk. This risk is managed on the Resources Service Risk Registers.
- CRR26: ICT Resilience. The risk rating being 2x5 (10) medium threat risk. This risk is managed on the Resources Service Risk Registers.
- CRR23: Adult and Social Care (ASC) Transformation programme 2020/21 – 2021/2022. The risk rating being 3x5 (15) high threat risk. This risk is managed on the People Service Risk Registers.

15. There are two deteriorating threat risks:

- CRR39 Adult and Social Care major provider/supplier failure. The risk rating being 3x7 (21) high threat risk. This risk is managed on the People Service Risk Registers.
- CRR27 Capital Transport Delivery. The risk rating being 3x5 (15) high threat risk. This risk is managed on the Growth and Regeneration Service Risk Registers.

16. There is one opportunity risk de-escalating from the Q2 corporate risk report:

- OPP3 Devolution. The opportunity risk rating being 3x5 (15) high opportunity threat risk. This opportunity risk is managed on the Resources Service Risk Registers. This opportunity risk has been de-escalated to the directorate risk report (DRR) for Resources.

17. There is one closing external Threat Risk:
 - BCC2 Brexit. The risk rating being 2x5 (10) medium threat risk.
18. There is one closing Opportunity Risk:
 - OPP4 – Brexit. The opportunity risk rating being 1x5 (5) medium opportunity risk.
19. There is one de-escalating Threat Risk:
 - CRR42 – Provision of Leisure Service. The risk rating being 3x3 (9) medium threat risk.
20. The closed risks are now reflected within individual risks across the Council's Service Risk Registers.
21. The risk owner for the Covid-19 external risk has been reallocated to the Executive Director People and Director of Public Health from the Executive Director Growth and Regeneration and Director of Management of Place following discussions at EDM's in October 2021.
22. All risks on the CRR have management actions in place.
23. 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.

Cabinet Member / Officer Recommendations:

That Cabinet

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 02/12/2021

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 02/12/2021

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 02/12/2021

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 02/12/2021

EDM Sign-off	Mike Jackson	27/10/2021
Cabinet Member sign-off	Cllr Craig Cheney	01/11/2021
For Key Decisions - Mayor's Office sign-off	Mayor's Office	01/12/2021

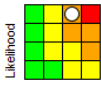

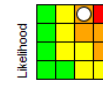
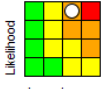

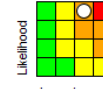
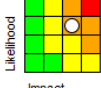
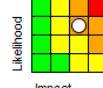
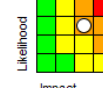
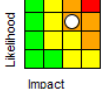
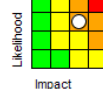
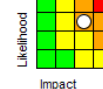
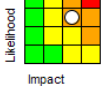
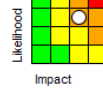
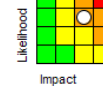
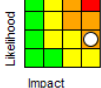
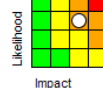
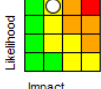
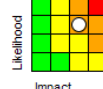
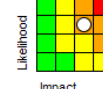

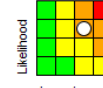
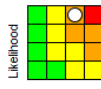

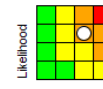
Appendix A – Further essential background / detail on the proposal	YES
Appendix B – Details of consultation carried out - internal and external	NO
Appendix C – Summary of any engagement with scrutiny	NO
Appendix D – Risk assessment	NO
Appendix E – Equalities screening / impact assessment of proposal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

Corporate risk performance summary for threat risks

Risk Code and Title	Page Number	Q4 Rating	Q4 Matrix	Q1 Rating	Q1 Matrix	Q2 Rating	Q2 Matrix
CRR32 - Failure to deliver enough affordable Homes to meet the City's needs.	6	28 		28 		28 	
CRR9 - Safeguarding Vulnerable Children	7	21 		28 		28 	
CRR13 - Financial Framework and Medium Term Financial Plan (MTFP)	9	21 		21 		21 	
CRR35 - Organisational Resilience	11	21 		21 		21 	
CRR10 - Safeguarding Adults at Risk with Care and support needs	13	21 		21 		21 	
CRR39 - Adult and Social Care major provider/supplier failure	15	14 		14 		21 	
CRR41 - Long Term Major Capital Projects	16	28 		28 		20 	
CRR7 - Cyber Security	17	20 		20 		20 	

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Appendix A – Corporate Risk Register as at September 2021

Risk Code and Title	Page Number	Q4 Rating	Q4 Matrix	Q1 Rating	Q1 Matrix	Q2 Rating	Q2 Matrix
CRR25 - Suitability of Line of Business (LOB) systems.	18	20 ▬		20 ▬		20 ▬	
CRR37 - Homelessness	19	20 ▬		20 ▬		20 ▬	
CRR6 - Fraud and Corruption	20	15 ▬		15 ▬		15 ▬	
CRR12 - Failure to deliver suitable emergency planning measures and respond to and manage emergency events when they occur	22	15 ↑		15 ▬		15 ▬	
CRR5 - Business Continuity and Council Resilience.	23	15 ↑		15 ▬		15 ▬	
CRR40 - Unplanned Investment in Subsidiary Companies	25	14 ▬		15 ↓		15 ▬	
CRR15 - In-Year Financial Deficit	27	12 ▬		15 ↓		15 ▬	
CRR29 - Information Security Management System (ISMS)	28	20 ▬		20 ▬		15 ↑	
CRR4 - Corporate Health, Safety and Wellbeing	29	20 ▬		20 ▬		15 ↑	

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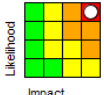
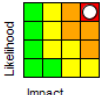
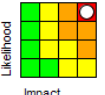
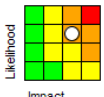
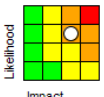
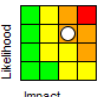
Appendix A – Corporate Risk Register as at September 2021









Risk Code and Title	Page Number	Q4 Rating	Q4 Matrix	Q1 Rating	Q1 Matrix	Q2 Rating	Q2 Matrix
CRR18 - Failure to deliver enough homes to meet the City's needs.	31	15 	 Likelihood Impact	15 	 Likelihood Impact	15 	 Likelihood Impact
CRR27 - Capital Transport Programme Delivery	32	9 	 Likelihood Impact	9 	 Likelihood Impact	15 	 Likelihood Impact
CRR23 - Adult and Social Care (ASC) Transformation Programme 2020/21-2021/22	36	10 	 Likelihood Impact	20 	 Likelihood Impact	15 	 Likelihood Impact
CRR36 - SEND	34	10 	 Likelihood Impact	10 	 Likelihood Impact	10 	 Likelihood Impact
CRR26 - ICT Resilience.	35	14 	 Likelihood Impact	14 	 Likelihood Impact	10 	 Likelihood Impact
CRR34 - Corporate Equalities	38	5 	 Likelihood Impact	5 	 Likelihood Impact	5 	 Likelihood Impact

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Corporate risk performance summary for external and civil contingency risks




















Risk Code and Title	Page Number	Q4 Rating	Q4 Matrix	Q1 Rating	Q1 Matrix	Q2 Rating	Q2 Matrix
BCCC3 – COVID-19	40	28		28		28	
BCCC1 – Flooding	42	15		15		15	

Corporate risk performance summary for opportunity risk

Risk Code and Title	Page Number	Q4 Rating	Q4 Matrix	Q1 Rating	Q1 Risk Matrix	Q2 Rating	Q2 Matrix
OPP1 – One City Approach	45	21		21		21	
OPP2 – Corporate Strategy	44	21		14		14	

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Corporate risk performance summary for closing/de-escalating risks

Risk Code and Title	Page Number	Q4 Rating	Q4 Matrix	Q1 Rating	Q1 Risk Matrix	Q2 Rating	Q2 Matrix
BCCC2 - Brexit	Closed	15 	 Likelihood Impact	15 	 Likelihood Impact	10 Closed	 Likelihood Impact
CRR42 – Provision of Leisure Services	De-escalated	28 New	 Likelihood Impact	14 	 Likelihood Impact	9 De-escalated	 Likelihood Impact
OPP4 - Brexit	Closed	5 	 Likelihood Impact	5 	 Likelihood Impact	5 Closed	 Likelihood Impact
OPP3 – Devolution	De-escalated	21 	 Likelihood Impact	21 	 Likelihood Impact	15 De-escalated	 Likelihood Impact




Corporate Threat Risks

Threat Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p>CRR32 - Failure to deliver enough affordable homes to meet the City’s needs.</p> <p>Failure of the City to deliver to the Mayoral Target of 1000 affordable homes per year by 2024. 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 planning permissions granted • Viability 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 strategic planning documents 		4	7	28	3	5	15
<p>What we have done</p> <p>Continue to deliver a targeted grant funding programme to subsidise the delivery of affordable homes. Working collaboratively with Homes England to maximise subsidy in schemes to provide as much affordable housing as possible. Requiring a minimum of 30% affordable housing on land released by the Council. Created a single multi-disciplinary Housing Delivery Team and additional capacity with Property, Planning, Highways and Legal. 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 in order to release further housing land.</p>	<p>What we are doing</p> <p>Provide targeted Affordable Housing Grant Funding. Working Closely with Homes England to ensure additional subsidy is secured. Identifying opportunities to acquire additional affordable homes off the shelf. De-risk the outstanding allocated sites in the City to prepare a pipeline of investable development opportunities for future delivery. Ensure affordable Housing is negotiated to policy requirement on all eligible housing sites. New frameworks for working collaboratively to resolve issues that exist on Residential planning applications and conditions discharge. Review & amendment of Affordable Housing Practice note in 2021/22.</p>						

Appendix A – Corporate Risk Register as at September 2021

Risk Owners: Executive Director Growth and Regeneration, Director Development.	Action Owners: Director Development of Place and Head of Housing Delivery.	Portfolio Flag: Housing	Strategic Theme: Fair and Inclusive
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Threat Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p>CRR9 - Safeguarding Vulnerable Children</p> <p>The council fails to prevent increased risk of harm to children, resulting in harm or death to a vulnerable child.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Demand for services exceeds its capacity and capability. • Inadequate controls result in harm. • Increase in child protection, complex safeguarding risks, criminal exploitation, serious youth violence and gang facilitation. • Hidden harm resulting from periods of lockdown, increased stress in families and service disruption during COVID • Placement failure due to COVID infection across children’s home or fostering households. • An increase in demand of up to 5% is anticipated as a result 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. 		4	7	28	1	7	7
<p>What we have done</p> <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</p>	<p>What we are doing</p> <p>We are reviewing and reassessing information sharing arrangements with the aim of improving our ability to understand and respond to children at risk of criminal exploitation and going missing following CSE/Missing National Working Group recommendations. Working with University of Bedfordshire as part of the Contextual Safeguarding Scale Up Project to develop improved responses to contextual safeguarding risks. In response to an identified and increasing risk of serious youth violence and criminal exploitation a multiagency plan is being implemented under the Serious Youth Violence Exec Group. Service Delivery Plans set out further actions to mitigate risks identified and deliver on our ambitions for children and families.</p> <p>Since the easing of Covid restrictions on 12 April face to face visiting is expected unless in exceptional circumstances. Risk assessments are undertaken if face to face visiting is not</p>						

Appendix A – Corporate Risk Register as at September 2021

<p>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>		<p>undertaken, and these are required to be signed off by a Tier 3 manager. As vaccinations are being rolled out this is improving sufficiency within our foster carers and Children’s Homes.</p> <p>We have not yet seen an increase in referrals as a result of Covid and the economic downturn, but we are monitoring this closely with our partners under KBSP and are developing early intervention responses.</p> <p>We are investing in systemic practice approach and training staff members at all levels of Children and Families Services.</p>	
<p>Risk Owners: Executive Director People, Director Children’s and Families Services.</p>	<p>Action Owners: Director Children’s and Families Services.</p>	<p>Portfolio Flag: Children and Young People</p>	<p>Strategic Theme: Our Organisation, Empowering and Caring, Wellbeing.</p>



Threat Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p>CRR13 - Financial Framework and Medium Term Financial Plan (MTFP)</p> <p>Failure to be able to reasonably estimate and agree the financial 'envelope' available, both annually and in the medium-term and the council is unable to set a balanced budget.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • 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:- • The potential for new funding formulas such as fair funding, business rates retention to significantly reduce the government funding available to the council alongside possible increase in demand for council services. • Embedding of the new national funding formula for schools and High Needs. • Political failure to facilitate the setting of a lawful budget. • Unable to agree a deliverable programme of propositions that enable the required savings to be achieved. • Insufficient reserves to mitigate risks and liabilities and provide resilience. • Rising inflation could lead to increased cost. • Judicial review. 		3	7	21	2	3	6
<p>What we have done</p> <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.</p> <p>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. 	<p>What we are doing</p> <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>						

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<ul style="list-style-type: none"> 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. <p>Refreshed of the MTFP and Capital Strategy and expanded our model to take in a longer-term view.</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>	
<p>Risk Owners: Chief Executive and Director of Finance (S151 Officer).</p>	<p>Action Owners: Director of Finance (S151 Officer), Chief Accountant.</p>	<p>Portfolio Flag: Finance, Governance and Performance</p>	<p>Strategic Theme: Our Organisation</p>



Threat Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p>CRR35 - Organisational Resilience</p> <p>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, Cyber-crime 		3	7	21	2	5	10
<p>Page 63</p> <p>What we have done</p> <p>In the past quarter we have reviewed Recovery progress (including receiving an internal audit report on its governance) and also a wide evidence base as part of preparing for an update of the Council's medium term Corporate Strategy and Medium-Term Financial Plan. We have added 'Resilience' as a key design principle for the council within the refreshed draft Corporate Strategy 2022-27, and planned sessions for engaging senior managers and staff in this.</p> <p>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. This has been embedded within Service Planning for 2022/23.</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> <p>We have continued to respond to emerging external threats and issues, including monitoring, horizon scanning and planning through several forums, including the Local Resilience Forum/ResCG multi-agency work, reconvening the council's internal Business</p>	<p>What we are doing</p> <p>Work will continue to complete, approve, launch and embed 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>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.</p> <p>We are reviewing energy prices and provision in light of national issues.</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>We are continuing to prepare for emergency situations, including a planned COMAH exercise in November 2021, a counter-terror exercise in late November / December 2021, and supporting an NHS mass casualty exercise and Bristol Airport exercise before Christmas 2021.</p> <p>Work is also being done to reinvigorate the Corporate Resilience Group and take on-board learning from the prolonged</p>						

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Continuity Group and holding a preparatory meeting of the internal Severe Weather Group ahead of winter 21/22.		Covid-19 response in how we manage resilience and plan for the future. We are mapping compound pressures affecting us and considering threats as we approach winter 21/22, including holding a discussion with city partner representatives to compare threats and issues facing us all. The ongoing Covid crisis alongside the oncoming seasonal flu continues to present health risks to citizens and staff, and alongside well publicised national issues affecting supply chains and fuel/energy prices, presents an ongoing high level of risk to the organisation.		
Risk Owners:	Chief Executive	Action Owners:	Director Policy, Strategy & Partnerships	Portfolio Flag: Finance, Governance and Performance
				Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing



Threat Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p>CRR10 - Safeguarding Adults at Risk with Care and support needs.</p> <p>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) • Carer strain / resilience. (COVID19) • Absence of building based services whilst we have reduced community solutions. (COVID19) 		3	7	21	1	7	7
<p>What we have done</p> <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</p>	<p>What we are doing</p> <p>Social workers and other social care practitioners are working with multi-agency partners supporting adults and older people to live safely within their families and communities.</p> <p>Planning placed based approaches to include working with micro providers.</p> <p>The Adults Delivery Group is up and running and a new Transitions theme has also been instituted. Whilst the Covid-19 situation has changed the complexion of adult safeguarding, it is anticipated that the likelihood and impact of incidence will be similar This is being monitored through Power BI and reported to DMT by exception.</p> <p>Services operating within Covid guidance and are provision a near to normal to pre Covid.</p>						

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<p>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 (MAPPA) 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 live.</p>		<p>Business Continuity response enacted to manage increased demand, potential gaps in workforce or services.</p> <p>Development and delivery of an Adults Multi-agency Safeguarding Hub as a priority for the partnership</p> <p>Power BI data set being used to monitor performance, trends, timeliness alongside auditing.</p>	
<p>Risk Owners: Executive Director People, Director Adult Social Care.</p>	<p>Action Owners: Director Adult Social Care.</p>	<p>Portfolio Flag: Adult Social Care</p>	<p>Strategic Theme: Strategy Theme: Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.</p>



Threat Risk Title and Description	Performance	Current Risk Level			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 are:</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. 		3	7	21	2	7	14
What we have done	What we are doing						
<p>As of 11/10/2021 ASC supply of key forms of care is in crisis due primarily to workforce shortages. Homecare, services to access the community and supported living are the key services at risk of not enough supply of care (in-house or externally commissioned) to meet needs. Daily review of supply and sustainability issues and x3 week business continuity meetings across operations, commissioning and brokerage and wider system calls on hospital demand and OOH flow. All document in an ASC business continuity risk log and plan and overall supply picture is documented in a weekly SITREP provided by commissioning. Strong contract and performance management including quarterly corporate reporting on quality. Cost pressures increasing and seeking investment from health to join up approaches and support supply and flow in all care pathways. Provider Financial sustainability process in place working alongside procurement colleagues. Work on managing market prices albeit this is challenging in current climate.</p>	<p>1) sourced PH Covid money to support investment in supply of care for vulnerable people 2) funding VCSE organisations such as Age Uk Home Support service and other organisations to deliver care at home 3) continuing incentive schemes and block contracts to try to better ensure/ guarantee supply of care, mainly homecare and 4) provider crisis meetings to work through these wicked issues, mainly workforce related, and solutions as they see them.</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</p>						

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		costs, Brexit). Updating of continuity plan and Provider Failure policy to address impact of pandemic.							
Risk Owners:	Executive Director People, Director Adult Social Care.	Action Owners:	Director Adult Social Care	Portfolio Flag:	Adult Social Care.	Strategic Theme:	Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.		
Threat Risk Title and Description			Performance	Current Risk Level			Tolerance Risk Level		
				Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
CRR41 - Long Term Major Capital Projects BCC'S long-term major capital projects may require greater than anticipated investments. Key potential causes are: <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 			↑	4	5	20	1	7	7
What we have done			What we are doing						
<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>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>						


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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.								
Risk Owners: Executive Director Growth and Regeneration.	Action Owners: Executive Director Growth and Regeneration and Director Economy of Place.	Portfolio Flag: Mayor and Finance, Governance and Performance.	Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.					
Threat Risk Title and Description		Performance	Current Risk Level			Tolerance Risk Level		
			Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
CRR7 - Cyber Security The Council's risk level in regard to Cyber-security is higher than should be expected. Key potential causes are: <ul style="list-style-type: none"> • Lack of investment in appropriate technologies. • Reliance on in-house expertise, and self-assessments (PSN). • Lack of formal approach to risk management (ISO27001). • Historic lack of focus. 		■	4	5	20	1	5	5
What we have done		What we are doing						
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 Governance (IG) 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 delivery of technical controls.		Further technical controls are being implemented with support from ICT colleagues. External Audit has been undertaken to provide assurance and help with direction of travel for mitigating activities. These are being managed by InfoSec team and reported via the IG Board. Team continue to upskill via training and other means. Work with ICT colleagues continues and discussions around cementing roles and responsibilities is being undertaken Audit work by external partners has confirmed the direction of travel and mitigating actions required for this Risk. IG continue to work on implementing those actions, oversight being provided by the IG Board.						
Risk Owners: Chief Executive, Senior Information Risk Owner (SIRO).	Action Owners: Head of Information Assurance, Information Governance.	Portfolio Flag: Finance, Governance and Performance	Strategic Theme: Our Organisation					



Threat Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p>CRR25 - Suitability of Line of Business (LOB) systems.</p> <p>The Council has reliance on legacy software systems which cause a number of risks due to; 1. Supportability from internal IT resource 2. The supportability of the hardware utilised 3. Lack of alignment to strategy and therefore a blocker to Digital Transformation 4. Within an appropriate support contract 5. Legacy data used for current work (GDPR) 6. Lack of Information (Cyber) Security controls 7. High cost where alternative core Council solutions exist</p> <p>potential causes are:</p> <ul style="list-style-type: none"> • Lack of sovereignty within service areas, and a lack of motivation to change. • Cost of transition. • Lack of knowledge of which systems are problematic and the impacts of these. • Lack of understanding of impact. • Lack of ownership from Information Asset Owners. • Lack of documentation pertaining to software systems and ownership of strategy. • Cost avoidance of replacing systems. • This is seen as an IT problem, not one for the software system owners. 		4	5	20	2	5	10
<p>What we have done</p> <p>Initiated audit of all council Line of Business (LoB) systems.</p>	<p>What we are doing</p> <p>Undertake comprehensive review of all software systems and identify potential risks (as per threat risk description). Place all risks into an Operational Risk format. Risks will be scored and any known mitigation noted. This will be presented to CLB for further review and to agree action plan.</p> <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</p>						

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		Resilience/Recovery risk are identified and service areas understand the risks to their services. Where appropriate ensure that these risks are articulated to Risk, BCP and procurement colleagues, and to the SIRO, as appropriate.						
Risk Owners:	Director, Digital Transformation, Senior Information Risk Owner (SIRO) for Cyber Security. Service Areas for BCP/DR.	Action Owners:	Director, Digital Transformation.	Portfolio Flag:	Finance, Governance and Performance	Strategic Theme:	Our Organisation	
Threat Risk Title and Description		Performance	Current Risk Level			Tolerance Risk Level		
			Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
CRR37 - Homelessness The risk that homelessness and the subsequent cost of providing emergency short term accommodation will continue to rise. Key potential causes are: The ending of the eviction ban 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.			4	5	20	3	5	15
What we have done		What we are doing						
Continuing to progress the One City move on project, which is delivering additional move on accommodation for people that are homeless. This includes: Securing funding through the first two rounds of the rough sleeper accommodation programme and have submitted a bid for the third round 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 960. Initiated a project with the aim of reducing the net unit cost of Temporary Accommodation. Opportunities being explored and prioritised. 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. 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. We have been working closely with commissioners of domestic abuse services and providers to support move on from refuge accommodation.		The number of households in Temporary Accommodation is 960 compared with 650 before COVID and is not reducing. Introduce longer term contracts for Temporary Accommodation that will reduce the net unit cost of TA to BCC. Ongoing work with the broader homelessness sector, advice agencies and key partners to develop proposals and opportunities to work collaboratively around early intervention and prevention of homelessness. We continue to progress the Move On Project. Bringing online additional supported move on accommodation funded from our successful bids. BCC is working with partners in developing and delivering its changing futures scheme. Prioritise the use of Discretionary Housing Payments for homelessness prevention/tenancy sustainment.						
Risk Owners:	Executive Director Growth and Regeneration, Director Housing.	Action Owners:	Director Housing.	Portfolio Flag:	Housing	Strategic Theme:	Our Organisation, Empowering and Caring, Fair and Inclusive,	



			Well Connected, Wellbeing.
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Threat Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p>CRR6 - Fraud and Corruption</p> <p>Failure to prevent or detect acts of significant fraud or corruption against the council from either internal or external sources.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> Heightened levels of fraud, including cyber fraud, as criminals attempt to exploit the COVID-19 pandemic. Relaxation of controls in current emergency environment (Covid 19) as payments and support are being dispersed quickly in line with government requirement. 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. This potential cause is highlighted at this time given the potential impact of the current pandemic situation and with staff redeployed to support the emergency response. Under investment in fraud prevention and detection technology and resource. 	■	3	5	15	3	3	9
What we have done	What we are doing						
<p>The Council's exposure to fraud has increased due to Covid and the uncertainty with the pandemic coupled with another national lockdown means that more proactive and reactive work needs to be undertaken to support the business to ensure that fraud losses are minimised. As the government continues to avail large support grants to businesses and individuals, we are using analytic tools and increased resource to undertake both pre-payment fraud checks and post payment fraud assurance checks.</p> <p>Strengthening our arrangements for collating, sharing and analysing intelligence through joint prepayment checks involving</p>	<p>We are continuing to undertake post-payment checking against Covid grants to identify and investigate potential fraudulent claims.</p> <p>Output from the National Fraud Initiative data matching exercise is being reviewed including new reports relating to Covid grants.</p> <p>Work continues to improve the Whistleblowing process and awareness of it.</p>						

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<p>West of England Combined Authority Councils and North Somerset</p> <p>Recognising the economic impact of the pandemic and other potential recessional pressures, we are monitoring and reassessing all other types of fraud ensuring that appropriate prevention and detection controls are in place.</p> <p>Given the increased threat of cybercrime we are strengthening our fraud and cyber controls to ensure they are adequate to meet the challenge.</p> <p>Continuously participating in anti-fraud exercises including the National Fraud Initiative</p> <p>Establishment of a regional fraud hub that will maximise the use of advanced analytics and more datasets is progressing and will be key in tackling fraud as this risk increases.</p> <p>Commissioning an independent review of our whistleblowing arrangements to obtain assurance on the adequacy and effectiveness of arrangements.</p>		<p>We are implementing the Cabinet Office Fraud Hub as a short-term solution to enable more frequent and regular matching of the data.</p> <p>Work continues through the Bristol Fraud Hub Project to develop an Outline Business Case for consideration by CLB by end of Quarter 2.</p> <p>We are reviewing the costing model for fraud related activities across the Council.</p>	
<p>Risk Owners: Chief Executive and Director of Finance (S151 Officer).</p>	<p>Action Owners: Director of Finance, Chief Internal Auditor.</p>	<p>Portfolio Flag: Finance, Governance and Performance</p>	<p>Strategic Theme: Our Organisation</p>



Threat Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p>CRR12 - Failure to deliver suitable emergency planning measures and respond to and manage emergency events when they occur</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. 		3	5	15	1	5	5
<p>What we have done</p> <p>CPU have supported the Covid response and responded effectively to concurrent incidents including fatal industrial accidents, residential fires, water and utility outages and protests.</p> <p>BCC has a leading role within the Local Resilience Forum.</p> <p>Severe weather incidents are monitored via the SWIMS system.</p> <p>Emergency planning training with multi-agency exercising in place. Duty director rota in place.</p> <p>24/7 Operations Centre provides effective monitoring for the city and a coordinator role in response and recovery.</p> <p>Recruitment of a fixed term Civil Protection Officer to support Covid response.</p> <p>Covid emergency has stretched BCC's emergency response capacity and created additional strains and pressures. Managed through BAU and business continuity planning and escalation.</p> <p>BCC took receipt of the South West's share of the National Emergency Mortuary Equipment in July 2018 and</p>	<p>What we are doing</p> <p>Restarted the Corporate Resilience Group, directorate leads in place.</p> <p>Continuing to work closely with the LRF.</p> <p>Held our winter preparation weather meeting</p> <p>Horizon scanning internally and LRF on the overlapping risk this winter and the mitigations needed.</p> <p>Corporate exercise being planned for Autumn 2021.</p> <p>Introduction to Emergency Planning e-learning package will soon be available for all staff.</p>						

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arrangements for establishing Flax Bourton Public Mortuary as a dedicated disaster mortuary are in place.							
Review of COMAH (Control of Major Accident Hazards) Plan complete							
Risk Owners:	Executive Director Growth and Regeneration, Director Management of Place.	Action Owners:	Director Management of Place, and Civil Protection Manager.	Portfolio Flag:	Finance, Governance and Performance	Strategic Theme:	Our Organisation, Wellbeing.

Threat Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p>CRR5 - Business Continuity and Council Resilience.</p> <p>If the council has a Business Continuity disruption and is unable to ensure the resilience of key BCC operations and business activities, then the impact of the event maybe increased with a greater impact on people and council Services.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Cyber strikes (People, Fuel). • Loss of key staff (communicable diseases (Covid - illness and self-isolation) and influenza. • Loss of suppliers / supply chain disruption. • Loss of accommodation to deliver key services. • Loss of equipment / infrastructure, including utilities. • Any event which may cause major disruption - e.g. severe weather • Unavailability of IT and/or Telecoms. • Knowledge loss. • Reduced chances of preventing/ responding to incidents due to a lack of forward planning or investment. 	■	3	5	15	1	5	5
What we have done	What we are doing						
<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-</p>	<p>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'.</p>						

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<p>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>		<p>BIA and BCPs are required to be submitted as part of the service planning process.</p>	
<p>Risk Owner:</p>	<p>Executive Director Growth and Regeneration Chief Executive, Director Management of Place.</p>	<p>Action Owner:</p> <p>Director Management of Place and Civil Protection Manager.</p>	<p>Portfolio Flag:</p> <p>Finance, Governance and Performance</p>
		<p>Strategic Theme:</p> <p>Our Organisation, Wellbeing.</p>	



Threat Risk Title and Description	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. 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., recyclate market, housing market, lack of HGV drivers), failure to secure planning etc. • Delivery of BE2020 wind up within financial envelope. • Legislation changes. • Cyber Security - risk that key systems are compromised and that sensitive data is stolen • Failure to develop and grow commercial trading activities 	-	3	5	15	1	7	7
What we have done	What we are doing						
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. The Terms of Reference for the Shareholding Group (SHG) have been updated. Audit & Risks Committee (ARC) established across the companies to review internal controls, governance and risks	Business plan for Bristol Heat Network BHN is in the process of being finalised for Cabinet approval - Q4 21/22. Business plans for other BHL subsidiaries are also in the process of being reviewed and presented to Cabinet for approval - Q4 21/22.						

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<p>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> <p>The governance review in respect of the Council’s companies has now been completed and an implementation plan agreed.</p> <p>The early engagement with the Council’s Holding Company and subsidiaries will continue as part of the 2022/23 business planning process.</p> <p>SHG will regularly review delivery of agreed actions from the governance review.</p> <p>AIC 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>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>	<p>BCC / BHL continue to monitor risks and improve the alignment of risk management arrangements - ongoing at this time.</p> <p>BCC's latest Capital Strategy for 2022/23-2031/32 regarding loans to subsidiary organisations now limits BCC's maximum exposure to the lower of 10% of the Council’s general fund capital financing requirement or to £70m - November 2021</p>		
<p>Risk Owners: Chief Executive and S151 Officer.</p>	<p>Action Owners: Director Finance, Director Legal and Democratic Services.</p>	<p>Portfolio Flag: Finance, Governance and Performance</p>	<p>Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.</p>



Threat Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p>CRR15 - In-Year Financial Deficit</p> <p>The council’s financial position goes into significant deficit in the current year resulting in reserves (actual or projected) being less than the minimum specified by the council’s reserves policy.</p> <p>Key potential causes are: • 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>	■	3	5	15	1	5	5
<p>What we have done</p> <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.</p> <p>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.</p> <p>The Policy and Budget Framework provides clear guidance in relation to the approval process for supplementary funding both capital and revenue.</p> <p>We have continual oversight and ongoing management of the council’s financial risks and deep dives in areas reported of non-containable pressures.</p> <p>Regular reviews have been undertaken on the level and appropriateness of the earmarked reserves and where redirections have been south reported to Cabinet.</p>	<p>What we are doing</p> <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.</p> <p>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.</p> <p>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.</p> <p>Ensure that there are sufficient reserves available to provide the Council with some</p>						



		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.	
Risk Owners: Director of Finance (S151 Officer).	Action Owners: Director of Finance (S151 Officer), Chief Accountant.	Portfolio Flag: Finance, Governance and Performance	Strategic Theme: Our Organisation

Threat Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p>CRR29 - Information Security Management System (ISMS)</p> <p>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> <p>• Ineffective Information Security Management System, inadequate resources to create and maintain an ISMS, management buy in and support to operate an ISMS.</p>	↑	3	5	15	1	5	5
What we have done	What we are doing						
<p>Information Assurance are continuing to work with ICT and IGB on implementing an Information Security Management System. Plans for implementation, supported by internal audit will be built in to the 21/22 service plan.</p> <p>A number of policies have already been rolled out, new policies continue to be developed.</p>	<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> <p>Online tool is being used to roll out policies, alongside further guidance and awareness campaigns, supported by the regular phishing campaigns.</p> <p>Audit work by external partners has confirmed the direction of travel and mitigating actions required for this Risk. IG continue to work on implementing those actions, oversight being provided by the IG Board.</p>						
Risk Owners: Senior Information Risk Owner (SIRO).	Action Owners: Senior Information Risk Owner (SIRO) and Statutory Data Protection Officer (SDPO).	Portfolio Flag: Finance, Governance and Performance	Strategic Theme: Our Organisation				



Threat Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p>CRR4 - Corporate Health, Safety and Wellbeing</p> <p>If the City Council does not meet its wide range of Health & Safety requirements then there could be a risk to the safety of employees, visitors, contractors, citizens and BCC corporate body.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Fire services do not have sufficient staff numbers to carry out work plans in a safe way. • Fire 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. 	↑	3	5	15	3	5	15
<p>What we have done</p> <p>The Corporate Health, Safety and Wellbeing Team continue to provide general, targeted and specialist health, safety and wellbeing advice, guidance and provide assurance to the Council on compliance. This team is the owners of all policy and procedure and continue to undertake a programme of review and revision. The 5-year health, safety and wellbeing strategy sets the direction of travel and the yearly work plan. This has just been revised. The new Fire Safety Management system has been developed and piloted and is currently being published (October 2021) and rolled out across the Council. The CHaSMs monitoring system has been reviewed and is currently being updated to ensure it provides better assurance. This is in response to the Audit report and audit action plan.</p> <p>The new integrated OH, EAP and Physiotherapy contract is working well and provides a good service across the Council.</p>	<p>What we are doing</p> <p>Responding to the Actions required from the Health and Safety Audit.</p> <p>Set an audit programme for key areas of risk taken from MI (CHaSMs OH referrals, EAP,) this includes stress and musculoskeletal.</p> <p>Developing a new training and development programme for health, safety and wellbeing. This includes online, face to face and blended training.</p> <p>Continuing to deliver mandatory training including stress risk assessment, fire safety, lone working, legionella and asbestos awareness. Delivering face to face refresher for MHFA and Team Teach.</p>						

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<p>Continue to ensure that buildings remain COVID secure.</p> <p>New Accident Incident Reporting System will go live October 2021</p> <p>CDM, Legionella and Asbestos procedures have been revised and will go out for consultation in November 2021.</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> <p>Reviewing arrangements for CDM across the Council including developing a robust policy and procedure.</p> <p>Reorganising the Corporate Health Safety and Wellbeing Team to be able to respond effectively to the key priorities.</p>					
<p>Risk Owners:</p>	<p>Chief Executive and Corporate Leadership Board (CLB), Director of Workforce Change.</p>	<p>Action Owners:</p>	<p>Director of Workforce Change, Head of Health Safety and Wellbeing.</p>	<p>Portfolio Flag:</p>	<p>Finance, Governance and Performance</p>	<p>Strategic Theme:</p>	<p>Our Organisation</p>



Threat Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p>CRR18 - Failure to deliver enough homes to meet the City's needs.</p> <p>Failure of the City to deliver to the Mayoral Target of 2000 new homes per year by 2024. 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.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> Not enough planning applications submitted Not enough planning permissions granted Insufficient housing land identified in strategic planning documents Ability of the housebuilding industry to deliver at this level Increased uncertainty in the market due to Brexit and Covid-19. 		3	5	15	1	3	3
<p>What we have done</p> <ol style="list-style-type: none"> 1. Granted planning permissions. 2. Secured additional grant funding for infrastructure. 3. Released land. 4. Issued grants to Registered Providers (RPs). 5. Established a Local Housing Company (Goram Homes). 6. Secured funding from Homes England under HIF and Accelerated Construction and Community Development in order to release further housing land. 7. Manage a targeted grant funding programme to subsidise the delivery of affordable homes. 8. Introduced the Affordable Housing Practice Note. 9. Worked collaboratively with Homes England to maximise subsidy in schemes to provide as much affordable housing as possible. 10. Required a minimum of 30% affordable housing on land released by the Council. 11. Created a single multi-disciplinary Housing Delivery Team and additional capacity with Property, Planning, Highways and Legal. 	<p>What we are doing</p> <ol style="list-style-type: none"> 1. We are addressing all areas of provision including: Community Led Housing (CLH), Registered Providers (RPs) and Direct Delivery, (New Council Homes). 2. We are have completed a Service Review of Housing Delivery Team and have recruited to new posts. 3. Significant land release programme to Registered Partners (RPs). 4. External funding bids have secured infrastructure funding to accelerate delivery. 5. Monitoring the impact of a coronavirus and Brexit on the Housing Market 6. Revised the Affordable Housing Grant Funding Policy to ensure it is relevant and assist the delivery of new affordable homes. 7. Working Closely with Homes England to ensure additional subsidy is secured 8. Pipeline of site approved for Goram Homes to deliver around 1700 new homes 9. New working arrangements between Housing Delivery Team and Development Management focussing on unlocking barriers to determination and accelerating permissions. 						

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Risk Owners:	Executive Director Growth and Regeneration, Director Development of Place.	Action Owners:	Director Development of Place.	Portfolio Flag:	Housing	Strategic Theme:	Fair and Inclusive
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Threat Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p>CRR27 - Capital Transport Programme Delivery</p> <p>Management of the overall transport capital programme is key to ensuring we deliver against mayoral priorities in the most cost and time efficient way possible. Failure to do so negatively impacts the council's reputation and finances and makes the council less likely to reduce congestion, air pollution and inequality.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Overspend on individual schemes leading to uncontrollable cost pressures • Underspend on annual profile • Lack of coordination and programme management across divisions • COVID - 19 • Loss of resource and inability to recruit 		3	5	15	2	3	6
<p>What we have done</p> <p>Transport Programme Team and Delivery Board established. Shared paperwork and highlight reporting process initiated. Regular briefings and reporting to senior management and cabinet members. 5-year capital programme mapping process underway. Regular reviews with directors taking place, workshop carried out to examine governance and further improvements to processes.</p>	<p>What we are doing</p> <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</p>						



		<p>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. All schemes restarted and works progressing well. 6-month review has highlighted schemes that are behind programme and re-profiling taking place currently.</p> <p>We have recently commissioned a piece of work through the strategic partner Arcadis to assess capital programme delivery working with the PMO and linked to CA work. This work will assess issues and set a base line to enable potential solutions to be bought forward and implemented</p>	
Risk Owners:	Executive Director Growth and Regeneration, Director Economy of Place.	Action Owners:	Director Economy of Place.
		Portfolio Flag:	Transport
		Strategic Theme:	Our Organisation, Wellbeing.



Threat Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p>CRR36 - SEND</p> <p>Delivery of the recovery plan with agreed priorities and actions and clear milestones forming the Written Statement of Action (WSOA) following the SEND local area OFSTED inspection in October 2019.</p> <p>Key potential causes are:</p> <ul style="list-style-type: none"> • Covid-19 delaying ability to complete actions and creating increased pressure across the locality partnership. • Increasing demands for services outweighing current capacity to clear the backlog on statutory assessments. • Judicial Review or similar legal actions causing attention to be diverted from BAU. • Unprecedented national and local demand for Statutory assessment. • Recruitment and retention including national shortage of Educational Psychologists. 		3	5	15	1	5	5
<p>What we have done</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</p>	<p>What we are doing</p> <p>Developing the next iteration of the SEND action plan taking account of:</p> <ul style="list-style-type: none"> - other programmes of work / strategic developments and initiatives - the progress made and what still needs to be done to address the five significant areas of weakness identified in the SEND inspection - other areas for improvement identified through ongoing analysis of data and service user feedback. <p>Ongoing work with stakeholders and partners across the local area to continue to improve services and the service user experience.</p> <p>Ongoing governance and monitoring activity including Scrutiny. Inviting the DFE and NHSE advisers to continue to act as critical friends regarding progress made against the inspection findings and the new SEND action plan.</p> <p>Developing a service user engagement and co-production framework to align partnership activity, reach seldom heard voices and embed a sustainable BAU model of engagement and</p>						

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parent carers, including co-production of a new EHCP template and child centred model of assessment. 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.		co-production at a strategic level. Preparing for the re-inspection which is likely to take place between Autumn – Spring 2021/22.						
Risk Owners: Director Adult and Social Care, Service Director Education and Skills	Action Owners: Service Director Education and Skills	Portfolio Flag: Education and Skills	Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing					
Threat Risk Title and Description		Performance	Current Risk Level			Tolerance Risk Level		
			Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
CRR26 - ICT Resilience. The Councils ability to deliver critical and key services in the event of ICT outages and be able to recover in the event of system and/or data loss. Key potential causes are: Poor 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.		↑	2	5	10	2	5	10
What we have done		What we are doing						
Some DR/BCP actions are covered by Future State Assessment (FSA)/ IT Transformation Programme (ITTP). We have moved critical systems to the cloud with more effective DR. Application audit have commenced with a view to highlighting those systems with the highest risk.		We are continuing to review Disaster Recovery (DR) options for any systems which will not be moved to the cloud. Highlighting to service areas where applications may be vulnerable and advising on likely timescales for disruption to enable appropriate BC planning.						
Risk Owners: Chief Executive, Director, Digital Transformation, Service Area Leads.	Action Owners: Director, Digital Transformation.	Portfolio Flag: Finance, Governance and Performance	Strategic Theme: Our Organisation					



Threat Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<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 new 2020/21 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 • Flowing the patient. • Increased complex needs across our demographics that must be met under the Care Act <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 	↑	3	5	15	1	5	5
What we have done	What we are doing						
Established 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.	Following a Deep Dive review with corporate services as the Transformation team, the programme was taken out of exception and Delivery Executive approved a revised savings proposal and new approach to the ASC transformation work, which aims to increase delivery						

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<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 increase strengths based practice, greater use of community assets and avoid use of Tier 3 services.</p> <p>Making change everybody's business - New 'change Agent' roles have been established across the business to champion change.</p> <p>Realignment of operations - Care management have now completed 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 go live in November. 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 commissioned Mutual Ventures to review our £15m of in-house service provision. Each service is unique and brings different benefits. This created 'road maps' for each service to be taken through the key decision pathway to get authority to proceed with the modernisation of these services. The first of which is a recommendation for the re-provision of Rehab centres going to cabinet in December.</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.</p> <p>We took the programme into Exception in August due to non-delivery of agreed savings caused by additional COVID pressures, increased demand, business continuity and care supply and workforce challenges. In October Delivery Exec agreed a re-modelled savings plan and re-prioritised set of programme workstreams/ priorities and associated capacity/ support required to deliver.</p>	<p>confidence</p> <p>The revised programme is made up of three key workstreams:</p> <ul style="list-style-type: none"> • In-house service review (Rehab Centres) • Developing the Strengths based model of care • Knowledge Function <p>Other priorities will be service-led BAU workstreams which include</p> <ul style="list-style-type: none"> • Commissioning & Market Management • Strengths based practice • Knowledge Function <p>In addition, we are developing future service priorities:</p> <ul style="list-style-type: none"> • Care Providers Strategic Partnerships • Housing access to General Needs Housing (delivered through Better Lives at Home programme and in partnership with G&R Directorate) • Fair price of care • In-house Services phase 2 <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: • 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)
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Appendix A – Corporate Risk Register as at September 2021

Risk Owners: Director Adult Social Care	Action Owners: Director Adult Social Care	Portfolio Flag: Adult Social Care	Strategic Theme: Our Organisation, Empowering others and Caring, Fair and Inclusive, Well connected, Wellbeing.
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Threat Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p>CRR34 - Corporate Equalities</p> <p>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. 	■	1	5	5	1	5	5
<p>What we have done</p> <p>The work of mainstreaming and embedding equality & inclusion is well underway. Good teamwork across Bristol City Council. The two teams with an equality & inclusion focus within Policy, Strategy and Partnerships and Human Resources have now been aligned and are working closely together.</p> <p>However, there is still more to do corporately to tackle institutional racism and improve equality and inclusion practice, an issue brought into even sharper focus by Covid-19, the global Black Lives Matter movement and the findings of DWC Consulting from their work supporting the council with various HR cases and Staff Led Group relations. 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>	<p>What we are doing</p> <ul style="list-style-type: none"> • Continuing to implement the recommendations from the LGA Equality Framework for Local Government, including mapping out an E&I programme in line with Corporate Strategy. • Completing the Positive Action Toolkit. • Holding Race Equality Gatherings. • Holding meetings of the Strategic E&I Governance Group. • Recruitment of the Commissioners for the Disability Equality Commission. • Embed the Equality and Inclusion calendar and link to ongoing engagement from the Mayor’s Office. • Further develop the Champions Network 						



Page 667	<ol style="list-style-type: none"> 1. Implementing various new initiatives in Equality and Inclusion proposals approved by CLB in June 2020, including strengthening leadership, policy reviews, updates in HR practice and more. Progress is being tracked and has been audited in Q4 20/21. 2. Having on-going city conversations on race equality. 3. Reviewed the E&I learning and development offer for employees at BCC to ensure that their E&I awareness is improving throughout their employee journey 4. A steering group are developing a new approach to positive action for under-represented groups. 5. We received the report and recommendations from the LGA Equality Framework for Local Government. 6. Taken the Annual Report for the E&I Strategy to Full Council and published it in July- along with a completion report in the Advancing Equality and Inclusion action plan. 7. Recruited the first Chair and the support organisation for the Disability Equality Commission and a new Chair for the Commission on Race Equality. 8. Rolled out updated training on Rights and Responsibilities. 9. Launched a reverse mentoring programme. 10. Developed an Equality & Inclusion calendar for the whole organisation. 11. Created a network of Champions and Director Sponsors. 12. Recruited a temporary consultant to support with strategic migration issues. 			
	Risk Owners: Director Policy, Strategy & Partnerships.	Action Owners: Director Policy, Strategy & Partnership, Head of Equality and Inclusion.	Portfolio Flag: Finance, Governance and Performance	Strategic Theme: Our Organisation



Corporate external and civil contingency risks

External/Civil Contingency Risk Title and Description	Performance	Current Risk Level			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, create additional social anxiety, 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. 		4	7	28	2	7	14
What we have done	What we are doing						
<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 	<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>						

Appendix A – Corporate Risk Register as at September 2021

Page 669	<ul style="list-style-type: none"> • 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 			
	Risk Owners: CLB	Action Owners: Director Resilience, Public Health Service Director	Portfolio Flag: Corporate Wide	Strategic Theme: Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.



External/Civil Contingency Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p>BCCC1 - Flooding</p> <p>There could be a risk of damage to properties and infrastructure as well as risk to public safety from flooding which may be caused by a tidal surge, heavy rainfall and river 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 		3	5	15	3	3	9
<p>What we have done</p> <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</p>	<p>What we are doing</p> <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. 						

Appendix A – Corporate Risk Register as at September 2021

<p>Avonmouth and Severnside, which take account of climate change and sea level rise. 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. 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>					
<p>Risk Owners: Executive Director Growth and Regeneration, Director Economy of Place.</p>	<p>Action Owners: Director Economy of Place, Flood Risk Engineer.</p>	<p>Portfolio Flag:</p>	<p>Energy, Waste and Regulatory Services</p>	<p>Strategic Theme:</p>	<p>Our Organisation, Empowering and Caring, Fair and Inclusive, Well Connected, Wellbeing.</p>



Corporate Opportunity Risks

Opportunity Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p>OPP2 - Corporate Strategy</p> <p>The approved Corporate Strategy presents an opportunity to fundamentally refresh and strengthen our business planning, leadership and performance frameworks.</p> <p>Key potential causes are:</p> <p>Approved Corporate Strategy provides the foundation and direction for the organisation.</p>		2	7	14	4	7	28
<p>What we have done</p> <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> <p>Drafted a refreshed Corporate Strategy 2022-27 and briefed Heads of Service; also beginning staff engagement sessions and embedding within annual Service Planning for 22/23.</p>	<p>What we are doing</p> <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>						
<p>Risk Owners: Director Policy, Strategy and Partnerships.</p>	<p>Action Owners: Director Policy, Strategy and Partnerships.</p>	<p>Portfolio Flag:</p>	<p>Finance, Governance and Performance</p>	<p>Strategic Theme:</p>	<p>Our Organisation</p>		



Opportunity Risk Title and Description	Performance	Current Risk Level			Tolerance Risk Level		
		Likelihood	Impact	Risk Rating	Likelihood	Impact	Risk Rating
<p>OPP1 - One City Approach</p> <p>The One City Approach will offer a new way to plan strategically with partners as part of a wider city system.</p> <p>Key potential causes are:</p> <ol style="list-style-type: none"> 1. Mayoral aspiration and widespread partner sign-up to principles 2. Work to date has produced outline plan and engaged partners in the long-term vision and necessary work to complete the plan 		3	7	21	4	7	28
<p>What we have done</p> <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>	<p>What we are doing</p> <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. <p>Develop more detailed metrics for impacting tracking of activity.</p>						
<p>Risk Owners: Director Policy, Strategy and Partnerships.</p>	<p>Action Owners: Director Policy, Strategy and Partnerships.</p>		<p>Portfolio Flag: Mayor</p>		<p>Strategic Our Organisation Theme:</p>		



Risk Scoring Matrix

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Appendix A – Corporate Risk Register as at September 2021

		Threat Impact (Negative risks)					Opportunity Impact (Positive Risk)						
Threat Likelihood	Almost certain	4	4 (Low)	12 (Medium)	20 (High)	28 (Critical)	28 (Significant)	20 (High)	12 (Medium)	4 (Low)	4	Almost certain	Opportunity Likelihood
	Likely	3	3 (Low)	9 (Medium)	15 (High)	21 (High)	21 (High)	15 (High)	9 (Medium)	3 (Low)	3	Likely	
	Unlikely	2	2 (Low)	6 (Medium)	10 (Medium)	14 (High)	14 (High)	10 (Medium)	6 (Medium)	2 (Low)	2	Unlikely	
	Rare	1	1 (Low)	3 (Low)	5 (Medium)	7 (Medium)	7 (Medium)	5 (Medium)	3 (Low)	1 (Low)	1	Rare	
			1 Minor	3 Moderate	5 Major	7 Critical	7 Exceptional	5 Significant	3 Modest	1 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.

LIKELIHOOD AND IMPACT RISK RATING SCORING

Likelihood Guidance

Likelihood	Likelihood Ratings 1 to 4
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Appendix A – Corporate Risk Register as at September 2021

	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.

Decision Pathway – Report

PURPOSE: For noting

MEETING: Cabinet

DATE: 14 December 2021

TITLE	Heat Decarbonisation at the Welsman Building		
Ward(s)	Ashley Ward		
Author: Samuel Bryan	Job title: Programme Manager		
Cabinet lead: Cllr Beech, Cabinet Member for Climate, Ecology, Energy and Waste	Executive Director lead: Stephen Peacock, Executive Director Growth and Regeneration		
Proposal origin: BCC Staff			
Decision maker: Officer			
Decision forum: Officer Meeting			
Purpose of Report:			
<ol style="list-style-type: none"> 1. To notify cabinet of a Key Decision taken on 27th October 2021 to procure a renewable heating system at the Welsman building. 			
Evidence Base:			
<ol style="list-style-type: none"> 1. BCC buildings with end-of-life fossil fuel assets present an issue for the organisation as they are liabilities requiring short term capital investment. Current business as usual will also mean these capital investments will be a longer-term commitment to fossil fuels – which is at odds with corporate sustainability targets. 2. The Public Sector Decarbonisation Scheme (PSDS) is the main scheme from central government to support the public sector in decarbonising heat, with a focus on end-of-life fossil fuel heating systems. The scheme has a cap on the amount of grant available per tonne of CO2 saved, so for most projects some match funding is required. 3. The Proactive Maintenance programme utilises funds earmarked for boiler replacements in the Capital Programme for Facilities Management to provide match funding for PSDS eligible projects. 4. Thus far, feasibility studies for renewable heating have been conducted on an initial tranche of six buildings with end-of-life fossil fuel heating. These studies have identified the buildings as being suitable for the installation of air source heat pumps. 5. Air source heat pumps are a form of renewable energy technology which take the warmth from the air outside (even when it's quite cold) and uses it to heat buildings. 6. PSDS funding has been secured for the Welsman Building and approvals for grant applications for a further two sites are subject of a cabinet paper scheduled for February 2022. 7. The Welsman building houses Adult and Children's Services, who will shortly be joined by the Youth Offending team. 8. The oil heating system of the building has now failed, and a solution is required to ensure that the Council teams have an operational building. 9. Feasibility studies completed in Jan 2021 indicated that the total value of works to install an air source heat pump, would be less than £500k and therefore could be approved by the Executive Director. 10. In March 2021, the Council was awarded £320k through the PSDS for the installation of renewable heating at the Welsman Building. The grant conditions require that the funding must be spent by the end of March 2022. Match funding was agreed as part of the facilities management capital budget. 11. Invitations To Tender (ITT) were sent out on 9th August. Tender submission date was set for 27th August 2021 but was subsequently extended to the 14th of September upon request. 12. All the tenders submitted were in excess of £500k and the successful bid was >£700k which is above the Key Decision threshold. Reasons for this increase include: <ol style="list-style-type: none"> a. Substantial increases in the cost of equipment (heat pumps, radiators, pipework) since the feasibility study was completed. These increases are in line with those recently observed by other local authorities and are believed to be due to higher demand across the UK resulting from the PSDS, and higher import costs. b. Labour shortages, due to increased demand and reduced availability of labour 			

- c. Additional works identified to upgrade the mains electricity supply, which were not identified at feasibility stage.
- 13. An emergency key decision was required as
 - a. The existing oil-fired boilers, installed in the 1970's when the building was constructed, have failed and it is not feasible to repair them.
 - b. There is clear and pressing need to provide heating at the Welsman Building as the current system has failed. There are three council teams that depend on the building remaining operational, and we cannot delay in delivering a solution for the building. The alternative solution will be to install a new fossil fuel heating system. Whilst less expensive initially this would also require.
 - c. Grant funding needs to be spent by March 2022. For this reason, it is not reasonably practicable for the decision to have been taken by the Mayor or cabinet member.
- 14. As per the emergency key decision process
 - a. Approval in principle was sought from Executive Director, Chief Executive and Mayors office
 - b. The draft OED was signed off by Executive Director, Monitoring Officer and S151
 - c. Consultation was conducted with the Monitoring Officer (Tim O'Gara), the Chief Finance Officer (Denise Murray), the relevant Cabinet Member (Cllr Beech) and the relevant scrutiny chair (Cllr David Wilcox chair of G&R Scrutiny Committee). It has not been possible to consult directly with the Mayor but Deputy Mayor was consulted as part of the agreement in principle.
- 15. The OED has been published [Welsman Heat Decarbonisation OED](#) and all members notified.

Cabinet Member / Officer Recommendations:

That cabinet:

- 1. Notes the decision of the Executive Director – Growth and Regeneration to award the contract for renewable heating system at the Welsman building to the successful bidder at a cost of £720,000.

Corporate Strategy alignment:

- 1. Wellbeing – decarbonising Bristol buildings is critical to keeping Bristol on course to be run entirely on clean energy by 2030.

City Benefits:

- 1. Sustainability – the outcome of the work will contribute to decarbonisation of the corporate estate.
- 2. Health - there are three council teams that depend on the building remaining operational

Consultation Details:

- 1. As per the emergency key decision process
 - a. Approval in principle was sought from Executive Director, Chief Executive and Mayors office
 - b. The draft OED was signed off by Executive Director, Monitoring Officer and S151
- 2. Consultation was conducted with the Monitoring Officer (Tim O'Gara), the Chief Finance Officer (Denise Murray), the relevant Cabinet Member (Cllr Beech) and the relevant scrutiny chair (Cllr David Willcox chair of G&R Scrutiny). It has not been possible to consult directly with the Mayor but Deputy Mayor was consulted.

Background Documents:

[The Mayor's Climate Emergency Action Plan](#)

[The One City Climate Strategy](#)

[The Climate & Ecological Emergency Programme](#)

[Public Sector Decarbonisation Scheme](#) (PSDS): capital grants for public sector bodies to fund energy efficiency and heat decarbonisation measures

[Public Sector Low Carbon Skills Fund](#): funding to develop and deliver projects suitable for funding through the PSDS

Revenue Cost	£	Source of Revenue Funding	
Capital Cost	£720k	Source of Capital Funding	£320k Public Sector Decarbonisation Scheme £400k Facilities management 21/22 Capital Programme

One off cost <input checked="" type="checkbox"/>	Ongoing cost <input type="checkbox"/>	Saving Proposal <input type="checkbox"/>	Income generation proposal <input type="checkbox"/>
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Required information to be completed by Financial/Legal/ICT/ HR partners:

1. Finance Advice:

In March 2021, the Energy Service have been successful in securing a Public Sector Decarbonisation Scheme (PSDS) grant award of £0.320m, along with Property maintenance capital funding and going to replace the end-of-life heating system in the BCC owned building – The Welsman, with a modern renewable heating system. Following initial feasibility studies, the work required was identified to be under £0.5m and an Officer Executive Decision (OED) was drafted and signed off. However, due to increases in costs, labour shortages and additional work required to the mains electricity supply, tenders submitted were more than +£0.5m, which now requires an emergency key decision give the deadline to complete the project is March 2022.

The Capital project costs are now expected to cost £0.720m and will be funded by the PSDS grant of £0.320m and £0.4m of Property’s Facilities Management Capital Programme funding for 2021/22.

There are a number of risks associated with the project, including:

- The timescale to complete the project by March 2022 – mitigations to would include, good project management, key milestones and reporting
- Securing the contracts to complete the required works within the funding and timescale – hence the emergency decision to get them sign this month October 2021
- Containing the costs within the £0.7m funding envelope – effective contract management relationships, closely monitoring of contracts and costs throughout the project
- Using the grant funding first on the permitted works before March 2022, to ensure funds are not returned and reputation risk is not damage for future low carbon heating funding applications
- Ensuring the alternative solution, of resulting to a new fossil fuel heating system is not required, as this would be more expensive, not work towards the Council’s policy on being carbon neutral by 2025”

The highlighted risks will need to be carefully managed and mitigated and any additional costs implications is expected to be met from the FM capital programme budget.

The report requests that Cabinet note the decision taken.

Finance Business Partner: Kayode Olagundoye, Interim Finance Business Partner, 21st October 2021

2. Legal Advice: Legal support was provided for the procurement process and the necessary actions have been followed in order for an emergency decision to have been taken by the Executive Director – Growth and Resources in accordance with paragraph 7.4 of the Mayor’s scheme of delegations.

Legal Team Leader: Husinara Jones, 21 October 2021

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

IT Team Leader: Simon Oliver, Digital Transformation Director, 22 October 2021

4. HR Advice: Having reviewed the proposal I can see no obvious HR implications.

HR Partner: Chris Hather, HR Adviser, 22 October 2021

EDM Sign-off	Stephen Peacock	4 th November 2021
Cabinet Member sign-off	Cllr Nicola Beech	16 th November 2021
For Key Decisions - Mayor’s Office sign-off	Mayor’s Office	15 th November 2021

Appendix A – Further essential background / detail on the proposal - Officer Executive Decision	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 L – Procurement	NO

Officer Executive Decision Form



DECISION DETAILS:

1. **Subject:** *Heat Decarbonisation at the Welsman Building*

2. **Full details of the decision taken:**

- *The Energy Service developed a 'Proactive Maintenance' programme with Property to capitalise on the government's Public Sector Decarbonisation Scheme (PSDS). The aim was to avoid replacing end-of-life heating systems with new fossil fuel assets.*
- *The Welsman Building was awarded £320k grant funding to install renewable heating under the PSDS.*
- *The grant conditions are that funding needs to be spent by the end of March 2022.*
- *The Energy Service commissioned independent consultants to produce a feasibility study in January 2021, which estimated the total value of the works, including contingency, to be less than £0.5m and therefore within the delegated authority of the Executive Director.*
- *Subsequently, a procurement exercise was undertaken, and the tenders submitted were more than £0.5m, which is above the Key Decision threshold. Reasons for this increase include:*
 - *Substantial increases in the cost of equipment (heat pumps, radiators, pipework) since the feasibility study was completed. These increases are in line with those recently observed by other local authorities and are believed to be due to higher demand across the UK resulting from the PSDS, and higher import costs.*
 - *Labour shortages, due to increased demand and reduced availability of labour*
 - *Additional works identified to upgrade the mains electricity supply, which were not identified at feasibility stage.*
- *The oil heating system of the building has now failed, and a solution is required to ensure Adult and Children Services, as well as the Youth Offending team who are due to move in from Phoenix Court, have an operational building. The contracts are required to be signed in October to enable the works to be completed by March 2022.*
- *The decision required is to approve procurement of renewable heating system at the Welsman building through the emergency Key Decision Process.*
- *Agreement in principle for key decision has been secured from Chief Executive, Executive Director and Mayor Officer (Deputy Mayor).*
- *The Head of Legal Services and the Chief Accountant have checked and inputted on the proposed decision.*
- *The Monitoring Officer, the Chief Finance Officer, the deputy Mayor, the relevant Cabinet Member and the relevant scrutiny chair have been consulted on this decision.*
- *This item is a key decision and whilst emergency action is being taken the decision will be presented to cabinet at the earliest possible opportunity.*

3. **Monetary value involved (if any):** *£720k*

4. **Contract number (if applicable):** *DN561551*



Officer Executive Decision Form



5. Reason for identifying as an OED:

- *The Council's constitution includes provision for an emergency key decision to be taken in specific and exceptional circumstances where the usual process cannot be followed.*
- *The justification for this course of action being*
 - *There is clear and pressing need to provide heating at the Welsman Building as the current system has failed. There are three council teams that depend on the building remaining operational, and we cannot delay in delivering a solution for the building.*
 - *Contracts must be signed in October in order to fulfil grant requirements by March, it is therefore not reasonably practical for the decision to be taken by the Mayor or cabinet member.*

6. **Date of decision:** 27/10/2021

7. Reasons for the decision:

- *There is clear and pressing need to provide heating at the Welsman Building as the current system has failed. There are three council teams that depend on the building remaining operational, and we cannot delay in delivering a solution for the building.*
- *Contracts must be signed in October in order to fulfil grant requirements by March, it is therefore not reasonably practical for the decision to be taken by the Mayor or cabinet member.*

8. Details of alternative options considered and rejected:

- *Installation of new fossil fuel boiler at the Welsman Building – rejected on the basis: -*
 - *It is inconsistent with meeting the Council's 2025 policy (approved by cabinet) of achieving carbon neutrality 2025.*
 - *This would be more expensive in the long run as the fossil fuel replacement would itself need to be decommissioned and a renewable alternative installed before 2025.*
 - *Loss of £320k grant funding*
 - *Reputational risk – the council cannot rely on future successful grant schemes for a low carbon heating solution*
- *Key decision at November cabinet – rejected on the basis this would lead to risk of works being incomplete by grant deadline.*

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9. Any conflict of interest declared by a Cabinet Member consulted by the officer taking the decision, together with a note of any dispensation granted by Audit Committee in relation to the conflict of interest (if applicable):

Not applicable

A handwritten signature in black ink, appearing to read 'h h h h e', enclosed in a white rectangular box.

Name:Stephen Peacock

Job title: Executive Director



Welsman Heat Decarbonisation Risk Register

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

Ref	Risk Description	Key Causes	Key Consequence	Status Open / Closed	Strategic Theme	Risk Category	Risk Owner	Key Mitigations	Direction of travel	Current Risk Level			Monetary Impact of Risk £k	Risk Tolerance			
										Likelihood	Impact	Risk Rating		Likelihood	Impact	Risk Rating	Date
1	Loss of grant funding	BEIS require grant funding of the project to be completed by 31st March 2022	Risk that grant has to be repaid with significant costs incurred	Open		Financial	BCC	Contract with supplier will include stipulation on delay damages should deadline not be met	Reducing	5	5	18	£320k	5	4	12	
2	Increased project costs	Underestimation of capital costs due to insufficient feasibility work and due diligence or further price rises	Additional funding is required to complete the project	Open		Financial	BCC	BCC have contracted external consultants to support with tender and contract implementation. Value engineering to reduce project costs.	Reducing	5	5	18	£20k-£80k	5	4	12	
3	Reduced Salix Grant Amount	Removal of Solar PV from scope will result in a change in energy savings from those detailed in application	Salix could withhold the grant funding for Solar Element	Open		Financial	BCC	Can be mitigated through more savings (as now 100% ASHP) and also move some items (electrical infrastructure etc) into enabling works	Reducing	2	7	14	£48k	1	6	6	
4	Risk of operational issues with the building, due to no heating system available in the heating season	Because of failure of the plant and of project delay	Unable to meet building regulations for heating.	Open		Technical Operational	BCC	Regular communication will take place with those involved on the progress of the project and likelihood for need of temporary heating. Energy Service and Building Practice to discuss and agree temporary heating arrangements within the context of tender process for main contractor.	Reducing	2	7	14		1	7	7	
5	Risk of disruption to the project and to the building users.	Uncertainty of introduction of Phoenix Court staff to the building, because of unclear plans for the team following the end of the Phoenix Court lease	Installation is disrupted	Open		Technical Operational	BCC	All site staff have been advised of the project and disruption. The staff will operate a reduced contingent of core staff, occupying 1/3 of the building. Due to covid-19, many building users are able to work from home with support equipment. Temporary arrangements of the need for the	Reducing	2	7	14		2	5	10	

Equality Impact Assessment [version 2.9]



Title: Welsman Heat Decarbonisation	
<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 & Regeneration	Lead Officer name: Sam Bryan
Service Area: Energy Service	Lead Officer role: Programme 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.

The Energy Service have developed a 'Proactive Maintenance' programme with Property to capitalise on the government's Public Sector Decarbonisation Scheme (PSDS). The aim was to avoid replacing end-of-life heating systems with new fossil fuel assets. The Public Sector Decarbonisation Scheme (PSDS) is the main scheme from central government to support the public sector in decarbonising heat, with a focus on end-of-life fossil fuel heating systems. The Welsman building houses Adult and Children's Services who will shortly be joined by the Youth Offending team. The oil heating system of the building has now failed, and a solution is required to ensure the Council teams have an operational building. Grant funding has been secured to install a renewable heating system in the Welsman building. The grant covers £320k of the project costs – it's matched by £400k of Council match funding.

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.

<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 which is limited to urgently replacing the heating system as existing boilers have failed.

All site staff have been advised of the project and disruption. The staff will operate a reduced contingent of core staff, occupying 1/3 of the building. Due to covid-19, many building users are able to work from home with current equipment. Tenderers are aware of the need for the building to remain open and have submitted project plans for delivery based on this. Facilities management are joint sponsors of the project and will ensure temporary heaters are provided to staff.

We will ensure there is minimal disruption whilst works are being carried out, by carrying out such measures as: providing clear communications; taking such steps as are necessary to minimise dust, dirt and noise; considering the needs of disabled employees and visitors where it may be necessary to restrict access / create detours / limit parking availability etc.

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: 25/10/2021	Date: 25/10/2021

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: Welsman Heat Decarbonisation				
Report author: Samuel Bryan				
Anticipated date of key decision 14th December				
Summary of proposals: Installation of air source heat pump at the Council's Welsman building.				
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	The existing oil fired heating system is being replaced with air source heat pumps. ASHPs are a renewable form of heating, although the heat pumps consume electricity.	
		+ve	The Energy Service intends to procure renewable electricity in future supply contracts, which will minimise the greenhouse gas emissions associated with the new heating system.	
		+ve	A consultant has confirmed that the building is well enough insulated to ensure the efficient running of the heat pumps.	The heat pump location is yet to be finally decided, but will be based on ensuring that they operate as efficiently as possible. New pipework will be insulated.
		-ve	There will be embodied emissions from the ASHPs and potential emissions from any leakage of the refrigerant gas they use.	Embodied emissions will be part of the decision about which ASHP model to install. The Global Warming Potential of the refrigerant gas will be less than 150.

Bristol's resilience to the effects of climate change?	No		The ASHPs will not have a cooling function.	
Consumption of non-renewable resources?	Yes	+ve	Switch from existing oil boilers will reduce Council's consumption of fossil fuels.	
Production, recycling or disposal of waste	No	+ve	A small amount of waste will be created during installation and the removal of the existing heating system.	All waste produced will be treated according to the waste hierarchy and in compliance with waste law.
The appearance of the city?	No			
Pollution to land, water, or air?	Yes	+ve	Improvement in air quality as oil boilers are a source of NOx	No mitigation required.
		n/a	There is a risk of an oil spillage if the tank feeding the existing heating system is removed before being emptied, or leakage if the tank is left in situ, but still containing oil.	The emptying and removal of the tank will be undertaken separately by Building Practice and is not relevant to the work covered by this proposal.
		-ve	Because heat pumps are louder than boilers, are located outside and run	Following an acoustic survey, an acoustic fence will be installed at the same time as the heat

			constantly there is the potential for noise pollution	pumps to minimise noise transmission.
Wildlife and habitats?	No			
Consulted with:				
Summary of impacts and Mitigation - <u>to go into the main Cabinet/ Council Report</u>				
<p>The significant impacts of this proposal are a reduction in emissions of climate changing gases and a reduction in consumption of non-renewable fossil fuels. The project also reduces emissions of NOx which has a negative impact on air quality.</p> <p>The proposal does not require any environmental mitigation measures as it is largely beneficial.</p> <p>The net effects of the proposals are positive</p>				
Checklist completed by:				
Name:			Sam Bryan	
Dept.:			Energy Service	
Extension:				
Date:			25/10/2021	
Verified by Environmental Performance Team			Giles Liddell, Project Manager – Environmental	

Decision Pathway – Report

PURPOSE: For noting

MEETING: Cabinet

DATE: 14 December 2021

TITLE	Memorandum of Understanding (October 2021 to March 2022) Bristol, North Somerset and South Gloucestershire Healthier together partnership		
Ward(s)	All Wards		
Author: Nikki Knowles	Job title: Policy and Public Affairs Manager		
Cabinet lead: Cllr Helen Holland, Cabinet Member for Adult Social Care and Integrated Care System	Executive Director lead: Hugh Evans, Executive Director - People		
Proposal origin: Other			
Decision maker: For noting Decision forum: For noting			
Purpose of Report: To note the final signed version of the Memorandum of Understanding that sets out the transitional arrangements, shared principles and values underpinning the developing BNSSG Integrated Care Partnership			
Evidence Base: On 5th October 2021 Cabinet approved the updated and final draft of Bristol City Council Bristol, North Somerset and South Gloucestershire (BNSSG) Healthier Together Memorandum of Understanding (MoU) and authorised the Chief Executive in consultation with the Cabinet Member for Adult Social Care to oversee and agree any minor amendments to the document prior to its final ratification by the BNSSG Partnership Board. Cabinet asked that the signed version by brought back to note any further amendments. The final version of the MoU was signed on 27th October 2021 at an extraordinary meeting of the Healthier Together Partnership Board. No significant amendments were made to the version approved by Cabinet The MOU is an interim agreement setting out how the Healthier Together Partnership will work as a transitional arrangement between now and the transition to the Integrated Care Partnership. Governance arrangements for the new Partnership will be brought to cabinet for approval before implementation in April 2022.			
Cabinet Member / Officer Recommendations: That Cabinet: 1.Note the Memorandum of Understanding has now been ratified by the Healthier Together Partnership Board on 27 October 2021.			
Corporate Strategy alignment: 1. The Memorandum of Understanding supports the commitment of Bristol’s Corporate Strategy to work in partnership to improve health and reduce the gap in health inequality in the City.			
City Benefits: 1. The Bristol population makes up just under 50% of the whole population of the Integrated Care System.			

2. The City of Bristol has the highest level of health inequality within the Integrated Care System area.
3. The City of Bristol has the more diverse population within the Integrated Care System area.
4. Active participation by Bristol City Council in the Bristol, North Somerset and South Gloucestershire Integrated Care System will ensure that the diverse health needs and inequalities of the Bristol population are fully represented and addressed.

Consultation Details:

1. 22 June 2021, OSMB Leads received a briefing on Health Integration
2. 29th June 2021, Cabinet Board
3. 5 July 2021 Bristol, North Somerset and South Gloucestershire Health & Wellbeing Boards Workshop
4. 21 July 2021, Presented to Health Scrutiny Leads Meeting on ICS and MOU
5. 28th July 2021, Bristol Health and Wellbeing Board
6. 2 August 2021, People Joint Cabinet Member briefing
7. 2 August 2021, Joint briefing for Cabinet Member for Climate, Ecology, Waste and Energy and Cabinet Member for Housing Delivery and Homes
8. 12 August 2021, Transport Cabinet Member briefing
9. 20 September 2021, Draft MOU shared with Health Scrutiny Commission

Background Documents:

[Health and Care Bill \(2021\)](#)

[NHS Long Term Plan](#)

[BNSSG Five Year Plan](#)

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

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

1. Finance Advice: There are no direct financial implications arising from this decision. The MOU does not override Bristol City Council existing decision pathways, which will continue to apply in terms of financial governance and decision making.

The financial framework set out in the Memorandum (Annex 7 refers), defines a set of principles and processes that help establish:

- collaborative ways of working between partners,
- a culture of financial transparency,
- governance arrangements that support delivery of the ICS vision to improve the health outcomes for the population of BNSSG in a financially sustainable way,
- a focus on value for the system,
- processes for reaching consensus and resolving disputes about how best to use financial and other resources available to the ICS,
- a mechanism for management of the aggregate financial position of the parties to achieve and maintain the system financial improvement trajectory for the ICS.

Finance Business Partner: Denise Hunt, Finance Business Partner 26th November 2021

2. Legal Advice: There are no direct legal implications arising from this report. Work is taking place to develop new governance arrangements for the new Partnership arrangements due to be implemented in April next year.

Legal Team Leader: Nancy Rollason Head of Legal Service 30th November 2021

3. Implications on IT: We would need a Solution Architect involved as early as possible to ensure the new technology aligns with our internal systems and strategy. Where support is needed, IT Service Transition will need to be

involved.		
IT Team Leader: Iain Godding, Head of Enterprise Architecture 22 nd November 2021		
4. HR Advice: There are no HR implications arising from this report		
HR Partner: Lorna Laing, HR Business Partner 1 st December 2021		
EDM Sign-off	Hugh Evans	17 th November 2021
Cabinet Member sign-off	Cllr Holland	22 nd November 2021
For Key Decisions - Mayor's Office sign-off	Mayor's Office	15 th November 2021

Appendix A – Further essential background / detail on the proposal Approved Healthier Together Integrated Care Systems memorandum of understanding – Final version	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

Healthier Together
Memorandum of Understanding

October 2021

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1. Introduction and background

- 1.1. This Memorandum of Understanding (MoU) sets out the details of our commitment to work together in partnership to realise our shared ambitions to improve the health and wellbeing of the people of Bristol, North Somerset and South Gloucestershire (BNSSG).
- 1.2. We serve a population of approximately one million people within distinct communities: a vibrant city with huge economic resources but also pockets of deprivation, seaside towns and villages and rural areas. People's life chances and prospects of enjoying good health vary dramatically depending on where they are born and where they live. Our children are disproportionately affected, with nearly 40% of children in Bristol falling within the most deprived quintile. We need to deliver health and wellbeing services that meet the needs of each of these diverse communities.
- 1.3. We established our Partnership in 2016 to work together across the NHS, local government and social care. In 2019, we agreed a five year plan to deliver significant improvements in the health and wellbeing of our population, to improve the quality of our services and people's experience of care and to make BNSSG the best place to work for our staff.
- 1.4. Going forward, we will develop an Integrated Care Strategy for the population of BNSSG, covering health and social care and addressing the wider determinants of health and wellbeing. This will be built bottom-up, through engagement with all partners, communities, and the public, using the best available evidence and data on local needs and assets. This strategy will focus on improving outcomes, reducing inequalities, and addressing the consequences of the pandemic for our local communities.
- 1.5. As a Partnership, we were formally designated as an Integrated Care System (ICS) from December 2020, demonstrating the progress we have made in developing collaborative ways of working and integrating services to deliver better outcomes for BNSSG residents. We recognise there is more work to be done to change how we operate to make the best use of resources within an integrated system.
- 1.6. In early 2021, the government published a white paper setting out proposed reforms to health and care, and in July the draft Health and Care Bill was introduced in Parliament. This includes a duty to collaborate across the healthcare, public health, and social care system, and a shift away from competition and toward integration, collaboration and partnership. If passed, the legislation will establish ICSs on a statutory footing to be accountable for population health outcomes from April 2022.

1.7. Purpose

1.7.1. The purpose of this Memorandum is to formalise the Healthier Together Partnership ways of working as an Integrated Care System going forward for the benefit of the population of BNSSG. This MOU supersedes existing documentation on the governance of the Healthier Together Partnership, in particular the Partnership Board and Executive Group terms of reference.

1.7.2. This includes memorialising how we work together today and transitional arrangements in the second half of 2021/22 to evolve our current partnership arrangements within Healthier Together, including building collaboration through the existing Partnership Board, Executive Group, and Steering Groups.

1.7.3. It also includes our shared principles as we evolve our partnership to improve our ways of working as a system, and we expect our collaborative ways of working to continue to evolve as our system matures. It lays a foundation for how we want to work together in partnership, on which future agreements and governance documentation will be developed in line with national policy and local decisions.

1.8. The Memorandum is not a legal document. It is not intended to be legally binding and no legal obligations or legal rights shall arise between the Partners from this Memorandum. It is a formal understanding and commitment to a way of working between all of the Partners who have each entered into this Memorandum intending to honour all their obligations under it. It does not replace or override the legal and regulatory frameworks that apply to our constituent organisations, which will have priority in the event of any conflict between those frameworks and this MOU. Instead it sits alongside and complements these frameworks, creating the foundations for closer and more formal collaboration.

2. Parties

2.1. Members of the Healthier Together Partnership ('Healthier Together Partners') and parties to this Memorandum are:

Clinical Commissioning Group:

NHS Bristol, North Somerset and South Gloucestershire CCG (BNSSG CCG)

Local Authorities:

Bristol City Council (BCC)

North Somerset Council (NSC)

South Gloucestershire Council (SGC)

Healthcare Providers:

Avon & Wiltshire Mental Health Partnership NHS Trust (AWP)

North Bristol NHS Trust (NBT)

Sirona care and health (Sirona)

South Western Ambulance Service NHS Foundation Trust (SWASFT)

University Hospitals Bristol and Weston NHS Foundation Trust (UHBW)

GP Federation:

One Care (BNSSG) C.I.C. (One Care)

2.2. Healthier Together Partners all subscribe to the vision, principles, values and behaviours stated below, and agree to participate in the governance and accountability arrangements set out in this Memorandum.

2.3. Additional organisations, who are not parties to this Memorandum, but who work with the Healthier Together Partners, provide support, advice and guidance to support delivery of our Healthier Together vision. Examples of these partners include (but are not limited to):

Local Partners

Academic Health Science Network

Brisdoc/Sevenside

Bristol Health Partners Academic Health Science Centre

Health & Care West

Healthwatch BNSSG

Second Step

St. Peter's Hospice

Vita Health Group

West of England Civil Society

Other Voluntary, Community, and Social Enterprise (VCSE) partners

Health Regulator and Oversight Bodies

NHS England and Improvement

Other National Bodies

Health Education England

LGA

Public Health England

2.4. Working in effective partnership with people and communities is a key tenet of the Healthier Together Partnership. There are three main lenses to our system work with people and communities: Citizen Insight, Community Engagement and Co-production.

2.4.1. Citizen Insight is about identifying what people want, value and aspire to, as well as what their wellbeing, health and care needs are, to give the system the best chance of designing services and interventions that work for people and fit in with citizens' lives.

2.4.2. Community engagement recognises communities themselves as the driving forces of change, and includes listening, working with and alongside communities to develop long term relationships, trusted sources of information, and identifying and addressing environmental, attitudinal, and cultural barriers to change

2.4.3. Co-production describes the process of working together with users to create services, interventions and solutions together from the outset – sharing power, and going beyond consultation, engagement or involvement

2.5. Term: This Memorandum shall commence on the date of last signature of the Healthier Together Partners and will terminate on 31 March 2022. The memorandum will be reviewed prior to 31 March 2022 and a revised version agreed with ICS Partners which is consistent with the latest statutory guidance and statutory provisions of the Act. It shall thereafter be subject to an annual review.

2.6. Review of this Memorandum will be undertaken by the Partnership Board. If changes are proposed which are considered substantial by the Healthier Together Partners, then the revised Memorandum will be taken through the appropriate governance arrangements by the Healthier Together Partners, with the outcome reported back to the Partnership Board.

3. Our shared vision for the people of BNSSG

3.1. Our vision: Healthier Together is the health and care partnership for people in Bristol, North Somerset and South Gloucestershire. We work together to improve the health of our population and make sure services work for everyone.

Our vision is for people in Bristol, North Somerset and South Gloucestershire to have the best start in life, and for the places where we live to be healthy and safe.

Everyone will have the opportunity to live longer in good health. When people need support from our services, they will be high quality and easy to access.

People will be better supported to take control of their own health and wellbeing, and become equal partners in care. Working alongside our communities, we'll build on strengths and tackle inequalities together.

We'll make it simple for health and care staff to work better together for the benefit of the people we care for – nurturing talent, removing barriers and acting on views and concerns.

3.2. The aims/objectives of our system are to:

3.2.1. Increase the number of years people in BNSSG live in good health

3.2.2. Reduce the inequality in how many years people in BNSSG live in good health, particularly improving healthy life expectancy for those with the poorest outcomes

3.2.3. Become a place where wellbeing, health, and care services fit with people's lives and makes sense to the people engaging with them

3.2.4. Make it easy for people working in wellbeing, health, and care to work with each other

3.2.5. Ensure our workforce is healthy and fulfilled

3.2.6. Reduce our adverse environmental impact in energy, travel, waste, water, food, biodiversity and land use

3.2.7. Make our communities healthy, safe and positive places to live

4. Principles for working together

4.1. Our ways of working together rely on a set of principles that apply across the Partnership.

Table 1: Healthier Together Principles

<p>Individuals @ the Centre</p>	<ol style="list-style-type: none"> 1. We work to achieve our vision to meet our citizens’ needs by working together within our joint resources, as one health and care system. We will develop a model of care and wellbeing that places the individual at its heart, using the combined strengths of public health, health and social care. 2. Citizens are integral to the design, co-production and delivery of services. 3. We involve people, communities, clinicians and professionals in all decision-making processes. 4. We will take collective, considered risks to cease specific activity and release funds for prevention, earlier intervention and for the reduction in health inequalities. 5. We strive for our leadership to be representative of the population, and we focus on the causes of inequality and not just the symptoms, ensuring equalities is embedded in all that we do.
<p>Subsidiarity</p>	<ol style="list-style-type: none"> 6. Decisions taken closer to the communities they affect are likely to lead to better outcomes. The default expectation is for decisions to be taken as close to communities as possible, except where there are clear and agreed benefits to working at greater scale.
<p>Collaboration</p>	<ol style="list-style-type: none"> 7. Collaboration between partners in a place across health, care services, public health, and the voluntary sector can overcome competing objectives and separate funding flows to help address health and social inequalities, improve outcomes, transform people’s experience, and improve value for the tax payer. 8. Collaboration between providers across larger geographic footprints is likely to be more effective than competition in sustaining high quality care, tackling unequal access to services, and enhancing productivity. 9. Through collaboration as a system we will be better placed to ensure the system, places, and individual organisations are able to make best use of resources. 10. We prioritise investments based on value, ensuring equitable and efficient resource allocation, and we take shared ownership in achieving this.
<p>Mutual Accountability & Equality</p>	<ol style="list-style-type: none"> 11. We are coming together under a distributed leadership model and we are committed to working together as an equal partnership. 12. We have a common understanding of the challenges to be addressed collectively and the impact organisations can have

	<p>across other parts of the system. We engage in honest, respectful, and open dialogue, seeking to understand all perspectives and recognising individual organisations' agendas and priorities. We accept that diverse perspectives may create dissonance, and we seek to understand and work through any disharmony, and move to conclusions and action in service of our citizens. We strive to bring the best of each organisation to the Partnership.</p> <p>13. We adhere to a collective model of accountability, where we hold each other mutually accountable for our respective contributions to shared objectives and engage fully in partners' scrutiny and accountability functions, where required.</p> <p>14. We develop a shared approach to risk management, taking collective responsibility for driving necessary change while mitigating the risks of that change for individual organisations.</p>
<p>Transparency</p>	<p>15. With an 'open book' approach, we pool information openly, transparently, early, and as accurately and completely as possible to ensure one version of the truth to be used by partners across the system.</p> <p>16. We work in an open way and establish clear and transparent accountability for decisions, always acting in service of the best outcomes for the people of BNSSG.</p>

5. Our shared values and behaviours

5.1. Members of the Partnership commit to behave consistently in ways that model and promote our shared values:

- We support each other and work collaboratively
- We act with honesty and integrity, and trust each other to do the same
- We challenge constructively when we need to
- We assume good intentions
- We implement our shared priorities and decisions, holding each other mutually accountable for delivery
- We represent our population, our staff and we serve as a conduit between the Partnership and individual organisational Boards / Cabinets

6. Governance

6.1. Partnership Arrangements in 2021/22

6.1.1. The Healthier Together Partnership will retain and develop its existing governance arrangements through 2021/22, specifically by building on the existing Partnership Board and Executive Group forums. The functions of each are set out below.

6.1.2. Partnership Board

6.1.2.1. The Partnership Board provides the formal leadership for the Partnership. It is responsible for setting the strategic direction for the Partnership, and agreeing the vision, outcomes, and objectives. It provides leadership and oversight for all Partnership business and a forum to seek collective support for decision making to progress the delivery of the vision for the Partnership. Its responsibilities are further outlined in the Terms of Reference for the Partnership Board included in **Annex 2**.

6.1.3. Executive Group

6.1.3.1. The Executive Group is the executive arm of the Partnership Board. The purpose of the Executive Group is to oversee the business of the BNSSG ICS on behalf of the Partnership Board. It oversees the delivery of the ICS vision and strategy, and oversees and supports the delivery of a programme portfolio that enables the strategy. It provides system-wide guidance and support to the ICS programmes and secures the resources to deliver the ICS goals. Its responsibilities are further outlined in the Terms of Reference for the Executive Group included in **Annex 3**.

6.2. Changing structures from April 2022

6.2.1. From 1st April 2022, we expect (subject to legislation) to make changes to our governance structures in line with the statutory provisions of the Act when it comes into force and any statutory guidance. We remain committed to working together to agree the structures that will best serve the people of BNSSG, and to abide by the principles in this MOU.

7. Decision making

7.1. The key principle for making decisions will be based upon what is best for the diverse population of BNSSG.

7.2. Through the Partnership Board, the Healthier Together Partners will use a collective model of decision-making that seeks to find consensus between the Partners and make decisions based on unanimity as the norm. This means that the Healthier Together Partners will seek to ensure that all decisions are agreed unanimously. Where a party may not be able to agree then the process for handling disagreements (**see section 8**) will be used.

7.3. In addition to agreeing the vision, outcomes, and objectives for the Healthier Together Partnership, the Healthier Together Partnership Board will be a forum where Healthier Together Partners come together to seek collective support for decisions affecting the partnership and where collective action is needed. The Partnership Board will support the following decisions:

7.3.1. The objectives, plans, and changes to priority work programmes and workstreams

7.3.2. System-level planning

7.3.3. The apportionment of transformation monies from national bodies

7.3.4. Priorities for investment of system-level capital funds across the Partnership

7.3.5. Challenges highlighted through a system performance framework including defining actions when organisations become distressed

7.4. Decisions will be taken formally by individual organisations in line with their existing governance arrangements prior to ratification at the Partnership Board. There may be an opportunity for constituent organisations to delegate additional decisions into the Partnership in the future, building on the accomplishments and success of joint system working.

7.5. Healthier Together Partners are committed to being open and transparent in making decisions at Board meetings. Partnership Board meetings will be held in public. Members of the public will be able to ask questions and submit statements on decisions on the agenda at each meeting. Minutes of these meetings will be available to the public on the Healthier Together website.

7.6. People affected by a decision will be included in the process to make changes to services (see **Annex 8** for more details on how we will engage the people we serve). Decisions taken by the Healthier Together Partners will be clearly described in the minutes of the meeting, which will be available to the public on the Healthier Together Website.

7.7. The Partnership Board will engage openly and transparently with health scrutiny boards across partnership organisations.

7.8. Where Healthier Together Partners are required to take decisions outside of the ICS Partnership to meet their statutory obligations, they will do so in the spirit of the values and behaviours of this Memorandum and in line with the requirements of their organisation.

8. Resolving disagreements

8.1. Healthier Together Partners will attempt to resolve in good faith any dispute between them in line with the Principles, Values and Behaviours set out in this Memorandum (see **sections 4 and 5**).

8.2. The Healthier Together Partners will apply a dispute resolution process to resolve any issues that cannot otherwise be agreed through these arrangements. The key stages of the dispute resolution process are:

- I. The Executive Group will seek to resolve the dispute to the mutual satisfaction of each of the affected parties. If the Executive Group cannot resolve the dispute within 30 days, then the dispute should be referred to the Partnership Board.
- II. The Partnership Board may choose to convene a Resolution Committee, whose purpose will be to consider the dispute and make a recommendation on resolution to the Partnership Board. The Partnership Board will agree the Terms of Reference and membership for the Resolution Committee.

- III. The Partnership Board will come to a majority decision, with input from the Resolution Committee if relevant, and will advise the Partners of its decision in writing. A majority decision will be reached by a majority of eligible Partners participating in the meeting who are not affected by the matter in dispute determined by the scope of applicable issues, applying the Principles, Values and Behaviours of this Memorandum, taking account of the Objectives of the Partnership.
- IV. If the parties do not accept the Partnership Board decision, or the Partnership Board cannot come to a decision which resolves the dispute, it will be referred to an independent mediator selected by the Partnership Board. The mediator will work with the Healthier Together Partners to resolve the dispute in accordance with the terms of this Memorandum.
- V. This section should be considered in line with **section 12** relating to the Handling of Conflicts of Interest.

8.3. Healthier Together Partners will be expected to apply the Principles, Values and Behaviours described in this Memorandum and come to a mutual agreement through the dispute resolution process.

9. Risk Management

9.1. Healthier Together Partners are committed to a shared approach to managing risks (strategic, clinical, financial, and operational), taking collective responsibility for driving necessary change while seeking to mitigate the risks of those changes for individual organisations and the people we serve. This includes ensuring a coordinated approach to understanding the risks to delivery of the vision and utilising these risks to support decision making by the Healthier Together Partners.

9.2. Our system approach to risk management recognises that there will still be a need for constituent organisations to manage organisational risk. Where appropriate, we will strive for consistency of risk management frameworks across organisations to allow more seamless risk management coordination across the Partnership. A separate document will describe how risks will be managed across the Healthier Together Partners including identifying system risk and how organisational risks that impact the Healthier Together Partnership will be escalated.

10. Place-based partnerships and provider collaboratives

10.1. Under the principles of subsidiarity and collaboration, and in line with the provisions of the new Act and any relevant statutory guidance, our intent is to establish place-based partnerships and provider collaboratives from April 2022 to bring together providers and other local partner organisations to deliver integrated health and wellbeing services for the benefit of the people of BNSSG.

10.2. Place-based partnerships are essential to delivering our ambition. They will design and deliver fully integrated preventive, proactive/anticipatory, and personalised health and care services focused on local people's health and wellbeing. This is the focus for NHS collaboration to meet the healthcare needs

of local populations and for operational partnerships across NHS, local government, VCSE, and others to make the community the default setting of care 24/7, 365 days a year. They aim to strengthen connection to people and communities and co-produce services with the local population to ensure we deliver the experiences that matter to people.

10.2.1. Our system footprint encompasses six localities, which will become Integrated Care Partnerships (ICPs): Bristol North & West, Bristol South, Bristol Inner City & East, Woodspring, Weston & Worle, and South Gloucestershire.

10.2.2. Building on existing locality partnerships, ICPs will focus together on designing a fully integrated model of care to improve the experience and achieve measurable value for individuals and the population. They will focus initially on community mental health, and extend to frailty, urgent care, and other key areas for the population of BNSSG as they mature.

10.2.3. Local Health and Wellbeing Boards will play a critical role in overseeing the ICPs within their respective boundaries. They will set local direction and priorities, oversee delivery to ensure equity of care within their boundaries, and support and enable integration of health, public health, social care, and the wider determinants of health around the person.

10.2.4. The ICS will agree with local partners the membership, leadership, and governance of ICPs, and will support local integration. ICPs will be accountable to the ICS, which will assure delivery of outcomes, performance, and value.

10.3. 'At scale' provider collaboratives are partnerships of providers working across multiple places at an appropriate scale to support delivery of the Healthier Together Partnership goals for the people we serve. Our ambition is to enable provider collaboration across the sector to improve outcomes and consistency of care, transform patient experience, and delegate and optimise use of resources. This includes:

10.3.1. An acute care collaborative between our BNSSG acute trusts

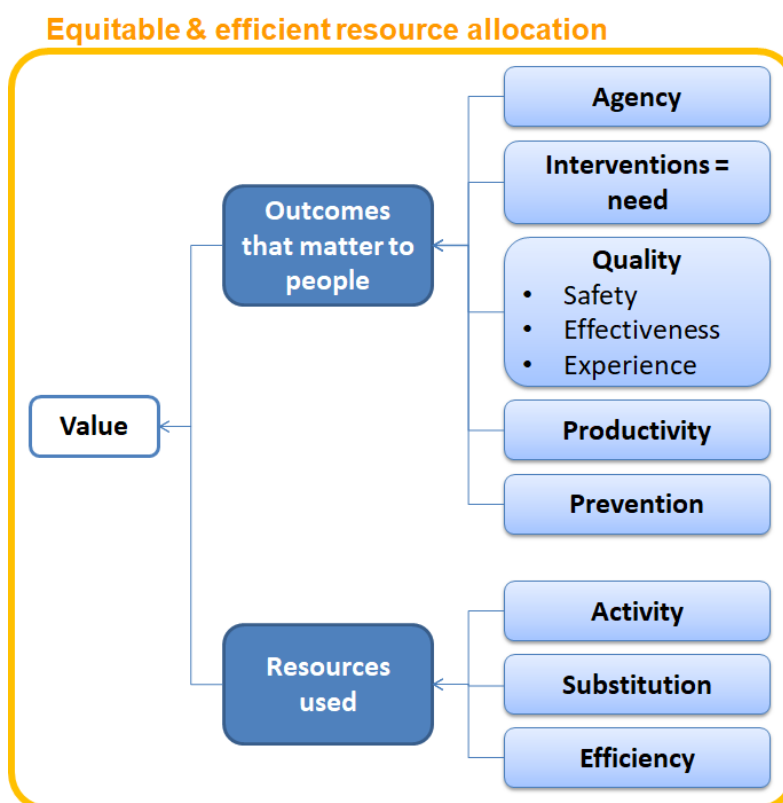
10.3.2. Participation in specialised services provider collaboratives across broader footprints, including mental health

10.3.3. Out of hospital provider collaboration to support ICPs

11. Our shared functions and frameworks

11.1. To meet the aims of population health – improving physical and mental health outcomes, promoting wellbeing and reducing health inequalities for the whole population (and not just those who present to services), and working with the community to optimise access to services and early intervention – the Healthier Together Partners will take a value-based health and care approach. This approach focuses on achieving the outcomes that matter to people, services that work for them and are culturally appropriate, and making best use of resources (value).

Figure 1: BNSSG ICS Value Improvement Framework



11.2. We aim to adopt a value framework to improve population health for the people of BNSSG. This includes:

11.2.1. Identifying and improving the outcomes and experience that matter to people (see **Annex 4** for our ICS Outcomes Framework)

11.2.2. Applying an outcomes-driven approach to performance and quality improvement (see **Annex 5** for ICS Outcomes-Driven Performance and Quality Framework)

11.2.3. Commissioning and delivering effective services that avoid overuse of low value interventions (unwanted or not cost-effective) and underuse high value interventions (deemed cost effective but not taken up by those who would benefit) (see **Annex 6** for ICS Strategic Commissioning)

11.2.4. Allocating resources effectively across our system so that we achieve the overall best possible outcomes (see **Annex 7** for the ICS Financial Framework)

11.3. Our intent is to evolve and build on the work we do in partnership across our ICS operating model in order to achieve our system ambition and goals outlined in section 3 above. In addition to the areas above, this also includes:

11.3.1. Working in effective partnership with people and communities (see **Annex 8** for ICS Communications and Engagement Framework).

11.3.2. Organisational development as a system to ensure the right culture and environment for our people to thrive (see **Annex 9** for ICS Organisational Development Plan).

11.3.3. Clinical and care professional leadership embedded across our ICS focussing on improving outcomes for the people of BNSSG and delivering consistent clinical and care standards (see **Annex 10** for ICS Clinical and Care Professional Leadership Principles).

12. Managing Conflicts of Interest

12.1. It is recognised that potential conflicts of interest may arise from time to time given the scope and remit of the Healthier Together Partners. The Healthier Together Partners have individually made arrangements to manage any potential conflicts of interest to ensure that decisions will be taken and seen to be taken without being unduly influenced by external or private interest and do not (and do not risk appearing to) affect the integrity of their decision-making processes. The Partnership has agreed policies and procedures for the identification and management of conflicts of interest. All Healthier Together Partners will comply with their individual organisation's policies on conflicts of interest and gifts and hospitality.

12.2. The Healthier Together Partnership maintains registers of the interests of:

- a) Members of the Partnership Board
- b) Members of the Executive Group

12.3. The registers of interest are published on the Healthier Together Partnership website. The registers will be populated from the information held on individual Healthier Together Partnership organisation's registers.

12.4. Declaring Interests

12.4.1. Individuals should declare interests in line with their own organisation's policy for the management of conflicts of interest.

12.4.2. All parties to this MOU must ensure that those representing their organisation in any Healthier Together forum declare any interest that is relevant to the functions undertaken by the Healthier Together Partnership, on the form provided for this purpose.

12.5. Material Interest

12.5.1. It is the responsibility of the individual to determine if the interest is material and may impact their ability to participate in a discussion or decision. If an individual considers that their interest is a material interest then they should either abstain from the discussion and decision, or remove themselves from the meeting.

12.6. Interests Identified in Meetings

12.6.1. Any declarations of interest should be declared at the start of each meeting.

12.6.2. Where an interest is identified at a meeting the person concerned should immediately declare this to the chair of the meeting. Where a material

interest is identified the chair will guide the individual on the appropriate course of action.

13. Transition

13.1. During 2021/22, additional work will be completed to define the path to transition to the new governance structures from 1st April 2022, in line with the new Act and relevant statutory guidance, including a system development plan, implementation plan, and target operating model. This work will be co-developed with Healthier Together Partners, building on the principles outlined in this MOU .

14. Variations

14.1. This Memorandum, including the Annexes, may only be varied by written agreement of all the Healthier Together Partners.

15. Charges and liabilities

15.1. Except as otherwise provided, the Healthier Together Partners shall each bear their own costs and expenses incurred in complying with their obligations under this Memorandum.

15.2. Healthier Together Partners shall remain liable for any losses or liabilities incurred due to their own acts or omissions or those of anyone acting on their behalf (including employees, agents, and contractors).

16. Confidential Information

16.1. Each Healthier Together Partner shall keep in strict confidence all Confidential Information it receives from another Partner except to the extent that such Confidential Information is required by Law to be disclosed or is already in the public domain or comes into the public domain otherwise than through an unauthorised disclosure by a Partner. Each Partner shall use any Confidential Information received from another Partner solely for the purpose of complying with its obligations under this Memorandum in accordance with the Principles and Objectives and for no other purpose. No Partner shall use any Confidential Information received under this Memorandum for any other purpose including use for its own commercial gain in services outside of the Healthier Together Partnership or to inform any competitive bid without the express written permission of the disclosing Partner.

16.2. To the extent that any Confidential Information is covered or protected by legal privilege, then disclosing such Confidential Information to any Partner or otherwise permitting disclosure of such Confidential Information does not constitute a waiver of privilege or of any other rights which a Partner may have in respect of such Confidential Information.

16.3. The Parties agree to procure, as far as is reasonably practicable, that the terms of this Section (Confidential Information) are observed by any of their respective successors, assignees or transferees of respective businesses or interests or any part thereof as if they had been party to this Memorandum.

16.4. Nothing in this Section will affect any of the Healthier Together Partners' regulatory or statutory obligations, including but not limited to competition law.

16.5. The Parties acknowledge that each of them is subject to requirements in respect of the Freedom of Information Act 2000 (FOIA) and Environmental Information Regulations 2004 (EIRs). The Parties shall:

(a) provide all reasonable assistance and cooperation as reasonably requested by another Party to enable that other Party to comply with its obligations of confidentiality and to meet requirements under the FOIA and EIRs;

and

(b) where holding information on behalf of another Party, not respond directly to a Request For Information unless authorised in writing to do so by that other Party.

16.6. The Parties acknowledge that another Party may be required under the FOIA and EIRs to disclose Information (including Confidential Information) without consulting or obtaining consent from other Parties but each Party shall take reasonable steps to notify other Parties to the extent that it is permissible and reasonably practical for it to do so and will give due regard to any observations released from other Parties as to disclosure of information.

17. Signatures

17.1. This Memorandum may be signed in separate copies each of which will constitute the same document.

Healthier Together

Memorandum of Understanding – supporting annexes 1-10

October 2021

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Annex 1 – Definitions and Interpretation

The following words and phrases have the following meanings in this Memorandum:

- **BNSSG – Bristol, North Somerset and South Gloucestershire:** the geographic boundaries of our Partnership
- **Healthier Together Partners (or ‘Partners’)** – all 10 constituent organisations of the Healthier Together Partnership as currently defined in the ‘Parties’ section
- **HWB – Health and Wellbeing Board:** a statutory forum within Unitary Authority boundaries where political, clinical, professional and community leaders come together to improve the health and wellbeing of their local population and reduce health inequalities.
- **ICP – Integrated Care Partnership:** partnerships at the ‘place’ or ‘locality’ level within BNSSG, responsible for designing and delivering fully integrated preventive, proactive/anticipatory, and personalised health and care services focused on local people’s health and wellbeing.
- **ICS – Integrated Care System:** the broad term used nationally for our Healthier Together Partnership.
- **MOU – Memorandum of Understanding**

Annex 2 – Terms of Reference: Partnership Board

**HEALTHIER TOGETHER
PARTNERSHIP BOARD
Terms of Reference**

Version	Date	Author/Reviewer	Comment
0.1	05/04/2019	Gemma Self	Initial draft based upon West Yorkshire and Humber Partnership Board
0.2	09/04/2019	Gemma Self	Updates further to conversation with RW, JR and RK
0.3	09/04/2019	Gemma Self	Incorporating feedback from RW and JR
0.4	10/04/2019	Gemma Self	Incorporating feedback from RK
0.41 & 0.42	12/06/2019	Gemma Self	Incorporation of minor points from Boards & updated membership
1	25/06/2019	Gemma Self	Incorporation of recommendations as discussed at Partnership Board
1.1	June 2021	Moriah Nell	Updates to align with Healthier Together MOU

Background and Purpose

Context

1.1 Healthier Together – the Bristol, North Somerset and South Gloucestershire (BNSSG) Integrated Care System (ICS) was formed in 2016 as one of 44 Sustainability and Transformation Partnerships (STPs), in response to the *NHS Five Year Forward View*. It brings together 10 health and care organisations

- Avon and Wiltshire Mental Health Partnership NHS Trust
- Bristol City Council
- Bristol, North Somerset, South Gloucestershire Clinical Commissioning Group (CCG)
- North Bristol NHS Trust
- North Somerset Council
- OneCare
- Sirona care & health
- South Gloucestershire Council
- South Western Ambulance Service NHS Foundation Trust
- University Hospitals Bristol and Weston NHS Foundation Trust

1.2 The partnership is not a new organisation, but a new way of working to meet the diverse needs of our citizens and communities. NHS services have come together with local authorities, charities and community groups to agree how we can improve people's health and improve the quality of their health and care services.

1.3 The Partnership Board is a key element of the leadership and governance arrangements for Healthier Together (the BNSSG ICS).

Role and Responsibilities

Purpose

2.1 The Partnership Board provides the formal leadership for the Partnership. It is responsible for setting the strategic direction for the Partnership, and agreeing the vision, outcomes, and objectives. It provides leadership and oversight for all Partnership business and a forum to seek collective support for decision making to progress the delivery of the vision for the Partnership.

2.2 The Partnership Board will work by building agreement with leaders across Partner organisations to drive action around a shared vision and direction of travel.

2.3 This Board will be the forum where the Healthier Together Partners come together to seek collective support for decisions affecting the Partnership. This will include support for decisions required as the result of any shifts in authority for the system, performance monitoring or resource allocated to the system.

These Terms of Reference describe the scope, function and ways of working for the

Partnership Board.

2.4 The responsibilities of the Partnership Board are to:

- i. Agree the vision, outcomes and objectives for the Partnership
- ii. Provide leadership and oversight in our progress to becoming a mature Integrated Care System.
- iii. Consider recommendations from the Executive Group and seek collective support for decisions on:
 - The objectives, plans, and changes to priority work programmes and workstreams
 - System-level planning
 - The apportionment of transformation monies from national bodies
 - Priorities for investment of system-level capital funds across the Partnership
 - Improvement opportunities and challenges, including those highlighted through system oversight of quality and performance
- iv. Act as a leadership cohort, demonstrating what can be achieved with strong system leadership and increased freedoms and flexibilities
- v. Provide a mechanism for joint action and support for decision-making where issues are best tackled on a wider scale
- vi. Develop a shared understanding of the financial resources of NHS partners, maximise the system-wide efficiencies necessary to manage within this share of the total NHS budget and pursue opportunities for creation of a single system budget over time.
- vii. Support the development of Integrated Care Partnerships (ICPs) in each of our six Localities, which bring together primary care, community-based providers and local authorities, as well as voluntary and community groups, and interface with secondary care providers and commissioners to establish community-based systems of care at local level; and, support the development of Provider Collaboratives
- viii. Ensure that, through partnership working in each place and across BNSSG, there is a greater focus on population health management, integration between providers of services around individual people's needs, and a focus on care provided in primary and community settings
- ix. Oversee a mutual accountability framework which provides a single, consistent approach for assurance and accountability between partners
- x. Reach agreement in relation to recommendations made by other

governance groups within the Partnership on the need to take action for managing collective performance, resources and the totality of population health

- xi. Adopt an approach to collectively supporting decisions and resolving any disagreements, which follows the principle of subsidiarity and is in line with the shared values and behaviours of the Partnership
- xii. Appointment and review of the performance of the Independent Chair for the system. The Independent Chair is responsible for the appraisal of joint executive leads, on behalf of the partnership.

Accountability and reporting

3.2 The Partnership Board has a key role within the wider governance and accountability arrangements for the BNSSG partnership.

3.3 Constituent Boards remain accountable for all aspects of their business in line with statutory frameworks; the Partnership Board has no formal delegated authority. Whilst the current landscape of statutory functions is as it is constituent Partner Organisation Boards remain accountable for all aspects of their business in line with statutory frameworks. Sovereign boards may delegate a service, budget or items for decision making to the Partnership Board in line with their statutory frameworks. Any delegation would need to be agreed by all Boards. This will happen on a case by case basis.

3.4 All members have a responsibility to ensure regular two-way communication between their Sovereign Board and the Partnership Board. The minutes, and a summary of key messages will be submitted to all Partner organisations after each meeting.

Membership

Chair and Vice Chair arrangements

4.1 The Independent Chair of the Partnership Board will chair the meeting

4.2 A Vice Chair will be agreed from among the chairs of constituent bodies

Membership

4.3

Role	Numbers
Independent Chair of the STP	1

BNSSG NHS & CIC Chairs and Chief Executives	14
BNSSG Local Authority Chief Executives	3
BNSSG Health and Wellbeing Board Chairs	3
Chair of Clinical Cabinet	1
GPs representing each area (Bristol, North Somerset, South Gloucestershire)	3
Chair or Area Manager of Healthwatch	3
One representative from NHS England / Improvement	1
Director of Public Health	1

A list of members is set out at **Annex 1**.

Deputies

It is anticipated that Members would be expected to attend all meetings, if they are unable they may send a deputy by arrangement with the Chair.

Additional attendees

Additional attendees will routinely include:

- The Healthier Together Programme Director
- The Healthier Together Finance Lead

At the discretion of the Chair, additional representatives may be requested to attend meetings to participate in discussions or report on particular issues.

Quorum

The Partnership Board will be quorate when 7 out of the 10 Partner organisations are present, including representatives of 2 out of the 3 Local Authority partners.

If a consensus decision cannot be reached, then it may be referred to the dispute resolution procedure in the Memorandum of Understanding.

Conduct and Operation

The Partnership Board will meet in public, at least four times each year. An annual schedule of meetings will be published by the secretariat.

Extraordinary meetings may be called for a specific purpose at the discretion of the Chair. A minimum of seven working days' notice will be given when calling an extraordinary meeting.

The Partnership Board may convene in private committee at the Chair and Members' discretion.

The agenda and supporting papers will be sent to Members and attendees and be made available to the public via the Healthier Together website no less than five working days before the meeting. Urgent papers will be permitted in exceptional circumstances at the discretion of the Chair.

Draft minutes will be issued within 10 working days of each meeting and ratified at the following meeting.

Secretariat

The secretariat function for the Partnership Board will be provided by the Healthier Together Office. A member of the team will be responsible for arranging meetings, recording minutes and actions from each meeting, preparing agendas, and agreeing these with the Chair.

Review

These terms of reference and the membership of the Partnership Board will be reviewed annually by Board partners. Any changes will be approved by the Board for decision by constituent agency decision making bodies. Further reviews will be undertaken in response to any material developments or changes in the wider governance arrangements of the partnership.



Healthier Together Partnership Board Terms of Reference Annex One: Members

Name	Job Title	Organisation	Healthier Together Role
Jeff Farrar	Independent Chair	Healthier Together	Independent Chair
Charlotte Hitchings	Chair	Avon & Wiltshire Partnership NHS Trust	Chairs Reference Group Member
Jonathan Hayes	Clinical Chair	BNSSG CCG	Chairs Reference Group Member
Michele Romaine	Chair	North Bristol Trust	Chairs Reference Group Member
Simon Bradley	Chair	One Care	Chairs Reference Group Member
Amanda Cheesley	Chair	Sirona Care and Health	Chairs Reference Group Member
Cllr Ben Stokes	Chair	South Gloucestershire Health & Wellbeing Board	Chairs Reference Group Member
Cllr Helen Holland	Chair	Bristol Health & Wellbeing Board	Chairs Reference Group Member
Cllr Mike Bell	Chair	North Somerset Deputy Leader, Health and Wellbeing Board Chair and Executive Member for Adult Social Care and Health	Chairs Reference Group Member
Jayne Mee	Chair	University Hospitals Bristol NHS FT	Chairs Reference Group Member
Dominic Hardisty	Chief Executive	Avon & Wiltshire Partnership NHS Trust	Executive Group Member, Co-Sponsor of Mental Health programme
Mike Jackson	Chief Executive	Bristol City Council	Executive Group Member, Co-Sponsor for Integrated Care Partnerships Programme
Julia Ross	Chief Executive	BNSSG CCG	Executive Group Member, ICS Exec Lead, Co-chair of Integrated Care Steering Group, Sponsor for Integrated Care System Development

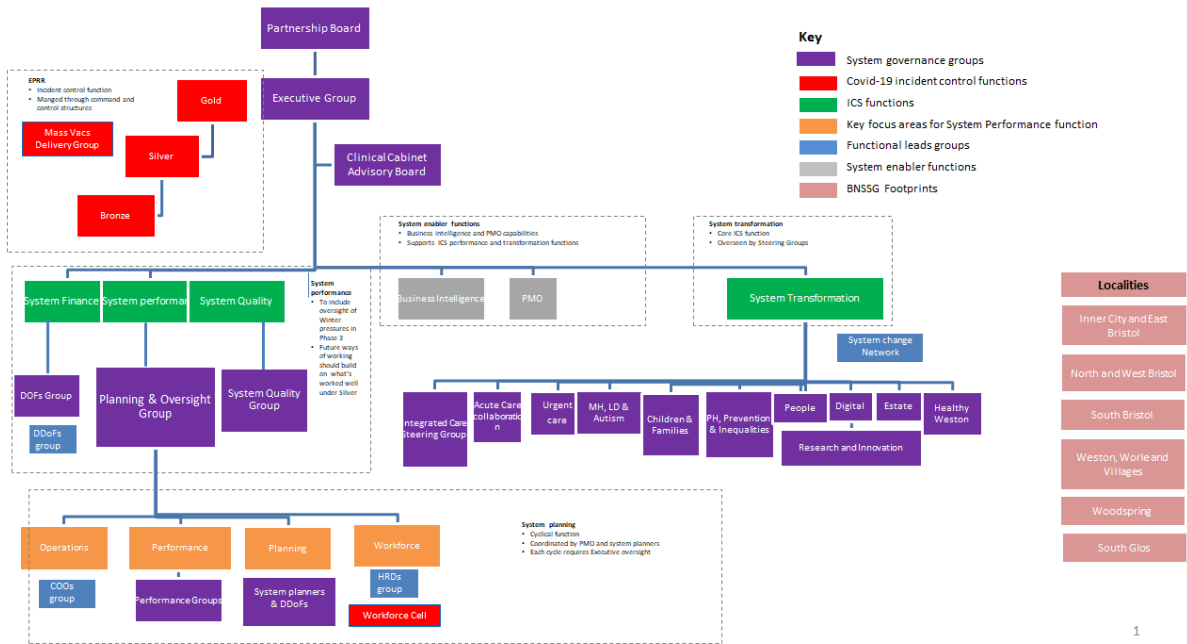


Name	Job Title	Organisation	Healthier Together Role
Maria Kane	Chief Executive	North Bristol NHS Trust	Executive Group Member, Sponsor for Acute Care Collaboration and Urgent Care Programmes
Jo Walker	Chief Executive	North Somerset Council	Executive Group Member, Co-Sponsor for Mental Health Programme
Ruth Taylor	Chief Executive	One Care	Executive Group Member, Sponsor for Primary Care Resilience & Transformation Programme
Janet Rowse	Chief Executive	Sirona Care and Health	Executive Group Member, Co-Chair of Integrated Care Steering Group, Sponsor for People and Children and Families programmes
Dave Perry	Chief Executive	South Gloucestershire Council	Executive Group Member, Sponsor for Population Health, Prevention and Inequalities
Jennifer Winslade	Executive Director of Nursing and Quality	SWAST	Executive Group Member
Robert Woolley	Chief Executive	University Hospitals Bristol and Weston NHS FT	Executive Group Member, ICS Exec Lead, Chair of Bristol Health Partners, Sponsor for Digital Programme
Peter Brindle	Medical Director	BNSSG CCG	Chair, Clinical Cabinet
<i>To be confirmed by Localities</i>			Locality Chair
<i>To be confirmed by Localities</i>			Locality Chair
<i>To be confirmed by Localities</i>			Locality Chair
Georgie Bigg	Chair of Trustees	Healthwatch BNSSG	
Vicky Marriott	Area Manager	Healthwatch BNSSG	
Sara Blackmore	Director of	South Gloucestershire	Executive Group



Name	Job Title	Organisation	Healthier Together Role
	Public Health	Council	Member, Sponsor for Prevention, SRO for Population Health Management
Sue Doheny	Regional Chief Nurse	NHS England / Improvement Regional Office	

Healthier Together Partnership Board Terms of Reference Annex Two: Governance Structure



Annex 3 – Terms of Reference: Executive Group

HEALTHIER TOGETHER EXECUTIVE GROUP Terms of Reference

1 Purpose

- 1.1 To oversee the business of the Bristol, North Somerset and South Gloucestershire (BNSSG) ICS on behalf of the ICS Partnership Board.
- 1.2 To oversee the delivery of the ICS vision and objectives, providing support for system-wide decisions, providing guidance and support to the ICS workstreams & programmes, and securing the resources to deliver the BNSSG ICS priorities. To seek assurance for the ICS programmes and projects to ensure achievement against agreed deliverables and outcomes.
- 1.3 The group shall be the key leadership forum for in-depth discussion of key strategic system issues

2 Role and Responsibilities

- 2.1 The Executives Group's responsibilities are:
 - 2.1.1 To provide the overall programme "Executive Group" function for the ICS portfolio
 - 2.1.2 To provide strategic decision making guidance to the Partnership Board and steering groups on direction, pace, resourcing, risk management and variance against plan / benefit outcomes
 - 2.1.3 To supervise the development of a set of system wide strategies which are fit to deliver the ICS objectives, for approval by the Partnership Board
 - 2.1.4 To approve or delegate authority to Steering Groups to define the Workstream boundaries in terms of time, cost, scope and quality
 - 2.1.5 To agree the overall system configuration, design and collaborative planning processes (including delegated authority) and agree changes as this develops. The Executive Group will make recommendations to the Partnership Board, Individual Governing Bodies, and regulators, as appropriate.
 - 2.1.6 To agree the level of programme management support for each programme
 - 2.1.7 To review and agree the ICS programme and PMO budget, for approval by the Partnership Board
 - 2.1.8 To recommend decisions as appropriate to the Partnership Board, NHS England and NHS Improvement
 - 2.1.9 To provide the leadership and co-ordination for workstreams / programmes requiring a system response.
 - 2.1.10 To receive assurances from its Workstreams, Design Authority & appropriate System Assurance Groups
 - 2.1.11 To monitor delivery of the BNSSG system plan at the strategic level and agree corrective measures & proposals from Workstreams and working groups
 - 2.1.12 To delegate tasks to Workstreams

2.1.13 To approve the Terms of Reference for other system groups

3 Accountability and reporting

- 3.1 Formal minutes of meetings will be recorded; and will normally be confirmed as accurate at the next meeting of the Executive Group.
- 3.2 The Executive Group will report to the Partnership Board on the performance of its duties as reflected within these Terms of Reference.

4 Membership and attendance

Membership

- 4.1 The membership of the Executive Group shall include:
 - ICS Lead Chief Executives(s) (Chair)
 - BNSSG NHS & CIC Chief Executives
 - BNSSG Local Authority Chief Executives
 - ICS Programme Director
- 4.2 Members may nominate a deputy. Where the member represents a group, the deputy must come from the same group.

Quorum

- 4.3 The quorum necessary for the transaction of business will be three quarters of the membership present at the meeting, one of whom must be the ICS Senior Responsible Officer or Programme Director.

Attendance

- 4.4 Meetings of the Executive Group shall normally be attended by:
 - PMO Administrator (minutes)
- 4.5 The Executive Group may invite other persons to attend a meeting so as to assist in deliberations. The Chair shall be notified of this prior to the meeting.

5 Conduct and Operation

- 5.1 The Executive Group shall be supported administratively by the Healthier Together Programme Management Office, whose duties in this respect will include:
 - Agreement of agendas with the Chair and attendees; and collation of papers
 - Taking the minutes
 - Keeping a record of matters arising and issues to be carried forward within an action log.
 - Advising the Group on pertinent issues/areas

- Provision of a highlight report of the key business undertaken to the governing bodies or boards of the partner organisations following each meeting.

Frequency

5.2 A minimum of bi-monthly two to three hour meetings, held in alternating weeks to the Partnership Board.

Notice of meetings

- 5.3 An agenda of items to be discussed will be forwarded to each member of the Executive Group and any other person required to attend, no later than five working days before the date of the meeting. Supporting papers will be sent to members and to other attendees as appropriate, at the same time.
- 5.4 An annual schedule of meetings will be produced and circulated to all members.
- 5.5 Emergency meetings can be arranged if this is approved and evidenced as such, by the majority of the members of the Executive Group.

Annex 4 – ICS Outcomes Framework

1. Purpose

The aim of the Healthier Together ICS Population Health Outcomes Framework is to articulate the change we, as Healthier Together Partners, are aiming to achieve for our population and to provide a framework to hold members of the partnership to account for delivery of the outcomes. The Outcomes Framework will enable the system to make a radical culture shift towards prevention and also provides a platform to oversee key outcomes and transformation metrics across the Partnership using peer ICS and national benchmarks.

2. Development of the framework

The Healthier Together Five Year Plan 2019-2024 sets out strategic outcomes and high level goals which were collaboratively developed based on population data and insight.

Healthier Together system ambition

“Our ambition is to build an integrated health and care system where the community becomes the default setting of care, 24/7, where high quality hospital services are used only when needed, and where people can maximise their health, independence and be active in their own wellbeing. We want to increase the number of years people in BNSSG live in good health; reduce inequality in health outcomes between social groups; and help to create communities that are healthy, safe and positive places to live. In redesigning our system, we also want to make it easier for staff to work productively together and develop a healthy and fulfilled workforce.”

Healthier Together stated in our five year plan that our system goals are to:

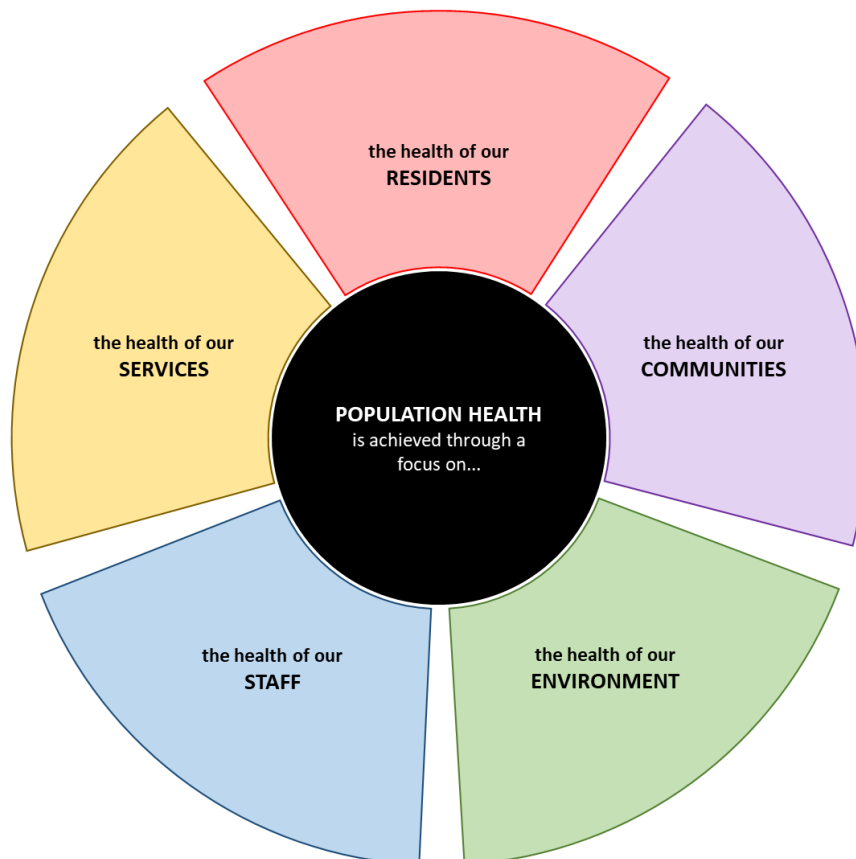
- Increase the number of years people in BNSSG live in good health
- Reduce the inequality in how many years people in BNSSG live in good health, particularly improving healthy life expectancy for those with the poorest outcomes
- Become a place where health and care services fit with people’s lives and makes sense to the people engaging with it
- Make it easy for people working in health and care to work with each other
- Our workforce is healthy and fulfilled
- Reduce our adverse environmental impact in energy, travel, waste, water, food, biodiversity and land use
- Our communities are healthy, safe and positive places to live

These system goals have been taken into account when developing the Outcomes Framework. As well as setting clear ambitions as a system to improve the population health of the residents we serve and reduce inequalities, the aim is also to highlight areas where action should be taken, deploy improvement support where required and also celebrate success in health and care improvements.

The outcomes framework has been developed by the Healthier Together Population Health, Prevention and Inequalities Steering Group in partnership with stakeholders across the system. Engagement was undertaken between March and May on the **strategic outcomes**. This included presentations at Healthier Together Steering Groups and discussions with Programme Leads; presentations and discussion with individual BNSSG Health and Wellbeing Boards as well as at the joint BNSSG Health and Wellbeing Board; and presentations at Clinical Cabinet and Healthier Together Executive as well as with the Population Health, Prevention and Inequalities Steering Group.

For the Outcomes Framework to be a success and truly have impact for our population, all Healthier Together partners will need to agree common datasets and dashboards for system improvement and transformation management. This is a key next step in our system development.

Figure 1: Our framework to deliver population health



3. Our Healthier Together ICS Outcomes Framework

The health of our population will be improved through a focus on...	Our Outcomes
The health of our RESIDENTS	<ol style="list-style-type: none"> 1. We will increase population healthy life expectancy across BNSSG and narrow the gap between different population groups 2. We will reduce early deaths from preventable causes - cardiovascular and respiratory conditions, liver disease and cancers - in the communities which currently have the poorest outcomes 3. We will lower the burden of infectious disease in all population groups 4. We will reduce the proportion of people in BNSSG who smoke 5. We will improve self-reported mental wellbeing 6. We will increase the proportion of children who achieve a good level of education attainment
The health of our SERVICES	<ol style="list-style-type: none"> 1. We will increase the proportion of our residents who report that they are able to find information about health and care services easily 2. We will increase the proportion of our residents who report that they are able to access the services they need, when they need it 3. We will increase the proportion of our residents who report that their health and care is delivered through joined up services
The health of our STAFF	<ol style="list-style-type: none"> 1. We will increase the proportion of our health and care staff who report being able to deliver high value care 2. We will reduce sickness absence rates across all our ICS partner organisations 3. We will improve self-reported health and wellbeing amongst our staff 4. We will improve Equality and Diversity workforce measures in all ICS Partner organisations
The health of our COMMUNITIES	<ol style="list-style-type: none"> 1. We will reduce the number and proportion of people living in fuel poverty 2. We will reduce the number of people living in poor housing conditions 3. We will reduce levels of domestic violence and abuse 4. We will reduce levels of child poverty 5. We will increase the number of BNSSG residents describing their community as a healthy, safe and positive place to live
The health and wellbeing of our ENVIRONMENT	<ol style="list-style-type: none"> 1. We will increase the proportion of energy used by the estates of our ICS partner organisations from renewable sources 2. We will reduce the total carbon footprint generated through travel of patients using our services 3. We will increase use of active travel, public transport and other sustainable transport by our staff, service users and communities



Annex 5 – ICS Outcomes-Driven Performance and Quality Framework

1. Introduction and background

- 1.1. Through the development of our BNSSG ICS, we agree on the need for safe, sustainable and high performing health and care services to support our population.
- 1.2. We expect our ICS to be increasingly involved the oversight and assurance of these services across the system, including of constituent organisations, place-based partnerships, and provider collaboratives.
- 1.3. Our ambition is to establish a performance and quality approach that addresses system oversight and quality assurance requirements, and extends beyond to continuously improve and achieve our target outcomes for the people we serve.

2. Our shared vision for outcomes-driven performance and quality

- 2.1. To achieve our Healthier Together vision and goals (see MOU section 3), we have developed a set of population-level outcomes measures that can be monitored in order to assess the progress we are making in achieving our system goals (see appendix 4: ICS outcomes framework).
- 2.2. We have also established system-wide forums for managing performance and quality:
 - 2.2.1. The Planning and Oversight Group oversees matters relating to the operational, planning, finance and performance aspects of the ICS
 - 2.2.2. The System Quality Group is aimed at system-wide sharing of early intelligence and strategic developments.
- 2.3. We believe the system goals and outcomes should drive what we focus on with respect to our service quality and system performance. In considering what a high quality, high performing, outcomes-driven integrated care system looks like for the people we serve, we have agreed in principle to the following paradigm shifts in our system performance and quality:
 - 2.3.1. **Person-centred:** we shift our thinking to engage, listen to, and consider the impact and experience of the people we serve
 - 2.3.2. **Outcomes-driven:** the outcomes we want to achieve for the people of BNSSG drives how we deliver and measure success
 - 2.3.3. **Proactively improvement-driven:** we anticipate potential issues and dedicate clinical and professional resources across the system to investigate pressurized pathways, applying good quality improvement methodology and investigating the whole pathway by default
 - 2.3.4. **Self-regulating:** we take a 'system first'/'system-by-default' approach to escalation and regulatory intervention



- 2.3.5. **Collective responsibility:** we connect constituent organisation's performance to system performance and take responsibility for addressing risks and issues together
- 2.3.6. **Learning culture and peer review:** we provide ongoing transparency and sharing to check and challenge one-another and drive excellence and improvement

3. Taking this forward together

- 3.1. Focusing on outcomes-driven performance and quality improvement is a complex challenge, which will require adaptive management and evolve over time.
- 3.2. We will build on the system relationships and infrastructure established to-date to design an optimal architecture in line with these paradigm shifts, and evolve our ways of working together over time.

Annex 6 – ICS Strategic Commissioning

1. Introduction

1.1. What is Value?

- 1.1.1. Value Based Health and Care, also referred to simply as *Value* is an international approach to improving our health and care systems.

1.2. What does Value mean to BNSSG?

- 1.2.1. Meeting the goals of Population Health; improving physical and mental health outcomes, promoting wellbeing and reducing health inequalities, for the whole population and not just those who present to services through a focus on achieving the outcomes that matter to people and making best use of our common resources.
- 1.2.2. The Value approach underpins the development of our integrated care system (ICS) in service of the four fundamental purposes of an ICS:
- improving population health and healthcare
 - tackling unequal outcomes and access
 - enhancing productivity and value for money
 - helping the NHS to support broader social and economic development

1.3. Culture

- 1.3.1. Culture is arguably the most important factor for improving value, with 'stewardship' proposed as the dominant force, where we take collective care for our common resources.

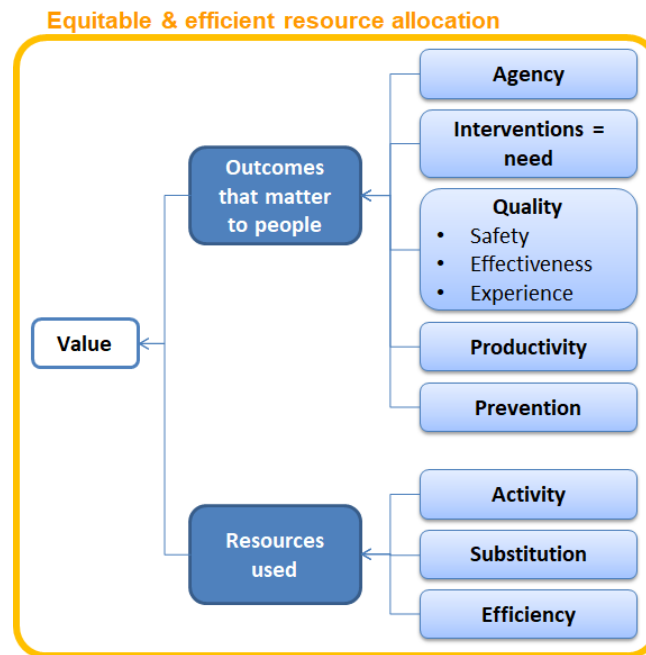
1.4. Value Objectives

- 1.4.1. Our ICS Value programme has three high level objectives
- 1) Allocating resources efficiently across our system so that we achieve the overall best possible outcomes
 - 2) Identifying and improving the outcomes and experience that matter to people
 - 3) Commissioning and delivering effective services that avoiding overuse of low value interventions (unwanted or not cost-effective) and underuse of high value interventions (deemed cost-effective but not taken up by those who would benefit)

2. Our Value Improvement Framework

- 2.1. Our Value improvement framework (see Figure 1) has been developed with stakeholders including clinicians, public health specialists and commissioners as a way to start developing a common language and common approach to describing, analysing and improving it.

Figure 1: BNSSG Value Improvement Framework



2.2. Our Value Improvement Framework explained

- 2.2.1. **The wrapper:** decisions on where to use resources (including people, money) should be based on a balanced view of equity (what is fair) and allocative efficiency (what service mix will lead to the best overall outcomes for the resources available)
- 2.2.2. **Value:** as defined above, can be improved by improving outcomes that matter to people and/or reducing the resources needed to achieve those outcomes
- 2.2.3. **Outcomes that matter to people** can be improved by
 - 2.2.3.1.1. Optimising individual agency, that is “the ability to take action or to choose what action to take” to achieve what matters to them. An important measure to consider here is the Patient Activation Measure (PAM). Important interventions to consider are Care and Support Planning (CSP) and Shared Decision-Making (SDM)
 - 2.2.3.1.2. Matching evidence-informed, cost-effective interventions to need is critical to improving outcomes at a population level. An important area to consider is current unmet need, which is that where someone would like to improve their health AND has the potential to benefit from something currently provided that they are not currently benefiting from
 - 2.2.3.1.3. Improving the quality of current services, which could be one or all three of the elements of quality; safety, effectiveness (whether the intervention does what it is supposed to) and experience. In some contexts the experience of care may be considered an outcome in its own right
 - 2.2.3.1.4. Improving productivity means increasing the output/activity from a particular resource or set of resources, such as the number of operations per hour of surgeon-time. Productivity should not be pursued to the detriment of effectiveness and could have a

negative effect on efficiency, although this may be considered worth the trade-off

2.2.3.1.5. Prevention of poor health is generally one of the best ways to maintain health and promote wellbeing

2.2.4. **Resources used** can be improved by

2.2.4.1.1. Reducing activity and ideally **reducing low value activity**, which is activity that is either unwanted by a person (related to improving agency) or unwarranted such as an intervention that has been shown to be of no benefit, e.g. using mirtazapine with other antidepressants for treatment-resistant depression. A significant reduction in activity could also be achieved by addressing failure demand, which is “demand caused by a failure to do something, or to do something right, for a service user”, which results in the service user needing to make another demand on the service.

2.2.4.1.2. The **substitution** of products or services that are less resource intense but give similar benefit, such as non-medical interventions for mild-moderate depression, or the use of ‘off-patent’ pharmaceuticals

2.2.4.1.3. Improving **efficiency**, which is when an output such as GP severe mental illness health checks is being achieved at the lowest possible average total costs. This is related to, but not the same as, productivity.

3. The Tragedy of the Commons

3.1. This concept comes from grazing sheep on common land. If one person adds one sheep to their flock they gain a lot, but the impact on everyone else is minimal. However, everyone then does it and so the commons is over-grazed and the tragedy is that everyone loses out. In a health and care system, there are many examples of where a part of the whole may slightly overreach and deplete our collective pot, resulting in a failure to deliver true Value-Based Health and Care.

3.2. Elinor Ostrom identified 10 principles to solve the problem through building the commons; she was the first woman to win the Nobel Prize for her work on this, in 2009.

Figure 3: Elinor Ostrom’s principles for managing a commons

Leading the commons
1. Commons need leadership with moral authority
Defining the commons
2. Commons need clear boundaries
3. Commons need clear aims
Organising the commons
4. Commons need the right to organise themselves
5. Everyone who makes use of the resources should have a role in decision making
6. Commons often work within nested networks
Managing the commons
7. Rules for resource use should match local context
8. The use of resources and adherence to rules should be monitored
9. Failure to meet the rules leads to graduated sanctions
10. Unresolved conflicts need an easy means of resolution

3.3. These principles can help guide our approach in achieving Value for our population as a system. We have a great opportunity to build a culture of stewardship of our common resources towards a collective set of aims through the ICS – building the commons.

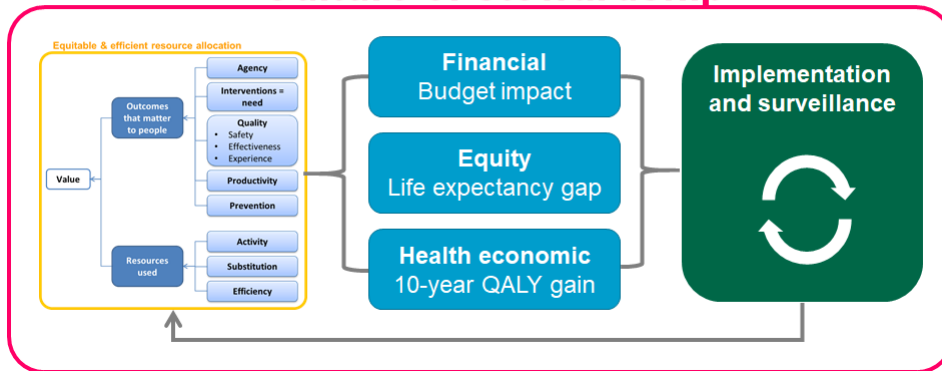
4. Our Value Improvement Framework in context

4.1. The Value Improvement Framework should be used as a starting point for understanding our current services and system or describing how a proposed change might affect the overall Value of our system. It does not however lead to a decision on how decisions should be made about how resources are allocated. Our ICS must make decisions on investment and disinvestment, including for single and multi-option scenarios, for example a decision on whether to invest in a whole service reconfiguration or in a new device or medical product.

4.2. The Value Improvement Framework provides a structured way to think about the case being made, and then needs to follow a process in order to arrive at a decision, leveraging the Ostrom Principles. A model for how this could work in Strategic Commissioning is presented in Figure 2.

Figure 2: Strategic Commissioning Cycle

Culture of stewardship



4.3. In this model for Strategic Commissioning, proposed investment or disinvestment decisions, articulated according to the language and structure of the improvement framework are considered according to their financial (in-year cost-implication), equity (impact on health inequalities) and health economic (gain in utility for the resources invested - noting this could be cost saving) consequences. The resulting impacts of the decision are then continuously surveyed so that an assessment of real-world value being delivered can be made, allowing for course correction as needed.

Annex 7 – ICS Financial Framework

Contents

1. [Overview & Purpose](#)
 - a) Healthier Together Joint Financial Principles
 - b) A focus on 'Value'
 - c) Triple Value Healthcare Model
 2. [Understanding the cost of health & care services to enable value based decisions](#)
 3. [Process for revenue & capital resource allocation](#)
 - a) Developing a Resource Allocation Framework
 - b) Resource Allocation Principles
 - c) Allocation of Service Development Funding (SDF)
 - d) Allocation of ICS Capital
 4. [Approach to joint financial planning](#)
 5. Management of risk
 6. [Contracting principles & payment mechanisms](#)
 7. [Finance staff training & development](#)
- [APPENDIX 1 – Applicability of Financial Framework Elements](#)

1. Overview & Purpose

- 1.1 The fundamental purpose in creating our joint financial framework is to establish and define a set of principles and processes that help establish the collaborative ways of working, a culture of financial transparency, and the governance arrangements that support delivery of the ICS vision, and improve the health outcomes for the population of BNSSG in a financially sustainable way.
- 1.2 All Healthier Together Partners are ready to work together and support each other when required. The Partners are committed to working individually and in collaboration with others to deliver the changes required to achieve financial sustainability and live within our resources.
- 1.3 The financial framework will:
- describe the **collaborative behaviours** expected of the parties
 - enable a focus on **value** for the system
 - require **open book accounting** and **financial transparency** between the parties
 - describe **processes for reaching consensus and resolving disputes** about how best to use financial and other resources available to the ICS
 - set out a mechanism for management of the aggregate financial position of the parties to achieve and **maintain the system financial improvement trajectory for the ICS**.
- 1.4 The financial framework is structured to cover the following seven domains. Annex 1 outlines the applicability of these Financial Framework elements to each Healthier Together Partner.

Financial Framework Domains	Document Section
1. Understanding the cost of health & care services to enable value based decisions	Section 2
2. Process for revenue & capital resource allocation	Section 3
3. Approach to joint financial planning	Section 4
4. Management of risk	Section 5
5. Contracting principles & payment mechanisms	Section 6
6. System reporting, financial management & control mechanisms	Section 7
7. Finance staff training & development	Section 8

a) Healthier Together Joint Financial Principles

- 1.5 In support of the above, Healthier Together Directors of Finance have agreed the following set of over-arching principles that will help guide decision making and that provide a foundation for the assessment of financial issues, and when proposing actions to manage the associated risks and opportunities;
- We will act in the best interests of our patients and population; and will create financial flows and incentives to promote this

- Our decisions will be based on the costs and benefits at a system level; and we will resolve the impact of that for organisations
- We will maximise new & existing resources into our system
- We will minimise the flow of resources out of our system
- We will cease activities that shift only financial problems between organisations within the system
- We will minimise the cost of growth and other new activities
- We will commit system resources to our highest system priorities (funding, people etc...)
- We will be open and transparent regarding our financial risk & opportunities
- The system will review and agree the growth levels across the system
- We will strive to be the best finance function to support our system priorities

b) A focus on 'Value'

1.6 To Healthier Together Partner organisations, Value Based Health and Care (VBHC) is an approach to meeting the aims of Population Health – improving physical and mental health outcomes, promoting wellbeing and reduce health inequalities for our whole population – through a focus on outcomes and experience that matter to people and making best use of resources. VBHC has three major goals:

- Allocating resources efficiently across our system so that we achieve the overall best possible outcomes
- Identifying and improving the outcomes and experience that matter to people
- Commissioning and delivering effective services that avoiding overuse of low value interventions (unwanted or not cost-effective) and underuse of high value interventions (deemed cost-effective, but not taken up by those who would benefit)

1.7 Professor Michael Porter and colleagues have defined Value for individuals using the following equation, but the concept of Value can also be applied to pathways, services and systems.

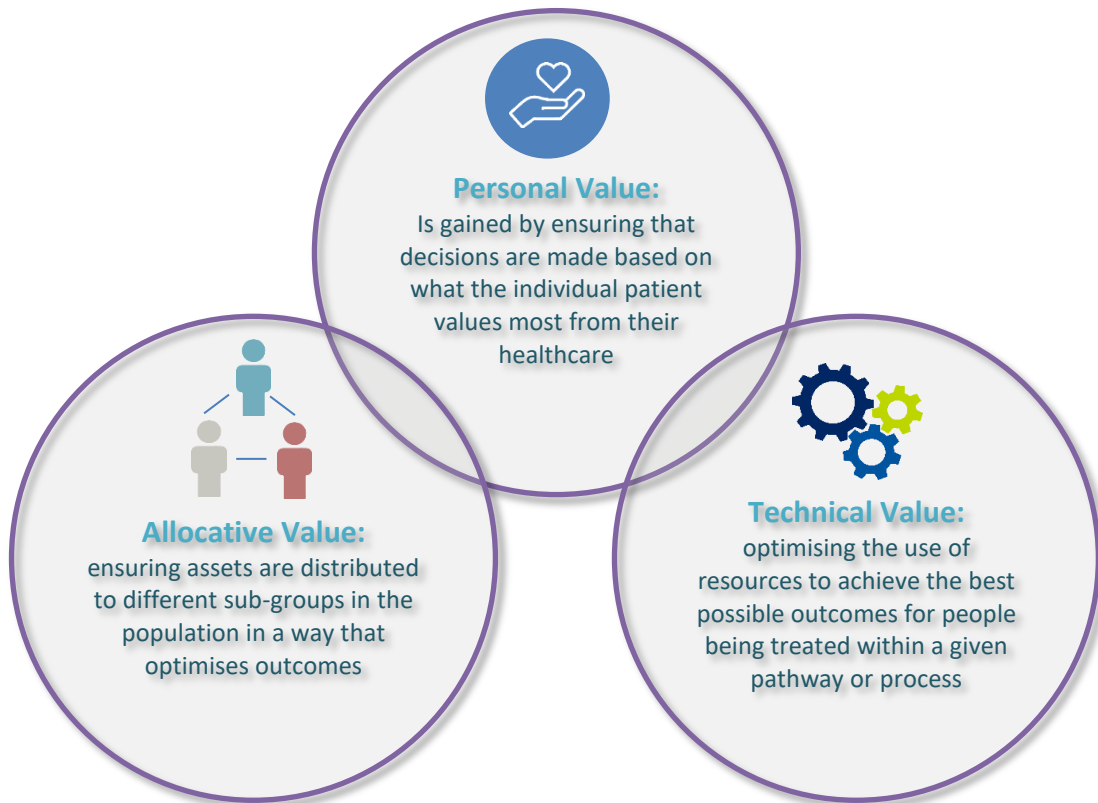
$$\text{Value} = \frac{\text{The set of outcomes that matter for the condition}}{\text{The total costs of delivering these outcomes over the full care cycle}}$$

1.8 Sir Muir Gray's "triple value healthcare model" which has been implemented in the NHS England RightCare programme to face the challenges of sustainability, equity and innovation in universal healthcare systems, addresses value in the three following levels:

- Personal Value
- Allocative Value
- Technical Value

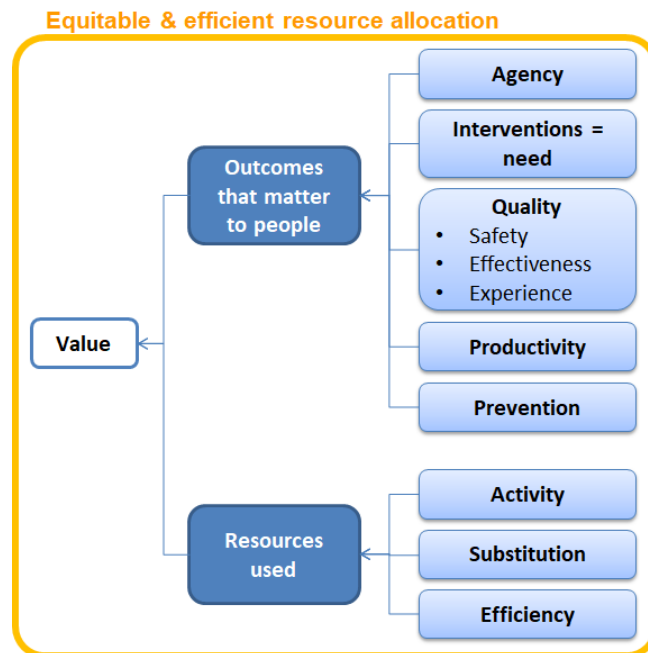
c) Triple Value Healthcare Model:

Figure 1: Triple Value Model



- 1.9 It is the system aspiration to use Value Based Health and Care to be the primary method by which we prioritise resources to improve population health and healthcare. When using the Value Based Health and Care framework it is important to recognise that other drivers and factors may need to be considered when making a decision to allocate resources, for example, reducing health inequalities, meeting NHS performance targets & objectives, meeting CQC improvement objectives, managing within a fixed budget. Careful consideration needs to be taken at the outset about how to factor these other variables into decision making processes.

Figure 2: BNSSG Value Improvement Framework



2. Understanding the cost of health & care services to enable value based decisions

- 2.1 Partners are committed to using linked data to understand costs and demand pressures as a system, rather than as a number of discrete organisations, and using a Population Health Management (PHM) approach to develop an understanding of system cost across clinical pathways to identify system wide productivity opportunities, and enable better decision making.
- 2.2 The Population Health Management Finance Group will lead on developing a consistent, transparent approach to coding, counting and costing activity, allowing costing information to be analysed alongside data on needs and outcomes, to support continuous improvements in efficiency and the effectiveness of resource utilisation.

3. Process for revenue & capital resource allocation

a) Developing a Resource Allocation Framework

Aims

- To describe an evidence-based methodology to enable collective resource decisions by the Healthier Together Partners.
- The resource allocation framework needs to support delivery of the vision and goals of our ICS as described in the Outcomes Framework.
- The resource allocation framework should transparently support the delivery of improved value for the people of BNSSG. It will also need to take into account national priorities and fulfil any agreed conditions placed on particular funds e.g. Service Development Funding.

b) Resource Allocation Principles

- We have to live within the resources allocated for the population of BNSSG and the wider population we serve
- We will maximise new & existing resources into our system acting as advocates for our population
- We will minimise the flow of resources out of our system
- We will minimise the cost of growth and other new activities
- We have to plan to achieve the national rules as set out in the operational planning guidance e.g. Mental Health Investment standard
- We need to identify and allow for recognised system pre-commitments e.g. stroke business case
- We will use existing Governance structures to support decision making
- Resource allocation will be a function of the ICS but will be guided by Integrated Care Partnership (ICP) leaders.
- Revenue and capital resource will be seen as linked, not separate.
- Resource allocation will seek to reduce identified risks
- We will recognise the fixed costs in the system

c) Allocation of Service Development Funding (SDF)

3.1 The Partners intend that any transformation funds made available to the Partnership will be delegated to Healthier Together Steering Groups. Funds will be allocated based on alignment to national priority areas.

3.2 In 2020/21, the system has had confirmation of a total SDF allocation (H1) of £15.3m, with a further indicative allocation in H2 of £13.6m (£29.4m total). Funding has been delegated to Healthier Together steering groups as set out in the table below:

Healthier Together Steering Group	Confirmed Allocation Q1	Confirmed Allocation Q2	Conditional Allocation Q2	H1 Allocation	H2 Indicative Allocation	Total H1 & H2 SDF 2021/22
HT Executive	£115			£115	£115	£229
Acute Care Collaboration	£4,029			£4,029	£4,029	£8,057
Integrated Care	£2,983	£2,021	£324	£5,328	£3,348	£8,675
Urgent Care	£141			£141	£0	£141
MH, LD and Autism	£5,225			£5,225	£5,655	£11,310
Children & Families	£467			£467	£467	£933
Total	£12,959	£2,021	£324	£15,304	£13,612	£29,346

d) Allocation of ICS Capital

<u>Gross capital expenditure</u>	AWP	NBT	UHBW	System
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Property, land and buildings	£2,260	£10,067	£64,861	£77,188
Plant and equipment	£100	£6,100	£12,976	£19,176
IT	£500	£5,492	£6,906	£12,898
Other	£3,540	£0	£0	£3,540
Gross capital expenditure	£6,400	£21,659	£84,743	£112,802
Disposals/other deductions	£0		£0	£0
Charge after additions/deductions	£6,400	£21,659	£84,743	£112,802
Less donations and grants	£0	-£600	-£18,057	-£18,657
Less PFI capital (IFRIC12)	-£921	-£567	£0	-£1,488
Plus PFI residual interest	£820	£9,240	£0	£10,060
Purchase of financial assets	£0	£0	£0	£0
Sale of financial assets	£0	£0	£0	£0
Prior period adjustments (PPAs)	£0	£0	£0	£0
Total Planned Capital Expenditure	£6,299	£29,732	£66,686	£102,717

Funding sources				
Self-Financed - Depreciation less PFI/Finance Lease payments	£3,802	£18,341	£32,042	£54,185
Self-Financed - other internal capital cash	£0	-£825	£27,436	£26,611
Capital loan repayments (net of Capital Refinancing PDC)	£0	£0	-£5,834	-£5,834
Sub total: Net Internal Sources	£3,802	£17,516	£53,644	£74,962
Interim Support Capital PDC - To Be Approved	£0	£2,592	£2,500	£5,092
Sub total: Loan Sources	£0	£2,592	£2,500	£5,092
Diagnostics (National)	£0	£384	£649	£1,033
Sub total: Total National Sources	£0	£384	£649	£1,033
Total Charge against Capital Allocation	£3,802	£20,492	£56,793	£81,087
Provider Digitisation - (HSLI) Health System Led Investment	£0	£0	£2,500	£2,500
STP Wave 3	£1,677	£0	£0	£1,677
Urgent & Emergency Care Capital	£0	£0	£7,393	£7,393
Residual Interest	£820	£9,240	£0	£10,060
Total Funding Sources	£6,299	£29,732	£66,686	£102,717

4. Approach to joint financial planning

- 4.1 Clarity of underlying position. Due to the interim national finance regime, the underlying position of organisations (and in some cases, associated financial recovery) is no longer clear, and we will undertake and share analysis to establish the level of financial challenge faced by the system in returning to system financial improvement trajectories set out in the Long-Term Plan.

- 4.2 Subject to compliance with confidentiality and legal requirements around competition, sensitive information and information security, the Partners agree to adopt an open-book approach to financial planning and identification of financial risk, leading to the agreement of fully aligned operational plans.
- 4.3 Partners will be convened at the outset of all planning processes to ensure triangulated plans covering revenue, capital, activity and workforce are underpinned by common financial planning assumptions on inflation, growth, income and expenditure between providers and commissioners (including NHS England Specialist & Direct Commissioning), and on other issues that have a material impact on the availability of system financial incentives (e.g. Financial Recovery Funds).
- 4.4 NHS Partner Plans will be peer reviewed to ensure consistent assumptions and interpretation of financial policies and guidance which affect all partner organisations, for example, impact of national pay award funding.
- 4.5 The approach to planning will identify an overall system wide efficiency target for the system, and partners will work together to identify an appropriate balance of collaborative efficiency schemes and individual plans.
- 4.6 Responsibility for consolidating organisational plans will be led by the Healthier Together Finance lead, co-ordinated through the Healthier Together Deputy Directors of Finance Group to ensure system-level impact is understood. This will include a consolidated schedule of financial risk and mitigations.

5. Management of risk

- 5.1 Healthier Together Partners are committed to a shared approach to managing all risks (strategic, clinical, financial, and operational), taking collective responsibility for driving necessary change while mitigating the risks of those changes for individual organisations and the people we serve. This includes:
 - Honest identification and sharing of risks
 - Maintaining a system-wide risk register to consistently track system risks and document mitigation plans
 - Clear ownership of the risk and expected mitigations
 - Clear escalation procedures for when a risk starts crystallising
 - Explicit discussion about financial risk appetite to determine the level of contingency to be held across the system
 - Shift toward a collective focus on how system risks will be mitigated by the system, and each organisation's role in supporting this
- 5.2 Our system approach to risk management recognises that there will still be a need for constituent organisations to manage organisational risk. Where appropriate, we will strive for consistency of risk management coordination across organisations to allow more seamless risk management coordination across the Partnership.



6. Contracting principles & payment mechanisms

- 6.1 The NHS Long Term Plan outlines a commitment for payment reform, with a focus on blended payments. NHS Partners are committed to considering the adoption of payment models which are better suited to whole system collaborative working (such as Aligned Incentive Contracting), and help support delivery of system wide objectives.
- 6.2 The Partners will look to adopt models which reduce financial volatility and provide greater certainty for all Partners at the beginning of each year of the planned income and costs, provide shared incentives for reducing avoidable or low value activity and redirecting resources to higher value interventions, properly reimbursing these, and seek to reduce unnecessary transactions and free up administrative resource.
- 6.3 Adoption of new contract models can see risk transfer between organisations, and therefore the transition to adoption of new contracting models will ensure this is well understood, and managed in a way to ensure there is no destabilisation of system Partners, and that no individual organisations financial sustainability is compromised.
- 6.4 Contracts within the system will include some of the same, or similar, objectives in order to promote a culture of collaboration that enables all organisations to meet their targets, whilst promoting the ICS vision and objectives.
- 6.5 Our approach is based on the following principles:
 - A movement away from annual contracting rounds based on 'current income plus growth', towards a more developed form of blended payment across the whole system
 - Fixed elements set based on improved cost data (see Section 4) and more accurate activity forecasts aligned to plans
 - Variable elements set based on understanding of costs of activity above/below plan
 - All services are funded at the level of efficient cost
 - A proportion of payment will be linked to patient / population outcomes
 - A reduction in unnecessary transactions, to ensure efficient use of finance team resources, and a reduce transaction costs

7. Finance Staff Training & Development

7.1 The ways of working in this financial framework represent a significant shift in thinking from the previous ways of working that many of our staff have grown accustomed to. This requires a shift of mind-set and some focussed development to ensure staff have the necessary skills to support the transformation that we need to deliver in the system.

Currently we are undertaking some baselining work to understand:

- Current finance staff development activity in place across the system.

- Approaches to professional development
- Approaches to apprenticeships

7.2 Once we have an understanding of the baseline position we will be getting to an aligned position across the system and opening up finance training opportunities to all in the system not just within organisations. We will then scope further the different skills that are needed for the finance staff of the future taking the opportunity to drive innovation in current practice to modernise approaches to reporting to free up time that can be spent on supporting clinical services to develop.

7.3 We expect this to be through an increased focus on costing to support the value agenda and business case development to enable new pathways to be described taking a population health management approach. Much of these new skills require excellent people skills, managing relationships with different professional groups, being able to challenge in an effective manner. This will be a focus of our skills development going forward.

7.4 We recognise we have more to do to make NHS finance in BNSSG more representative of the population we serve and we will be looking to build into our approach to recruitment and training a focus that allows this to be addressed.

7.5 The finance staff development leads are coming together to carry out this initial piece of work with the DOF group with the expectation that a BNSSG finance conference will be held in Autumn 2021 to kick start this work.

FINANCIAL FRAMEWORK APPENDIX 1 – Applicability of Financial Framework Elements

	BNSSG Clinical Commissioning Group (CCG)	North Bristol NHS Trust	University Hospitals Bristol and Weston NHS Foundation Trust	Avon and Wiltshire Mental Health Partnership NHS Trust	Sirona Care & Health	Bristol City Council	North Somerset Council	South Gloucestershire Council	South Western Ambulance Service NHS Foundation Trust	One Care
1) Overview & Purpose	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Healthier Together Joint Financial Principles	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
- Focus on Value	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2) Understanding the cost of health & care services to enable value based decisions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3) Process for revenue & capital resource allocation	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>					
4) Approach to joint financial planning	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/> (partial)	<input type="checkbox"/> (partial)	<input type="checkbox"/> (partial)		
5) Management of risk	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>						
6) Contracting principles & payment mechanisms	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>						
7) System reporting, financial management & control mechanisms	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		
8) Finance staff training & development	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		

Annex 8 – ICS Communications and Engagement Framework

1. Purpose

The purpose of this framework is to formalise the Healthier Together Partnership’s approach to delivering communications and engagement activity for the benefit of the population of BNSSG as we move towards statutory Integrated Care System (ICS) status.

2. Principles

Five principles underpin the way we work and will continue to work together, as set out below. These further build on and complement the core principles set out in the ICS Memorandum of Understanding (MOU), which are: *Individuals at the Centre, Subsidiarity, Collaboration, Mutual accountability and equality, and Transparency.*

These principles have been shaped by the whole-system Strategic Communications Group (SCG) which includes representation from every Healthier Together partner organisation. A similarly networked approach will be taken to Insights and Public Engagement, ensuring that we make best use of our collective strengths, expertise and experience at system-level in pursuit of our strategic goals.

Alongside each principle is an exposition of how we intend to live up to it, with 20 key points forming the basis of our approach to transition and ICS from April 2022. This includes both work currently in train and that yet to commence. We start from the clear position that Healthier Together Partner organisation communications and engagement teams will be retained, and that there is a strong appetite among communications teams and the Healthier Together leadership to further progress our collaboration for the benefit of the people we serve.

<p>1. Our approach will be evolutionary and ‘lock-in’ ways of working success</p>	<p>1. Flexibility and agility have been hallmarks of our joint work to date, and this feature will be retained as we progress our collaboration toward and beyond statutory ICS status. The SCG will continue to work together to ensure clarity and consistency of message at ICS (1) level, and the ability to flex resource in response to need.</p> <p>2. Due to the dynamic and variable nature of the communications and engagement landscape, we will continue to ensure regular touchpoints for key groups (e.g. 3x a week tactical calls, 2x a week strategic calls plus ad-hoc and project-specific approaches); as well as strategic relationship management with NHS England and Improvement. This approach is designed to ensure comprehensive yet agile oversight.</p> <p>3. The success of the Communications Delivery Unit (CDU) model, highlighted as an exemplar in ICS communications practice, will be further built on to encompass whole-system implementation sub-groups for key strands of communications and engagement delivery, including restoration of services. The CDU’s work will be guided by the SCG.</p>
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	<p>4. A whole-system approach to strategic communications will be further embedded with the establishment of a Healthier Together planning tool and grid which will allow executive and programme team oversight of activity and priorities. Clear Terms of Reference (ToR) and a protocol for issues, crisis and reputation management will be developed, building on established processes and recent case examples of successful and integrated handling (e.g. Weston Hospital closure, led by UHBW comms and with wraparound system support including stakeholder cascade).</p> <p>5. The SCG approach will be replicated in Insights and Engagement to secure an equivalent forum for whole-system and aligned leadership among practitioners. This group will be the driving force behind the spread of people-centred design and a co-production ethos across our system. The establishment and sustainability of this forum is a priority for development.</p> <p>6. Further mapping will be undertaken during this transition year to better understand Healthier Together Partner organisation capacity, areas of duplication, and shared systems and processes. This will provide a baseline and pointers for further evolutionary change which can increase our collective impact and effectiveness – for example, adopting a single ICS (1) approach to procurement of media monitoring services or graphic design. This is a forerunner to broader strategy development (see point 13).</p>
<p>2. People and their experiences are our core purpose, our most compelling story and our strongest offer to the wider system</p>	<p>7. We will prioritise the embedding of a people-centred design approach, including working with the Design Council and emerging Integrated Care Partnerships (ICPs) (6) to ensure that service design starts and ends with what matters most to people. We will capture and share examples, accelerating the spread of improvement within our own system and more widely; and, working with other teams, evolve mechanisms to embed experience and insights measures in the evaluation of effective integration. We will create a People and Communities Charter which will detail how we collect and undertake community insight, engagement, and co-production and how we will ensure we engage with hard to reach and marginalised groups.</p> <p>8. A system-wide intelligence dashboard will be created, harnessing our existing citizen insight and experience sources, and complementing the PHM linked dataset. This will enable a more holistic understanding of experience and the generation of actionable insight to add value at all levels of decision-making (1, 3, 6).</p> <p>9. Building on our work through the pandemic, we will centre storytelling approaches in our public communications, creating engaging content with and for our diverse communities, humanising the transformation of health and care, and facilitating positive behaviour change. This accelerates the approaches taken to both the 2020 system flu campaign and Covid-19 vaccination, where use of insight and co-production of content have been significant factors in success.</p> <p>10. It's important that the wider system understands what strategic communications and engagement can do for them (and just as importantly, what it can't). Through transition, we will develop a</p>

	<p>toolkit for system teams, steering groups etc. setting out our offer and approach, signposting to support and highlighting clear routes for contact and escalation of issues. This will support effective horizon scanning and issues management by the SCG.</p>
<p>3. Our activity will increasingly meet three conditions: strategically aligned, driven by insight and underpinned by evaluation</p>	<p>11. The SCG is identifying opportunities to prioritise communications activity that will achieve the greatest population impacts in line with system 5 Year Plan goals (a value-based approach). These opportunities, and the ability to respond to them, are likely to increase as our collaboration develops. We are putting a series of mechanisms in place to support this, including:</p> <ul style="list-style-type: none"> • Pursuing academic evaluation partners to support impact measurement and improved understanding of communications interventions. This will allow us to optimise our approach to audience segmentation, message optimisation, A/B testing and citizen engagement; including the use of deliberative and creative approaches. • Formalising SCG alignment to Healthier Together steering groups and the six ICPs, with the relative value of each (in relation to our resourcing), being assessed and tested currently. • Ensuring full SCG alignment to the development of the system shared insights and experience dashboard (point 8), which will allow us to respond in real-time to trends and issues. While the dashboard will meet a wider system need, it will be imperative to ensure an integrated communications route for understanding signals in the data and using this to refine activity and priorities. <p>12. Taking these steps will leave us better positioned to make a significant impact on the health inequalities agenda; improving population health literacy, championing and elevating community voices, building trust among marginalised groups, breaking down barriers to access and ensuring that citizen voice and experience informs everything we do.</p> <p>13. A co-created Communications and Engagement strategy will be designed and agreed, detailing aims, objectives, audiences, activity and costs. This will include recommendations on our approach to brand and digital communications.</p>
<p>4. Subsidiarity is a critical lens we will apply to all priorities and projects</p>	<p>14. As a group, we understand the wider system principle of subsidiarity which holds that decisions taken closer to the communities they affect are likely to lead to better outcomes. While it is not yet clear or settled as to the optimal balance of communications and engagement resourcing required at each level (1, 3, 6) in order to drive effective change for our population, we will be applying this principle as a critical lens through transition to help reach a view.</p> <p>15. Work is currently underway to establish a communications and engagement plan to support Integrated Care Partnership development, including potential alignment or embedding of some system communications professionals at ICP (6) level. This is further complemented by the people-centred design programme (point 7). Ensuring that a 'golden thread' of communications and engagement</p>



	<p>good practice runs through every level of the system is a priority for transition and next year, and scoping is currently being undertaken on specific requirements within General Practice.</p> <p>16. We will develop two small-scale test-and-learn approaches to behaviour change communications, working with ICPs as pilot sites. These will build on learning garnered through our 111 First insights work, flu and Covid-19 vaccinations. We would like these to be the focus of the evaluation partnership (point 11).</p>
<p>5. Seamless communication fast-tracks trust, transformation and collaboration</p>	<p>17. The new structures will necessitate a refresh of our system/internal and corporate communications. Undertaking system-level stakeholder/audience mapping and ensuring that channels/updates are fit for the future is a key priority for pre-transition and as the new ICS structures bed in.</p> <p>18. Work is already underway to align strategic communications advice and support to the system people and workforce group as a priority, recognising this as a critical area where effective communications can drive an impact – particularly in times of change.</p> <p>19. During transition, we will be further scoping the requirements for an internal/system communications approach to clinical leadership (including Clinical Cabinet) and the spread of system learning, including that generated from serious incidents.</p> <p>20. Building on work undertaken throughout the pandemic, we will be making recommendations to the Healthier Together Executive Group on a refreshed system approach to political engagement. This is likely to include more joint-briefings and improved corporate communication flows, particularly to Councillors.</p>

3. Delivering the programme

To bring the framework to life, we will take a programme approach to delivery, which will encompass the following as overarching strands. The 20 points above all fit beneath one of these programme areas:

Project	Timeline
Corporate and system communications refresh	Q3 21/22
Political engagement strategy	Q3 21/22
Embedding People-Centred Design	Q4 21/22
Communications and Engagement strategy development	Q2 22/23
System-wide intelligence dashboard	22/23 TBC

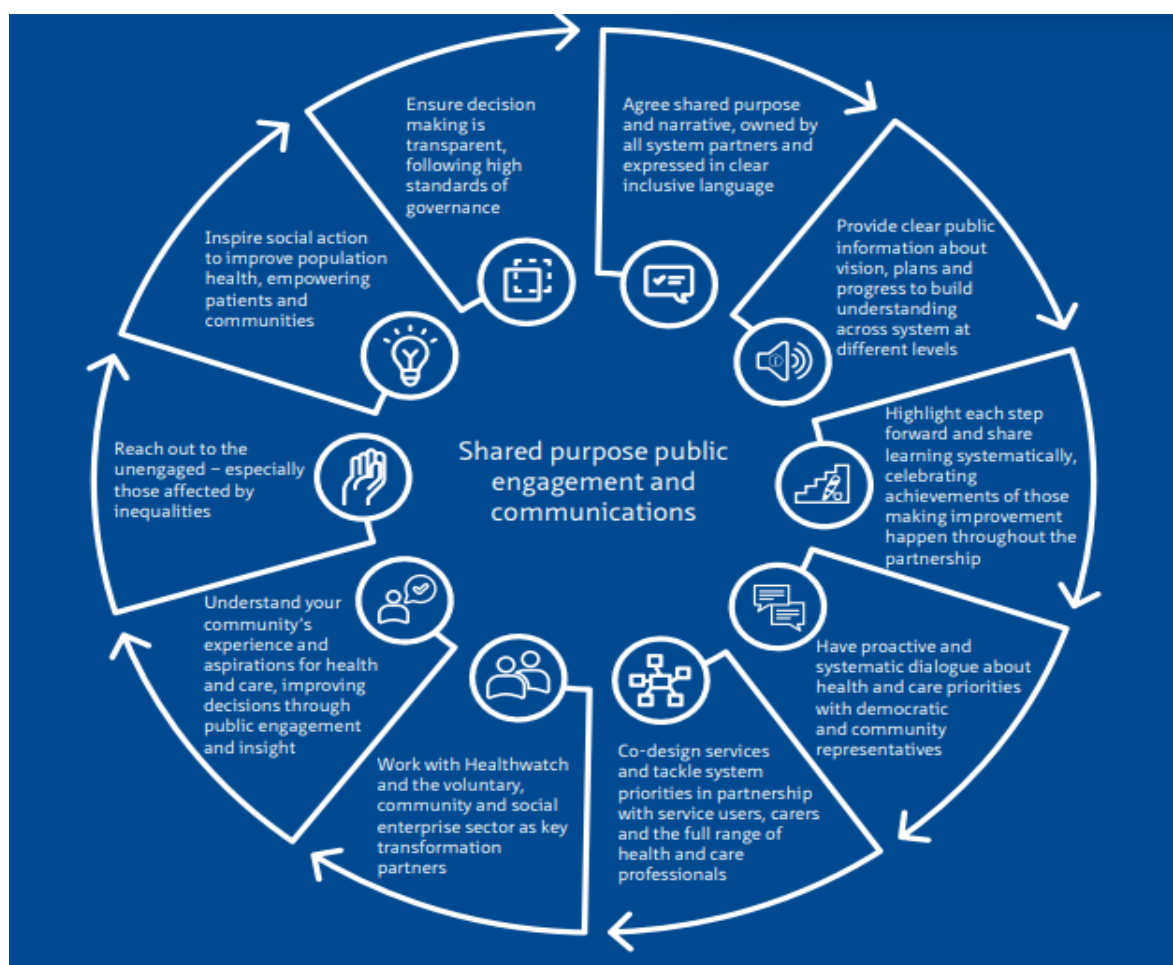
Delivery is contingent on PMO support and budget, and the next step would be to develop and bring forward business cases that relate to the strands of activity.



4. Our approach to forward planning, assessing progress and managing risk

We are testing the appetite for quarterly forward planning and progress assessment cycles for the SCG, to be undertaken in the form of practical half-day workshops (similar to those used to design and agree this framework). These must remain purposeful, timely and high-value (reflecting principle 1, point 1).

The SCG will be in a position to report our progress against the relevant ICS strategic goals from April 2022, and outline system communications risks and mitigations. We are currently using the NHS Confederation’s Common Purpose wheel to assess our maturity and guide development. This is copied below.



Annex 9 – ICS Organisational Development Plan

Contents

- 1 What OD is, and why it matters
- 2 Links with the People Programme and the ICP OD Plan
- 3 OD Framework
 - 3.1 Culture, Identity and Belonging
 - 3.2 Systems Leadership
 - 3.3 ICS Transition
- 4 Implementation Plan
 - 4.1 Phase 1: Diagnosis and gap analysis
 - 4.2 Phase 2: Launch & Engage
 - 4.3 Phase 3: Implement & Deliver



1. What OD is, and why it matters

Organisational development is a planned, comprehensive and systematic process for applying behavioural principles and practices to increase individual, organisational and system effectiveness, creating the conditions and culture to enable people to perform at their best.

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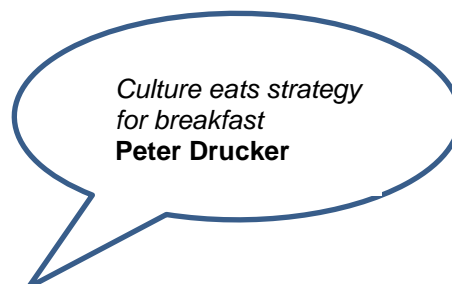
The conditions and culture our leaders create can help or hinder the achievement of our system goals. Failure to address cultural issues, particularly at times of significant change, can result in low morale, poor working relationships, inability to meet targets, absenteeism or high staff turnover.

Integration and innovation: working together to improve health and social care for all sets out an ambitious vision for system change, which will impact on every team in BNSSG, and it has never been more important to pay attention to our people and culture. This OD plan is intended to help our ICS to achieve our vision, mission and goals, and will support the delivery of our MOU. It is intended to build on the great work already achieved within BNSSG through the People Programme.

In order to make our ICS successful, and to deliver on our MOU, we need to pay attention to our culture. This means we need to ensure that we understand what our desired end states are in terms of culture and leadership. We will draw on the Johnson and Scholes OD Model, and use OD tools to undertake a gap analysis.

Our MOU sets out five principles:

- **Individuals @ Centre**
- **Subsidiarity**
- **Collaboration**
- **Mutual Accountability & Equality**
- **Transparency**



As the quote from Peter Drucker explains, a powerful and empowering culture is an important part of delivering on strategic success.

2. Links with the People Programme and the ICP OD Plan

This work is not a separate entity but is fully integrated into our System People Plan.



The focus of the **People Programme** is in attracting, retaining, developing and supporting our staff, establishing common systems, terms and conditions and sharing resources. The **OD Framework and Plan** is primarily about culture and leadership, and how we support the transition to a legal ICS. The People Programme is delivered by and through the People Steering Group, but the culture and leadership changes need to be delivered through and by the Senior Leadership of the Integrated Care System. These both also link with the **ICP OD**, and their joint endeavour should help create and promote total inclusivity, be a powerful common thread to promote improved equality and diversity within our health economy and community, connected through the common thread of equality and diversity.

3. Organisational Development Framework

The core of our OD Framework and Plan has three components:

1. Culture, Identity and Belonging
2. Systems Leadership
3. ICS Transition

For each of these three areas, in the following section, we have identified where we would want to be, the actions required, and how we will measure our success.

3.1 Culture, Identity and Belonging

One of the key goals in organisational development.....has been to find a way of creating cultures that are flexible and innovative and where individuals take responsibility for results – moving away from bureaucratic silos where formulaic approaches dominate.

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Where we are:

- Our partner organisations each have their own cultures and subcultures, and whilst we have established a track record in some areas for collaborative working, we have a significant journey for staff to also have a sense of belonging and identity in relation to our ICS. Many of our new models of care will require different staff from different teams to work together and organisational identity can be a barrier to

people working effectively together. We need to break down these organisational barriers.

Where we want to be:

- Our culture places **individuals at the heart**, recognising the **power of collaboration**, as we work together, as **one health and care system**
- We have an **outward mindset, focussed** on collective results, enabling us to have difficult conversations about resource allocation, and allowing us to see new possibilities for solutions.
- Our enabling culture will give our talented, dedicated workforce permission to be creative and innovative.
- We have a culture where we can work together and learn together across sectors and teams.
- Our overarching shared passion and compassion for delivering excellent patient centred care is in the very core of our collective DNA.

What we will do:

- **Improve the experience of working and living** in the health and care system and create and support a sense of **belonging and identity** for the whole ICS workforce
- Develop a system approach to **listen, hear, respect and act upon** the lived experience of staff and patients to improve health inequalities
- Establish a culture through our Learning Academy where **learning and continuing development** of all staff across the system is actively encouraged, and barriers are identified and removed
- As part of our diagnosis phase, we will undertake a **cultural audit** so that we understand the gap between the culture we have and what we aspire to, including feedback from staff and our leaders, and an analysis of the things we value and reward as a system, and where key barriers are, so we can address them together.
- Deliver a community focussed Equality, Diversity and Inclusion (EDI) Strategy promoting inclusivity across all inputs and outputs

Measured by:

- Staff engagement scores, pulse survey data, reduced leaver rates, exit data, reduced sickness absence, evaluation from our OD programme, diversity

3.2 Systems Leadership

Where we are:

- We have delivered some successful systems leadership programmes, such as Peloton and Arbinger
- However, we need to maximise our impact, address the lack of diversity among our leaders evidenced through our WRES data and support our leaders through the new and significantly different challenges to lead through the transition during 2021/22.

Where we want to be:

- **Collaboration and systems leadership** underpin our ways of working and leaders **listen to staff** and find ways to involve them in decision making

- Leaders are **clear on how they need to behave** to perform effectively and deliver our system vision
- Our future leaders are able to **grow talent, coach and lead** across diverse, cross organisational, multi professional teams and we have a diverse pipeline of future leaders
- Leaders ensure that their organisations **leverage their role as anchor institutions** to promote local social and economic growth in the wider community, address inequalities at the heart of poor health and improve health outcomes for the population.

What we will do:

- Ensure leadership standards are **embedded in place-based practices**: recruitment, performance, appraisal, conduct and development
- Hold senior leaders to account for the delivery of the **People Promise**
- Find new and more cost-effective approaches to **maximise the benefits** of our investments in our Peloton and Arbinger systems leadership programmes for example, Train the Trainer, and building alumni task forces
- Build the **“Outward” mindset** across our leaders and teams, utilising an agreed model and framework for maximum impact.
- Use Peloton Alumni to work on working groups to achieve ICS goals

Measured by:

- Significant numbers of managers trained and working differently as a result, sustainable and consistent leadership development, diverse talent pipelines established, leaders more representative of the communities they serve, extent to which our ICS MOU principles are being delivered, positive employee engagement scores.

3.3 ICS Transition

Where we are:

2020/21 is a key transitional year, with changes and challenges ahead which include:

- Implementation of new partnership governance
- New approaches to subsidiarity including the establishment of Provider Collaboratives, ICPs and a new, legally constituted ICS
- The transfer of CCG functions and staff to different organisations, working in different ways

Where we want to be:

- New governance structures are established, and there is clarity about the respective roles and functions of organisation, place and ICS
- CCG transition has taken place in line with system wide agreed approaches with transparent and equitable processes, and staff feel engaged and well supported

What we will do:

- Ensure that the agreed approaches to governance are reflected in, and supported by our system wide OD plan
- Offer advice and guidance on system wide approaches to managing workforce change in the context of national guidance and local organisational policies and systems

Measured by:

- Retention in the system of skilled, staff currently working in the CCG, Equality Impact Assessment showing positive impact on diversity, staff feedback and engagement scores, flourishing ICS and delivering on our MOU and supporting frameworks

4. Implementation Plan

OD specialist commences	0-4 months PHASE 1 DIAGNOSIS & PLANNING	Gateway- Diagnostic report and plan to Chief Execs	4-6 months PHASE 2 LAUNCH & ENGAGE	Progress report to Chief Execs	6-12 months PHASE 3 IMPLEMENT & DELIVER	Final report / next steps to Chief Execs
	Review and diagnosis of OD interventions		Stakeholder engagement including ICPs		Deliver OD plan of interventions and monitor impact	
	Success criteria/KPIs identified		Implementation plan		Final report and next steps	
	Business case for Arbinger		Arbinger framework for delivery established		Arbinger delivers measurable impact on system working	
	Develop an opportunity map for Peloton		Previous Peloton cohorts re-energised		Peloton alumina teams working on system change	
	Identify a resource and skills analysis of our Transformation, Leadership Development and Transformation teams		Transformation and OD practitioners networked and engaged		Transformation and OD practitioners taskforces engaged in delivering the ICS OD Plan	
Review of leadership programmes in organisations	Create leadership framework to support desired future states	Adjust leadership development provision to ensure system focus				

4.1 Phase 1: Diagnosis and gap analysis

Objective: To identify and articulate what we need to improve in order to achieve our desired future culture, leadership and behaviours, through a robust analysis process, using evidence-based tools

Our Diagnosis process will include the following three steps:

- Step 1:** Identify our desired future end states as an ICS, linked to the principles in our MOU, our Vision, Mission and Purpose, and the *NHSI/E 9 outcomes-focussed people functions*
- Step 2:** Using evidence based diagnostic tools such as the *Johnson and Scholes Cultural Web and Birke Litwin model (see appendix)*, analyse the gap between our desired future states and the current position
- Step 3:** Develop plans to address areas of weakness and identify metrics such as staff survey feedback, pulse surveys, leaver/ recruitment data, sickness absence, diversity data to act as a baseline and to monitor our progress. A business case and dissemination approach to deliver an “outward mindset” will be developed as part of this phase including a “train the trainer” model.

4.2 Phase 2 - Engagement

Objective: To engage with stakeholders to foster commitment to our OD plan and create networks to deliver, thereby maximising our leverage and impact



This phase will be focussed on building, engaging and motivating networks and stakeholders which will include:

- **3 cohorts of Peloton**
 - **Step 1:** alumina event to re-energise, re-connect and refresh tools
 - **Step 2:** task and finish groups on relevant, common system transformation priorities or issues– these tasks will be assigned by a “Think Tank”
- **OD, Leadership Development and Transformation practitioners**
 - **Step 1:** mapping of practitioners – skills, remit and opportunity
 - **Step 2:** system event and harnessing to refocus on the system OD plan
 - **Step 3:** using existing organisational programmes to deliver an Outward mind-set/collaborative working
- **ICP stakeholders**
Continue to support and offer advice to ensure consistency, enabling collaboration and not competition for scarce skills, and working in partnership with shadow ICPs to enable consistency of approaches to OD across the ICS and ICP stakeholders.

4.3 Phase 3: Implementation

Objective: To implement our OD plan, designed to address the key areas identified in our diagnostic phase, using collaborative resources across our teams, harnessed through our engagement phase

Actions to implement our OD plan will be identified as part of the diagnosis but may include:

1. Culture, Identity and Belonging

- Utilising OD/Transformation networks and **“Task forces” to expedite system change** and build and embed a new cultural identity for the ICS
- **Building the “Outward” mindset** across our leaders and teams, utilising an agreed model and framework for maximum impact
- **Work with the People Programme to revise the Workforce Strategy** to support the *NHSI/E 9 outcomes-focussed people functions* to align our People Operating Model with the needs of our ICS

2. System Leadership

- **Maximising the benefits of our previous investments in Peloton**, releasing future benefits through multi-organisational groups working together to achieve system transformation
- **Ensuring our approach to leadership development and our talent pipeline** enables greater diversity of future leaders

3. ICS Transition

- **Supporting our ICS transition**, enabling people across teams and organisations to work together in new and different ways



- **Providing advice and support on ICS and ICP transition** to align with cross organisational processes
- **Support CCG and system transition to** ensure alignment with agreed system wide processes

OD PLAN APPENDIX 1: OD Models to underpin our OD Plan

Appendix 1.1 Johnson and Scholes Cultural Web

Gerry Johnson and Kevan Scholes, 1992

- **Stories** – The stories we tell provide an insight into what we value and what we regard as great behaviour.
- **Rituals and Routines** – The daily behaviour and actions of people that signal acceptable behaviour. This determines what is expected to happen in given situations, and what is valued.
- **Symbols** – The visual representations including logos, our paperwork and where we have our meetings.
- **Organizational Structure** – This includes both the formal structure and the unwritten lines of power and influence that indicate whose contributions are most valued.
- **Control Systems** – These include financial systems, quality systems, and rewards (including the way they are measured and distributed within the system).
- **Power Structures** – The pockets of real power may involve one or two key senior executives or a whole group of executives. The key is that these people have the greatest amount of influence on decisions, operations, and strategic direction.



Appendix 1.2 Burke Litwin OD Model





Annex 10 – ICS Clinical and Care Professional Leadership Principles

1. Introduction and background

- 1.1. Clinical and care professional leaders play a key role within our ICS in improving outcomes for the people of BNSSG and delivering consistent clinical and care standards. To achieve our vision, we must cultivate such leadership across the system, and develop a culture that actively encourages clinical and care professional leaders to thrive and lead patient and population focussed change.
- 1.2. Clinical and care professionals reflect a rich diversity of professions across the partnership, including health, social care, and the VCSE sectors. Clinical and care professional leaders are distributed across every organisation and level of the system, from directors of medicine, nursing, and social care to front-line staff that interact with people in the community.
- 1.3. Clinical and care professionals play a central role in setting and implementing ICS strategy. We shape and make system decisions together, alongside colleagues in leadership, operations, and finance.

2. Clinical and care professional leadership principles

- 2.1. To enabling a thriving integrated care system for the people we serve, clinical and care professionals are committed to working together and abiding by the following principles:

<p>How we work together across our ICS</p>	<ul style="list-style-type: none"> 1. We engage, listen to, and consider the impact and experience of the people we serve and those who work in our services; we communicate with the public with credibility and authenticity 2. We actively shift the thinking upstream to focus on prevention, earlier intervention, and the reduction of health inequalities 3. We prioritise investments based on value, ensuring equitable and efficient stewardship of system resources, and we take shared ownership in driving this 4. We act on insights from pooled information and intelligence to reduce unwarranted variation and improve standards 5. We are committed to working together as an equal partnership
<p>Our culture and role as clinical and care professionals in the ICS</p>	<ul style="list-style-type: none"> 6. Across the system, we do the right thing for the patients we serve, even when it is challenging for us or our individual organisations 7. We continuously improve – we will try things together, learn, evaluate, and make changes to improve; we are actively promote evidence-informed innovation and learning across the system 8. We work in partnership with system executives and managers to drive clear and transparent decision-making 9. We actively shape the agenda of the ICS; we understand how to engage to drive change and our role in it 10. We engage in honest, respectful, and open dialogue amongst clinical and care professional leaders, and we strive to build

	<p>confidence that we can trust one another's patient assessments and recommendations</p> <p>11. We identify and develop clinical and care professionals at all levels in an inclusive manner</p>
<p>How we manage quality and risk</p>	<p>12. We are committed to quality improvement across all clinical and care professionals, and we embed this across the system (e.g., performance)</p> <p>13. We manage quality at the right level (e.g., neighbourhood, place, provider collaboratives, system) to improve the health and wellbeing of the local population, following the principle of subsidiarity and acknowledging one-another's statutory responsibilities</p> <p>14. We collectively own, share and take accountability for managing risks, particularly when serious quality issues arise</p> <p>15. We establish a just safety and learning culture, enabling system-wide learning from serious incident, never events, and safeguarding issues</p>

3. Taking this forward together

We are committed to ongoing improvements to our clinical and care professional leadership as we develop as an ICS. We will build on our system-wide working relationships and evolve our current working arrangements based on input from across our system and through peer review from clinical and care professional colleagues from other ICSs.