

Notice of Cabinet

Date: Wednesday, 11 November 2020 at 10.00 am

Venue: Teams Meeting



Membership:

Chairman:

Cllr D Mellor

Vice Chairman:

Cllr P Broadhead

Cllr M Anderson

Cllr M Greene

Cllr N Greene

Cllr M Haines

Cllr M Iyengar

Cllr R Lawton

Cllr K Rampton

Cllr M White

Lead Members

Cllr H Allen

Cllr S Baron

Cllr N Brooks

Cllr B Dove

Cllr B Dunlop

Cllr J Kelly

All Members of the Cabinet are summoned to attend this meeting to consider the items of business set out on the agenda below.

The press and public are welcome to view the live stream of this meeting at the following link:

<https://democracy.bcpCouncil.gov.uk/ieListDocuments.aspx?MId=4617>

If you would like any further information on the items to be considered at the meeting please contact: Sarah Culwick (01202 795273) or email democratic.services@bcpCouncil.gov.uk

Press enquiries should be directed to the Press Office: Tel: 01202 454668 or email press.office@bcpCouncil.gov.uk

This notice and all the papers mentioned within it are available at democracy.bcpCouncil.gov.uk

GRAHAM FARRANT
CHIEF EXECUTIVE

23 October 2020



Available online and
on the Mod.gov app



Maintaining and promoting high standards of conduct

Declaring interests at meetings

Familiarise yourself with the Councillor Code of Conduct which can be found in Part 6 of the Council's Constitution.

Before the meeting, read the agenda and reports to see if the matters to be discussed at the meeting concern your interests

Do any matters being discussed at the meeting relate to your registered interests?

Disclosable Pecuniary Interest

Yes

Declare the nature of the interest

Do NOT participate in the item at the meeting. Do NOT speak or vote on the item EXCEPT where you hold a dispensation

You are advised to leave the room during the debate

Local Interest

Yes

Declare the nature of the interest

Applying the bias and pre-determination tests means you may need to refrain from speaking and voting

You may also need to leave the meeting. Please seek advice from the Monitoring Officer

No

Do you have a personal interest in the matter?

Yes

Consider the bias and pre-determination tests

You may need to refrain from speaking & voting

You may also need to leave the meeting. Please seek advice

No

You can take part in the meeting speak and vote

What are the principles of bias and pre-determination and how do they affect my participation in the meeting?

Bias and predetermination are common law concepts. If they affect you, your participation in the meeting may call into question the decision arrived at on the item.

Bias Test

In all the circumstances, would it lead a fair minded and informed observer to conclude that there was a real possibility or a real danger that the decision maker was biased?

Predetermination Test

At the time of making the decision, did the decision maker have a closed mind?

If a councillor appears to be biased or to have predetermined their decision, they must NOT participate in the meeting.

For more information or advice please contact the Monitoring Officer
(susan.zeiss@bcpcouncil.gov.uk)

Selflessness

Councillors should act solely in terms of the public interest

Integrity

Councillors must avoid placing themselves under any obligation to people or organisations that might try inappropriately to influence them in their work. They should not act or take decisions in order to gain financial or other material benefits for themselves, their family, or their friends. They must declare and resolve any interests and relationships

Objectivity

Councillors must act and take decisions impartially, fairly and on merit, using the best evidence and without discrimination or bias

Accountability

Councillors are accountable to the public for their decisions and actions and must submit themselves to the scrutiny necessary to ensure this

Openness

Councillors should act and take decisions in an open and transparent manner. Information should not be withheld from the public unless there are clear and lawful reasons for so doing

Honesty & Integrity

Councillors should act with honesty and integrity and should not place themselves in situations where their honesty and integrity may be questioned

Leadership

Councillors should exhibit these principles in their own behaviour. They should actively promote and robustly support the principles and be willing to challenge poor behaviour wherever it occurs

AGENDA

Items to be considered while the meeting is open to the public

1. Apologies

To receive any apologies for absence from Councillors.

2. Declarations of Interests

Councillors are requested to declare any interests on items included in this agenda. Please refer to the workflow on the preceding page for guidance.

Declarations received will be reported at the meeting.

3. Confirmation of Minutes

To confirm and sign as a correct record the minutes of the Meeting held on 30 September 2020.

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4. Public Issues

To receive any public questions, statements or petitions submitted in accordance with the Constitution, which is available to view at the following link:

<https://democracy.bcpccouncil.gov.uk/ieListMeetings.aspx?CommitteeID=151&Info=1&bcr=1>

The deadline for the submission of a public question is 4 clear working days before the meeting.

The deadline for the submission of a public statement is midday the working day before the meeting.

The deadline for the submission of a petition is 10 working days before the meeting.

5. Recommendations from the Overview and Scrutiny Board

To consider recommendations from the Overview and Scrutiny Board on items not otherwise included on the Cabinet Agenda.

6. Western Gateway Rail Strategy

The Western Gateway Rail Strategy is an area wide rail strategy which outlines how rail will help deliver the overall vision and objectives for transport in the Western Gateway area.

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7. Recladding of Sterte Court blocks - HRA

This report brings forward the recommendation of the award of a contract modification to the current contract with United Living in order to progress the timely removal and replacement of the cladding system at Sterte Court.

The work will deliver the removal of the current cladding system in response to the most recent Fire Risk Assessment. It will address issues

221 - 238

with poor workmanship and other identified fire safety issues.

The works will replace the current cladding with a new system that is compliant with technical and legal requirements, remove the current fire risks presented by the cladding and remove the need for other ongoing mitigation actions currently in place.

The works will importantly address our local priority to deliver the national fire safety agenda of improving fire safety standards across homes for residents in the BCP area.

[PLEASE NOTE: Should the Cabinet wish to discuss the detail of the exempt Appendix B the meeting will be required to move into Confidential (Exempt) session]

8. Housing Allocations Policy

239 - 298

Bournemouth, Christchurch and Poole have separate legacy Housing Allocation Policies which require alignment, as per the Statutory Order from Government.

The BCP Housing Allocation Policy seeks to harmonise each policy providing criteria used to consider applications for the BCP Council Housing Register. It sets out the eligibility, qualification and assessment criteria on which different housing circumstances of person will be prioritised.

All nominations to social housing properties managed by BCP Council, Poole Housing Partnership (PHP) and local housing associations will be made in accordance with the policy and administered through a revised BCP HomeChoice scheme.

Implementation for the new policy is proposed for July 2021 when the IT system is fully mobilised in line with the approved policy.

9. Lansdowne Programme

299 - 308

The recent change in leadership of the Council has resulted in a review of the Lansdowne Programme by the relevant Portfolio Holders and officers. The outcome, which is supported by consultation responses gathered over the life of the Programme, is that there should continue to be a focus on delivering high quality public realm improvements to Holdenhurst Road, whilst also allowing access to all traffic.

This revised scheme for Phase 1 of the Lansdowne Programme remains focused on the heart of Lansdowne and aims to deliver benefits to the area that help to deliver the long-term vision the Council and other stakeholders have for this part of Bournemouth.

The revised scheme is at preliminary design stage. This design requires approval from Cabinet to enable it to progress quickly towards detailed design and then delivery.

10. Executive Pay Levels for Tricuro

309 - 328

Pursuant to the Shareholder Agreement for Tricuro, which is a Local Authority Trading Company wholly-owned by BCP Council and Dorset Council, the Executive Shareholder Group (the "ESG") sets an annual cap on pay. Any remuneration above that cap requires the approval of the

ESG. Tricuro wishes to appoint a permanent Managing Director and has requested that the remuneration for the Managing Director is approved at up to £120,000 per annum (i.e., in excess of the annual cap on pay set at £100,000).

[PLEASE NOTE: Should the Cabinet wish to discuss the detail of the exempt Appendix 1 (to appendix A) or Appendix B the meeting will be required to move into Confidential (Exempt) session]

11. 2020/21 Budget Monitoring & Medium-Term Financial Plan (MTFP) Update

329 - 408

This report includes 2020/21 budget monitoring information as at the end of August 2020 and an updated MTFP.

The projection for the 2020/21 revenue account is a balanced position after Covid-19 pressures, mitigation action and other budget variances are reflected. The pressures due to the pandemic have grown since the June report, partially offset by further government support announced on 2 July. This includes significant funding to replace a proportion of lost sales, fees and charges.

The updated 2020/21 projections for reserve movements, the capital programme and housing revenue account (HRA) are also included.

Financial planning is an iterative process with the latest refresh of the MTFP extended to cover the period 2021/22 to 2023/24 included in the report. The plan is based on the most recent information available and a set of assumptions that will need to be refined through the autumn. The current plan is showing a funding gap to close for next year of £13.4 million with the financial strategy setting out the process that the council will now adopt to be able to set a balanced and lawful budget for 2021/22.

12. Adult Skills & Learning relocation

409 - 470

The Adult Skills and Learning service currently use the Oakdale Learning Centre as a base for the western side of the BCP Council area. This building is life expired and replacement has been a long-held ambition for the Borough of Poole.

An options report which includes a mix of housing and a new adult learning hub for the Oakdale site has been developed but is unaffordable at this time. An alternative site for the Adult Learning Service has come forward at the Dolphin Shopping Centre and subject to the relevant planning approval and with excellent public transport routes would be ideally located for the service users.

Housing options for the Oakdale site will be brought forward when developed.

[PLEASE NOTE: Should the Cabinet wish to discuss the detail of the exempt Appendix 1 the meeting will be required to move into Confidential (Exempt) session]

13. Estates and Accommodation Project

471 - 502

The delivery of the council's Estates and Accommodation Strategy will

enable the organisation to reduce its exposure to a large and inefficient office accommodation estate, whilst at the same time supporting the development of single council identity where staff work in modern and flexible ways, delivering services that are transformed in order to be as customer focused and financially efficient as possible.

The creation of the BCP Council Civic Centre and relocation of the customer service offer to local libraries represents the first phase in the council's Estates and Accommodation Strategy and comprises the necessary investment in the Bournemouth campus and libraries, plus the associated work required to allow for the disposal of the legacy Poole and Christchurch civic offices.

It is proposed to focus on the remodelling of the service accommodation as a priority in order to move the project forward promptly, and to establish a Members Working Group in order to allow for appropriate engagement to take forward the development of Civic space as part of a subsequent phase of the project.

The project budget requested reflects the decision to deliver a more pragmatic and financially sustainable solution to the council's main office requirements that is fit for purpose and appropriate in the context of the significant and ongoing impacts created by the Covid 19 pandemic.

14. Adult Social Care Charging Policy

503 - 542

Since the formation of BCP Council on 1st April 2019, the council has operated under the three legacy Adult Social Care Charging policies for Bournemouth, Christchurch and Poole. It is therefore necessary to adopt a new single charging policy in order to operate a fair and equitable approach to adult social care charging. A public consultation was launched on the proposals for the new policy in January 2020 and concluded in March 2020. The results of this consultation have informed the drafting of a new single policy. This new Adult Social Care Charging policy, subject to Cabinet approval will be implemented on 1st April 2021.

15. Cabinet Forward Plan

To consider the latest version of the Cabinet Forward Plan for approval.

No other items of business can be considered unless the Chairman decides the matter is urgent for reasons that must be specified and recorded in the Minutes.

BOURNEMOUTH, CHRISTCHURCH AND POOLE COUNCIL
CABINET

Minutes of the Meeting held on 30 September 2020 at 10.00 am

Present:-

Cllr V Slade – Chairman

Cllr M Howell – Vice-Chairman

Present: Cllr D Brown, Cllr L Dedman, Cllr A Hadley, Cllr S Moore,
Cllr M Phipps, Cllr Dr F Rice and Cllr K Wilson

Also in attendance: Cllr P Broadhead

Apologies: Cllr L Allison

233. Declarations of Interests

There were no declarations of interest made on this occasion.

234. Confirmation of Minutes

The Minutes of the Cabinet meeting held on 9 September 2020 were confirmed and signed as a correct record.

Voting: Unanimous

235. Public Issues

The Leader advised that there had been no public questions, statements or petitions submitted on this occasion.

236. Recommendations from the Overview and Scrutiny Board

Cabinet were advised that there were no additional recommendations from the Overview and Scrutiny Board on items not otherwise included on the Cabinet Agenda on this occasion.

237. Installation of Combined Heat and Power Unit, The Club at Meyrick Park

The Portfolio Holder for Environment and Climate Change presented a report, a copy of which had been circulated to each Member and a copy of which appears as Appendix 'A' to these Minutes in the Minute Book.

Cabinet were advised that The Club at Meyrick Park wished to install a Combined Heat and Power Unit (CHP) in order to deliver savings on electricity, heat and carbon generation.

In presenting the report the Portfolio Holder advised that paragraph 15 of the report should read '*combined heat and power unit*' rather than '*heat source pump*'.

RESOLVED that:-

- (a) As representative trustees of the Five Parks Trust, a letter of authority be granted to allow the CHP to be secured at the Land Registry as per the terms of the contract between EuroSite Power Limited (the supplier/installer) and the Club Company (Group) Limited (the tenant); and**
- (b) As representative trustees of the Five Parks Trust, BCP Council grant a licence to alter for the installation of the CHP.**

Voting: Unanimous

Portfolio Holder: Environment and Climate Change

238. Managing Unauthorised Encampments: Members Working Group Report

The Portfolio Holder for Environment and Climate Change presented a report, a copy of which had been circulated to each Member and a copy of which appears as Appendix 'B' to these Minutes in the Minute Book.

Cabinet were advised of the considerations undertaken and subsequent recommendations brought forward by the cross-party members working group for unauthorised encampments.

Cabinet were informed that the report contained items considered and options reviewed in reaching a consolidated policy for the management of encampments and the future options for the control of unauthorised encampments across BCP Council. Including the recommendations for:

1. Policies for the management of future encampments
2. Policies regarding target hardening of sites
3. The feasibility for pre-emptive injunctions
4. The feasibility of providing alternative stopping places

The Chairman of the Overview and Scrutiny Board addressed Cabinet advising that at their recent meeting the Board resolved to make the following recommendation to Cabinet in respect of this item.

The Overview and Scrutiny Board recommend to Cabinet that the recommendation outlined in the Cabinet report at 'b' should not move forward for approval by Cabinet.

Cabinet Members spoke in support of the report and of the importance of consultation. In addition Cabinet discussed the impact of the removal of recommendation 'b' as proposed by the Overview and Scrutiny Board.

The proposal to remove recommendation 'b' was put forwards by Councillor Phipps, this was seconded by Councillor Dedman but fell upon being put to the vote, with voting 2 For and 7 Against.

RESOLVED that:-

- (a) Cabinet adopt the revised policy for the management of unauthorised encampments across BCP Council;**

- (b) The working party be asked to explore the following options: the feasibility of providing alternative stopping places; the use of pre-emptive injunction against trespass; target hardening and management of incursions. Their recommendations to be brought back to Cabinet within four months including the necessary governance, resources and consultation that would be required; and**
- (c) a balanced approach to target hardening as local circumstance dictate be adopted.**

Voting: 7:2

Portfolio Holder: Environment and Climate Change

239. Highway Maintenance Funding 2020/21 report

The Portfolio Holder for Transport and Infrastructure presented a report, a copy of which had been circulated to each Member and a copy of which appears as Appendix 'C' to these Minutes in the Minute Book.

Cabinet were advised that the national funding was intended to fix up to 50 million potholes but was also available for local authorities to undertake longer-term road resurfacing works to prevent potholes from appearing in the first place. In relation to this Cabinet were requested to consider the report and recommendations to Full Council.

RECOMMENDED that:-

- (a) Cabinet note the allocation of £2.864M of Dept for Transport (DfT) Pothole Funding and approve its addition into the 2020/21 LTP Capital Programme;**
- (b) Cabinet recommend approval to full Council of the proposed programme outlined in Appendix A to utilise the £2.864M Pothole Fund award;**
- (c) Cabinet note the allocation of £4.184M of Dept for Transport (DfT) Challenge Funding and approve its addition into the 2020/21 LTP Capital Programme.**
- (d) Cabinet recommend approval to full Council for the proposed programme outlined in Appendix B to utilise the £4.184M Challenge Fund award**
- (e) Cabinet recommend approval to full Council for the capital allocation of £700k to Environmental Services.**
- (f) Cabinet receives a further report at the earliest opportunity to consider future years capital funding allocation options and impacts for Environment & Growth & Infrastructure Services.**

Voting: Unanimous

Portfolio Holder(s): Environment and Climate Change
Transport and Infrastructure

240. Christchurch Bay and Harbour Flood and Coastal Erosion Risk Management Strategy

The Portfolio Holder for Environment and Climate Change presented a report, a copy of which had been circulated to each Member and a copy of which appears as Appendix 'D' to these Minutes in the Minute Book.

Cabinet were advised that a new Flood and Coastal Erosion Risk Management (FCERM) Strategy covering Christchurch Bay and Harbour was needed to guide long term sustainable coastal and tidal flooding and erosion risk management.

In relation to this Cabinet approval was sought to progress procurement of specialist consultancy services to develop the strategy using Flood Defence Grant Aid (FDGiA) funding which is in the process of being secured by the Environment Agency.

RESOLVED that approval is given to:-

- (a) Proceed with developing a new Flood and Coastal Erosion Risk Management (FCERM) Strategy covering Christchurch Bay and Harbour in partnership with New Forest District Council and the Environment Agency, using funding from Flood Defence Grant in Aid (£450,000 is in the process of being secured);**
- (b) Subject to funding being secured, then proceed with procuring a Consultant to produce the FCERM Strategy via the South Coast FCERM Framework administered by Portsmouth City Council on behalf of the Southern Coastal Group area, which includes BCP Council;**
- (c) Delegate authority to the Director for Growth and Infrastructure in consultation with the Section 151 and Monitoring Officers to agree the terms of any funding and consultancy agreement; and**
- (d) Delegate progression of the technical case and associated future submission to the Director for Growth and Infrastructure in consultation with the Director of Finance.**

Voting: Unanimous

Portfolio Holder: Environment and Climate Change

241. Flood Defences - Poole Bridge to Hunger Hill

The Portfolio Holder for Environment and Climate Change presented a report, a copy of which had been circulated to each Member and a copy of which appears as Appendix 'E' to these Minutes in the Minute Book.

Cabinet were advised that Poole town centre is at considerable flood risk which will increase over time with the effects of climate change. Further to this Cabinet were informed that recent schemes had been completed from Baiter to Poole Bridge, delivered by both the Environment Agency (EA) and Poole Harbour Commissioners (PHC). However, the area remains at risk due to the ageing infrastructure between Poole Bridge and Hunger Hill.

BCP Council is leading on a proposal for tidal flood defences on the remaining frontage.

The current policy of flood defence delivery through regeneration and private development has not provided the required level of investment. Our proposal is to deliver via a single scheme, led by the council, working in liaison with the various landowners.

RECOMMENDED that:-

- a) **Cabinet approves submission of an Outline Business Case to the Environment Agency's Large Projects Review Group (LPRG) to seek circa £12m Flood Defence Grant in Aid (FDGiA) to construct tidal flood defences from Poole Bridge to Hunger Hill. LPRG is provisionally booked for Oct 2020;**
- b) **Cabinet approves that BCP Council adopt the new flood defence assets and commit to fund future maintenance costs (estimated £303k over 85 years);**
- c) **Cabinet approves for BCP to underwrite the costs, identified in the OBC, for adaptation measures for future phases of construction within the business case – estimated at a total of £836k in years 2071 and 2105; and**
- d) **Delegate authority to the Director for Growth and Infrastructure in consultation with the Section 151 and Monitoring Officers to agree the terms of any funding and/or supplier agreement(s)**

Voting: Unanimous

Portfolio Holder: Environment and Climate Change

242. Complaints and 2019/20 LGSCO annual report

The Deputy Leader presented a report, a copy of which had been circulated to each Member and a copy of which appears as Appendix 'F' to these Minutes in the Minute Book.

Cabinet were informed that the Local Government and Social Care Ombudsman (LGSCO) provided an independent and impartial service to investigate complaints about Councils, or actions taken by another body on behalf of the Council, and that the LGSCO provided a report annually which details the number of enquiries, investigations and resolved complaints for each authority in the past financial year.

In relation to this Cabinet were advised that the 2019/20 report shows that the number of enquiries to the LGSCO have risen slightly, as have the investigations, but that there has been a fall in the number of investigations upheld by the Ombudsman to 50%. Further to this Cabinet were advised that there are no major concerns relating to LGSCO findings.

RESOLVED that Cabinet note:-

- (a) **the Local Government and Social Care Ombudsman's Annual Report; and**
- (b) **the current position with internal complaint reporting**

Voting: Unanimous

Portfolio Holder: Leader of the Council

243. 2019/20 End of Year Performance Report

The Deputy Leader presented a report, a copy of which had been circulated to each Member and a copy of which appears as Appendix 'G' to these Minutes in the Minute Book.

Cabinet were informed that the report provided an overview of performance for the first year of BCP Council. In relation to this Cabinet were advised that the report identified some key improvements and some performance issues which were set out in Appendix B to the report.

RESOLVED that Cabinet:-

- (a) Noted the end of year performance; and**
- (b) Considered the attached exception reports relating to areas of current adverse performance.**

Voting: Unanimous

Portfolio Holder: Leader of the Council

244. Cabinet Forward Plan

The Leader advised that the latest Cabinet Forward Plan had been published on the Council's website.

The Portfolio Holder for Strategic Planning addressed the Cabinet in respect of the BCP Statement of Community Involvement:

"Members of Cabinet following the Council decision to adopt the BCP Statement of Community Involvement with an amendment to require neighbour notification letters to be sent out for planning applications across the BCP local planning authority area I need to raise some concerns over the financial, environmental and operational implications of this decision. These are as follows:

- Whilst fully respecting the need to publicise planning applications openly and transparently, the proposal to notify by site notice only had been carefully considered as being the best approach for the Council in view of the current financial and practical restrictions resulting from the ongoing pandemic. It is surprising that the amendment was not raised previously when it was being considered by O&S and then Cabinet.*
- The decision at Council to re-introduce letters now needs further consideration in terms of the financial impacts before implementation. As set out in the Council papers, going to a system of site notices would have realised a saving of circa £14k to £18k from reduction in postage, paper and ink costs that had been factored in to this year's Covid-19 financial budget response, which can no longer be taken and therefore needs to be acknowledged as a pressure. Adding the requirement to send letters in Bournemouth*

after over 20 years of using site notices will likely create an additional pressure of around £10k per annum. Taken together and with the Council's current financial pressures, there is no available funding in the existing planning budgets to pay for the additional costs arising from the decision and additional funding will need to be made available.

- *There is also the issue of the extra officer time involved by having to send letters out in Bournemouth. Staff resources are already severely stretched and in the absence of employing additional staff to send out the letter, this the process will have to be absorbed into existing officer time at present. This will likely mean other activities in the planning department will be slowed down by having to allocate more staff time to producing and sending out letters. There will also be a greater requirement to have staff in the office to produce letters at a time when the Government is telling us to work from home more. A resource and process plan is needed in order to ensure letters can be sent out without impacting on current service.*
- *The Council has declared a climate emergency and the reduction in use of letters would have had an environmental benefit by reducing materials used, so a re-appraisal of environmental impact alongside financial and operational issues should be undertaken.*

For the aforementioned reasons, it is advised that the Council's decision is referred for further detailed consideration at the next Cabinet meeting before the SCI is effected with an updated report on how the decision to send letters out across BCP will be resourced and implemented at the present time."

In closing the meeting the Acting Leader invited Councillor Slade to address the Cabinet in relation to the forthcoming Leadership vote. With regards to this Councillor Slade highlighted that a change of administration would mean significant changes to the Cabinet. Further to this Councillor Slade advised that should there be no change to the administration that the intention was that there would be a review of the Cabinet both in terms of membership, shape and portfolio areas, and that any changes would be an interim arrangement with the intention to look very closely at the possibility of moving to a committee style structure in order to address concerns with regards to decision making sitting with a small number of people.

Councillor Slade expressed thanks to officers for their support to the Cabinet.

The meeting ended at 11.50 am

CHAIRMAN

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CABINET



Report subject	Western Gateway Rail Strategy
Meeting date	11 November 2020
Status	Public Report
Executive summary	The Western Gateway Rail Strategy is an area wide rail strategy which outlines how rail will help deliver the overall vision and objectives for transport in the Western Gateway area.
Recommendations	<p>It is RECOMMENDED that:</p> <p>(a) Council endorse the Western Gateway Rail Strategy.</p> <p>(b) Pursue the six route maps as identified in the Rail Strategy and support the development of any business cases or feasibility studies arising.</p>
Reason for recommendations	<p>To ensure BCP Council has a strong voice in the up-to-date regional rail strategy. This will enable the council to plan positively for rail.</p> <p>To provide a framework for future rail investment as part of the Western Gateway arrangement. This would enable the council in partnership with other Western Gateway members and Network Rail to procure and deliver the necessary studies, business cases, needed to support enhanced rail infrastructure.</p>
Portfolio Holder(s):	
Corporate Director	Bill Cotton, Corporate Director for Regeneration and Economy
Report Authors	<p>Julian McLaughlin, Director for Growth and Infrastructure</p> <p>Alexis Edwards, Transport Development Team Leader</p>
Wards	Council-wide
Classification	For Recommendation

Background

1. At the Western Gateway Sub-National Transport Body (STB) Partnership Board meeting of 19th June 2019, members of the Board agreed for officers to pursue “production of an area wide rail strategy”. To meet that objective, a commission was awarded to WSP for the first of two phases of work. BCP Council is represented on the Board by the appropriate Portfolio Holder.
2. At the STB Board meeting of 8th December 2019, members of the Board were informed of the progress in developing the draft strategy and the outcome of the stakeholder consultation. At the following Board meeting of 4th March 2020, members of the Board were presented with phase 1 of the strategy. The Board agreed to continue funding the rail strategy towards the production of phase 2, which includes an accompanying summary document of both phases to assist Western Gateway in presenting its future ask to government.
3. Since the March 2020 STB Board meeting the full strategy has been developed and is provided in Appendix 1. It is important to note that the need for change is clearly articulated in the document and the base line conditions of existing services are equally well defined. At the September 2020 SSTB Board meeting the full strategy was endorsed by the Board.

Rail Strategy Phase 1

4. The rail strategy has a clear vision; with the five themes (Choice, Social Mobility, Decarbonisation, Productivity and Growth) supported by focussed objectives and priorities. These objectives and priorities were developed and defined by the stakeholder engagement exercises into a series of Conditional Outputs under each theme.
5. The 23 Conditional Outputs that form the focus of the Rail Strategy are the target aspirations or minimum standards needed to meet the outcomes expected by the rail strategy. These Conditional Outputs thereby give the Western Gateway, the constituent Local Authorities and industry stakeholders a clear vision of what success looks like.
6. Three strategic definitions have been used against which some of the Conditional Outputs are framed: Service designation, hub definition, and accessibility definition. Service designation attempts to categorise services and flows within four categories; Urban / Metro, Suburban, Regional, and Intercity. Hub definition relates to interchange and journey speeds at key locations i.e. line with the Western Gateway's Strategic Transport Plan three hubs approach. Accessibility definition relates to two distinct areas; Access to Stations i.e. the journey to the station, and Access for All i.e. within the station and aboard the train.

Rail Strategy Phase 2

7. Phase 2 of the Rail Strategy is principally focussed on three parts. Part 1 is a condensed summary of the phase 1 report with amendments following feedback and review arising from the eConsultations and eWorkshops. Part 2 focusses on the theme chapters (Choice, Social Mobility, Decarbonisation, Productivity and Growth) that were developed in Phase 1 of the Rail Strategy. Each theme is summarised in a high-level objective and developed into a number of priorities. These in turn are

linked to a series of actions, for the short, medium and long-term. Part 3 sets out the delivery approach for the Rail Strategy.

8. The Rail Strategy is very clearly not a wish list of schemes and interventions based on legacy requests, instead it sets out clear outcomes that Western Gateway wants from the rail network. Rather the rail strategy allows for the broad outcomes which Western Gateway want to be tested by Network Rail through their own internal processes thereby allowing the right infrastructure or timetabling outputs identified to be taken forward for funding and delivery in a coordinated and timely fashion.
9. The delivery of the Western Gateway Rail Strategy has been structured in to six 'route maps' in order to focus and align actions and interventions to relevant bodies and themes. The purpose of the route maps is to set out a series of well planned, effective and prioritised activities to meet the Western Gateway's vision for the rail. The six route maps are:
 - Strategy, governance and collaboration
 - Strategic Planning (Task Force) & Configuration States
 - Digital Solutions Taskforce
 - Stations & Access to Rail Task Force
 - Freight Task Force
 - Future Ready & Resilience Task Force
10. A supplementary glossy brochure similar to those used by other STBs has been produced and is given in Appendix 2. This condenses the Rail Strategy into a clear and hard-hitting document to lobby government and act as a briefing tool in setting out the Western Gateways vision and route maps to achieving it.

Williams Review

11. The Rail Strategy considers the potential implications of the Williams Review. The review has considered the structure of the whole rail industry and the way in which passenger rail services are delivered. The review was expected to make recommendations through a White Paper for reform to the industry that prioritise passengers' and taxpayers' interests. However, due to the COVID-19 emergency the review has still yet to be published.
12. The COVID-19 Emergency Measures Agreements (EMAs) introduced to ensure the rail system continued to function throughout the COVID-19 emergency were replaced in September with Emergency Recovery Management Agreements (ERMAs) that confirmed the end of the franchising regime. The Williams Review is still expected to be published in due course, but Government is working to alternative franchising mechanism to replace the ERMAs. Consequently, the conditional outcomes and recommendations within the Rail Strategy have been designed to be flexible to changes to industry structures.

Continuous Strategic Modular Planning (CMSP)

13. CMSPs are Network Rail's localised studies designed to understand timetabling and infrastructure requirements necessary to deliver the outcomes that rail industry stakeholders such as local authorities want. Future CMSPs are planned within both Western and Wessex Routes as set out in Table 1 including a CMSP for Dorset Connectivity which is currently in progress. As the two Network Rail route areas

cover more than the Western Gateway not all the future CMSPs are relevant, several of the CMSPs are relevant to BCP Council.

Year	CMSP
2019	West of England line (completed, Wessex Route) Solent Connectivity (completed, Wessex Route) Resilience (completed, Wessex Route – NR internal only)
2020	Bristol – Birmingham (ongoing, Western Route) Bristol – Exeter (Western Route) Bristol - South Wales (Western Route, Wales System Operator leading) Dorset Connectivity (ongoing, Wessex Route) Solent to Midlands Freight (Wessex Route, in conjunction with Highways England) South West Main Line Capacity (London Waterloo to Woking) (Wessex Route)
2021	West of England (Bristol travel to work area) (Western Route) South West Main Line Capacity (Woking and beyond) (Wessex Route)
2022	Western route decarbonisation (Western Route) Swindon corridors (Western Route)
2023	Bristol to South coast ports (Western Route) Taunton to Reading (Western Route)

Table 1- Future CMSPs

14. It should be noted that the Rail Strategy outcomes will be investigated in-depth through the CMSP process to identify the outputs necessary to make them possible. This is the approach through which changes to track or service will be delivered as Network Rail will own the development and delivery process for future business cases.

Implications for BCP

15. Currently BCP Council is working jointly with Dorset Council and Network Rail on the Dorset Connectivity CMSP. The remit for this CMSP is to examine potential improvements to:

- North to South connectivity from the Dorset Coast via the Heart of Wessex line to Bristol, South Wales, Swindon and the South West either by more frequent direct services or improved interchange at Yeovil. Castle Cary or Westbury with services on the West of England line and Great Western Main Line
- East to West connectivity between rural Dorset and the Bournemouth, Christchurch and Poole conurbation
- East to West connectivity between the Bournemouth, Christchurch and Poole conurbation and the Solent area
- It will also take into account aspirations for improved diversionary capability for Great Western services via the Heart of England and West of England lines during perturbation and engineering work, taking into account the findings of the recent West of England line CMSP and Solent CMSP
- Understand performance and resilience issues in the study area and consider how this might be addressed

16. Whilst it is too early for any of the outcomes of the Dorset CMSP, it should be noted that the alignment of the emerging outputs Dorset CSMP closely follow the approach

recommended by the Western Gateway rail strategy of addressing regional connectivity issues and better connecting (housing) development to rail.

17. The Dorset CMSP does not directly examine increased London frequencies or reducing the journey times as it is focussed on addressing poor local usage of the rail network and improving regional connectivity to the east, north and west. As referred in Table 1, the South West Main Line Capacity (Woking and beyond) CMSP planned for 2021 will involve BCP Council. and will examine journey time and frequency questions. This planned CMSP will build on the ongoing South West Main Line Capacity (London Waterloo to Woking) CSMP which will consider the constraints at the Waterloo throat and at Clapham Junction as well as the need for an additional track(s) onto Woking and how these impact the possibility of additional services. Work in the recently published Solent Connectivity CMSP by Network Rail did identify capacity constraints at Southampton Central hindering additional local services. This work has suggested service extensions to Totton for train terminations currently taking place at Southampton Central freeing up network capacity and the introduction of bidirectional signalling at Eastleigh platform 1 would enhance capacity and timetable resilience for Waterloo services directly benefiting BCP Council.

COVID-19

18. Work on this strategy started before the Covid-19 pandemic. The short-term effects of lockdown on rail patronage are well documented. As things stand passenger numbers are rising but are still considerably below pre-Covid levels. It is unknowable whether working, shopping and travel behaviours will revert to the historic 'normal' after the pandemic (and when that might be), but the focus of the Rail Strategy, setting out the Western Gateway's aspirations for the rail network remains valid. Indeed, the long-term vision and objectives still stand despite the impacts of COVID-19 in the main due to the focus of the Rail Strategy on long term outcomes rather than specific outputs.

Consultation, communication and engagement

19. The Rail Strategy has been developed with extensive input from industry stakeholders. Phase 1 of the Rail Strategy involved three workshops across the Western Gateway area and an eConsultation were held with the constituent authorities, Network Rail, Train Operating Companies (TOCs) and Freight Operating Companies (FOCs). Interested industry stakeholders including passenger groups were invited to participate in the eConsultation.
20. For phase 2 the programme of engagement was adapted to be carried out digitally due to COVID-19. Consequently, three eConsultations were held supplemented by an eWorkshop with the stakeholders. These digital events added detail to the outputs and assisted with packaging specific interventions. Each eConsultation was supplemented with dedicated meetings with the Network Rail Western (including the Bristol to Birmingham CMSP) and Wessex (including the Dorset CMSP) teams due to the high synergies of these workstreams. The draft Rail Strategy was subsequently consulted on with the industry stakeholders and the constituent authorities during August 2020.
21. The entire consultation and engagement process is summarised in Figure 1.

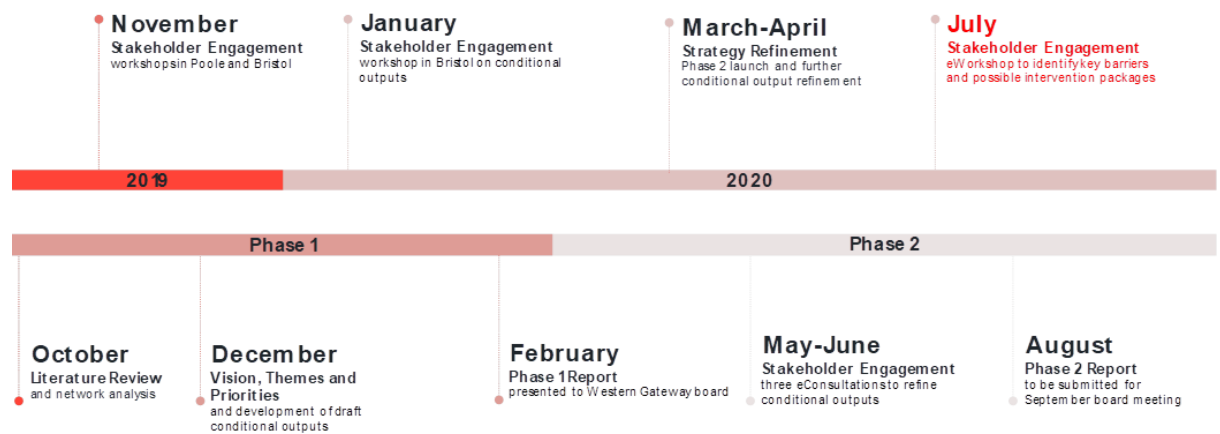


Figure 1: Consultation process

22. An extensive amount of feedback on the draft Rail Strategy was provided leading to a number of alterations being incorporated into the final strategy. Beyond minor detailed changes on the specific nature of some assumptions, the main amendments and revisions focussed on delivery and clarification of what will be recommended or be required to deliver by when and by which organisation. Clarity has been added regarding the role and interface with Network Rail on the delivery side of the strategy and revisions to service designations, frequencies and specific outcomes have been made. The phrasing of 'targets' has been revised to 'minimum aspirations', and words around the purpose of the strategy document – to be a guide and tool for the region's sub-national ambitions – has been included.

Options Appraisal

23. The first option available to the council would be to do nothing and not adopt the Rail Strategy. This option is not recommended as the council currently does not have a clear regional rail strategy and failure to endorse the approaches within the strategy would jeopardise the region's effectiveness at facilitating strategic investment from government in the region's rail network.
24. The second option would be for the Council to adopt the Western Gateway STB Rail Strategy. The constituent members of the Western Gateway STB will benefit from the STB providing a single, unified voice to government; signalling our collective priorities on strategic rail investment in partnership with rail industry stakeholders such as Network Rail and the Train Operating Companies and the Council is recommended to adopt the Western Gateway Rail Strategy

Summary of financial implications

25. There are no specific capital or revenue implications associated with the adoption of the strategy itself, as it was funded by the Western Gateway. However, it should be noted that funding opportunities will need to be sought to realise a number of the aims and aspirations set out in the strategy, as and when they affect the council and this may include the preparation costs for bids to government through the RNEP; and will need to be aligned to the Corporate Plan and the council's Medium Term Financial Strategy.

Summary of legal implications

26. While there are no direct legal implications arising from the adoption of the Strategy at this stage, further legal advice may be required in respect of supporting the objectives of the Strategy as outlined in this Report. This may include advice on potential funding arrangements, advice and agreements arising from dialogue with rail companies and infrastructure providers, and in respect of procurement of professional advice. Legal Services will continue to provide support and assistance to the work of the Strategy.

Summary of sustainability impact

27. It is anticipated that the rail strategy will have a positive impact on the environment. Improved connectivity, station enhancements and the provision of new stations within the Western Gateway will all contribute to rising passenger numbers and a transfer of trips from away from road to rail, reducing congestion, reducing harmful emissions and improving accessibility.
28. It should be noted that the Rail Strategy has decarbonisation as one of its five key themes with the objective “to enable rail to contribute more actively towards the decarbonisation of the Western Gateway”. The three priorities for decarbonisation are listed below:
- (i) Identify ways to reduce the carbon emissions per passenger of rail journeys on diesel rolling stock
 - (ii) Identify alternatives to diesel rolling stock including priorities for electrification
 - (iii) Identify ways in which more freight can be transported by rail rather than road, in particular to deep-sea ports

Equalities Implications

29. No adverse impact on any protected groups.

Background papers

Published works

Appendices

Appendix 1- Western Gateway Rail Strategy Technical Report

Appendix 2- Western Gateway Rail Strategy Brochure

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Western Gateway Sub-national Transport Body

WESTERN GATEWAY RAIL STRATEGY PHASE 2





Western Gateway Sub-national Transport Body

WESTERN GATEWAY RAIL STRATEGY PHASE 2

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EXECUTIVE SUMMARY

To be a region that is **sustainably connected** and provides **high quality and value for money** travel opportunities for all its businesses, residents and visitors

Western Gateway is the Sub-National Transport body formed of the nine local authorities between Gloucestershire and Dorset. It aims to be a region that is sustainably connected and provides high quality and value for money travel opportunities for all its businesses, residents and visitors.

WSP was commissioned by BCP Council on behalf of the Western Gateway Transport Steering Group and its Stakeholders to develop a Rail Strategy for the region. Based on engagement with Stakeholders in the form of eConsultations, an online eWorkshop and a number of specific interviews, the conditional outputs developed during Phase 1 were investigated in more detail and fortified to drive change in the five key themes:

- 1 **Choice** - This theme seeks to make rail the mode of choice across the Western Gateway.
- 2 **Decarbonisation** - This theme aims to enable rail to contribute more actively towards the overall decarbonisation of the Western Gateway region.
- 3 **Social Mobility** - This theme targets to provide equal journey opportunities by rail for all residents of the Western Gateway by improving access to stations, multi-modal interchange, and affordable rail travel.
- 4 **Productivity** - This theme seeks to enable rail to contribute more actively to improvements in productivity across Western Gateway.
- 5 **Growth** - This theme facilitates sustainable growth across Western Gateway through better connecting development to rail and making sure the rail network is resilient to change.

23 conditional outputs set out the ambitions for rail in WG. **Six route maps to delivery** describe the governance, actions and processes for Western Gateway to follow as the implementation of the strategy progresses. This includes the establishment of **five cross-industry Taskforces** to deliver, monitor and evaluate these route maps between 2020 through to 2040 and beyond, ensuring that investment is prioritised and targeted to make a tangible difference to residents, businesses and visitors to the Western Gateway.



The strategy will require all relevant stakeholders to collaborate and leverage their influence to deliver this strategy and realise the identified Conditional Outputs. The Western Gateway Board and each of the **5 Taskforces** will have a series of actions and tasks to undertake within designated timescales to progress towards delivery of the strategy. This is clearly defined for the 0-3 year phase of the strategy, with actions and tasks for later phases being defined by deliverables and decisions made by the Board in the first phase. The **6 route maps** to Delivery are outlined in the table below: these are designed to be a blueprint for the Board and Taskforces to procure and deliver the necessary studies, business cases, and, in later stages of the strategy, design and construction. Chapter 7 contains the Route Maps themselves and more detail on the conditional outputs to be monitored and evaluated by each Taskforce.

Route Map	Owner
Strategy, Governance and Collaboration	Western Gateway Board
Strategic Planning and Configuration States	Strategic Planning Taskforce
Digital Solutions	Digital Solutions Taskforce
Stations & Access to Rail	Stations & Access to Rail Taskforce
Freight Taskforce	Freight Taskforce
Future Ready & Resilience	Future Ready & Resilience Taskforce

The Rail Strategy presents an ambitious yet deliverable vision for making rail a vital part of a sustainable transport network both within Western Gateway and across to its neighbouring authorities which has the support of all stakeholders who have been involved in its production.

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1 INTRODUCTION

- 1.1.1 Western Gateway (WG) is the Sub-National Transport (STB) body formed of the nine local authorities between Gloucestershire and Dorset. It aims to be a region that is sustainably connected and provides high quality and value for money travel opportunities for all its businesses, residents and visitors.
- 1.1.2 Part of this overall Strategic Transport Plan is to develop a mode-specific Rail Strategy which outlines how rail will help deliver the overall vision and objectives for transport in WG.
- 1.1.3 WSP was commissioned by BCP Council on behalf of the Western Gateway Transport Steering Group and its Stakeholders to develop a Rail Strategy for the region. This Strategy presents the need for change based on a review of policy, challenges and trends, it explores the region's vision, objectives and priorities, and develops a series of Conditional Outputs which will support the delivery of these objectives.

1.2 PREVIOUS WORK

- 1.2.1 This Phase 2 Report builds on the Phase 1 Report issued in February 2020, which outlined the need for change, the vision, objectives and priorities for rail in WG, and a series of draft Conditional Outputs. The technical reports for both Phases will be amalgamated and condensed into a single, published strategy document in September 2020.
- 1.2.2 The Phase 1 report set the geographical, economic and transport contexts for this work, at strategic, policy and operational levels, setting out details of the current rail network and passenger and freight services, committed and developing plans for improvements, and how these fit with the strategies and aspirations of the local authorities in Western Gateway. The report pays close attention to potential demographic and technological changes and how they may affect the demand for and supply of transport over coming decades. An important facet of this work is the attention paid to cross-boundary services – WG railways are part of a national network, and some key transport nodes which serve WG populations are outside the region. Key policy considerations include:
 - the climate emergency;
 - an integrated transport network within WG;
 - interconnected UK-wide transport networks;
 - an evolving railway network;
 - a strategic transport network;
 - a customer focused rail network;
 - sustainable growth and a resilient network; and
 - freight requirements and opportunities.
- 1.2.3 The Phase 1 report and subsequent work has identified that the **need for change** covers all aspects of the railway, including:
 - route and track upgrades, including capacity and speed enhancements, to take account of growth (covering passenger and freight services);
 - service levels (frequency, routes served; connections)
 - rolling stock (quality, efficiency, traction modes);
 - station access and facilities;
 - the place of stations in their communities and wider transport networks;
 - journey times (including line speeds and service frequencies); and
 - reliability and punctuality.

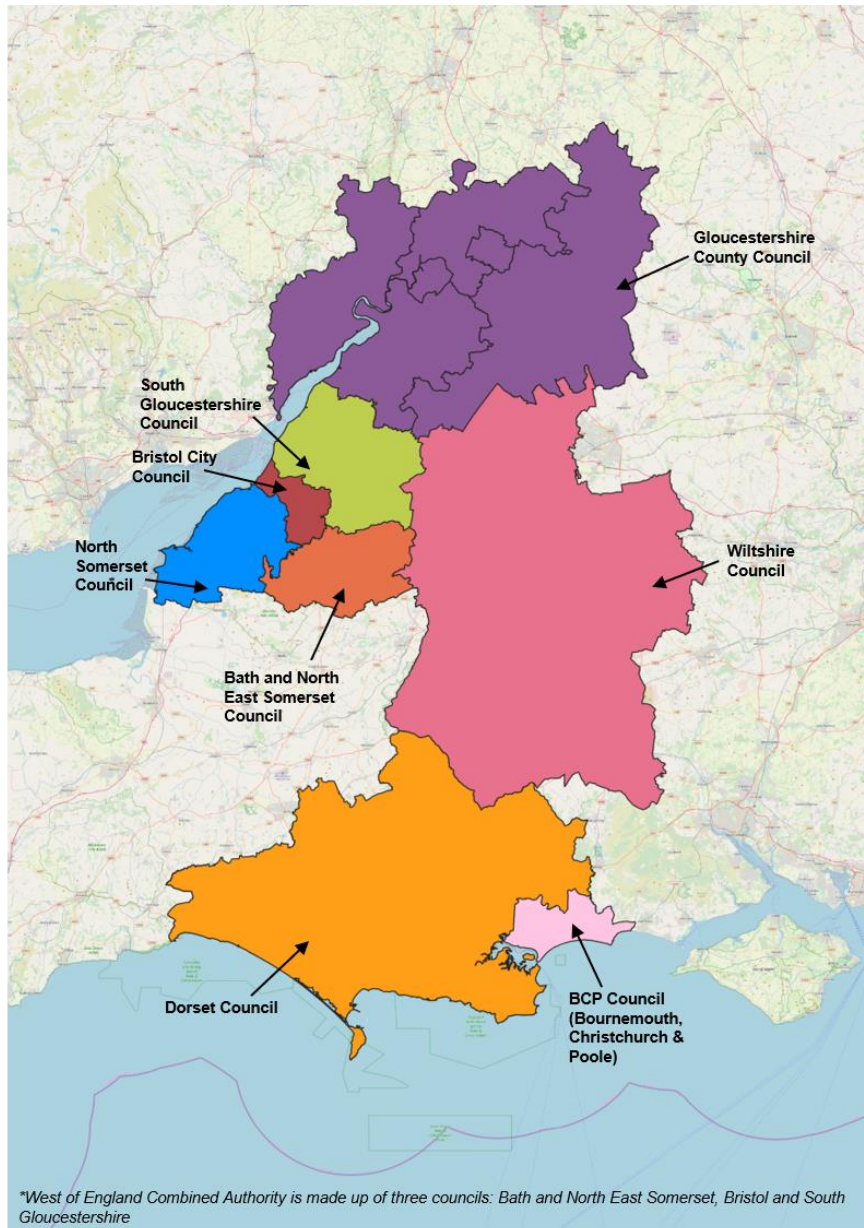
1.3 REPORT STRUCTURE

- 1.3.1 This report presents Phase 2 of the development of the rail strategy and is structured as follows:
- Introduction, Context, Progress, Definitions and Designations
 - Theme chapters:
 - Choice;
 - Social Mobility;
 - Decarbonisation;
 - Productivity; and
 - Growth;
 - Delivering the Rail Strategy.
- 1.3.2 Chapter 1 is a condensed summary of the Phase 1 report with amendments based on the feedback and continuous improvement process through eConsultations and workshops.
- 1.3.3 The five themes – Choice, Social Mobility, Decarbonisation, Productivity, Growth – were identified by WSP based on stakeholder workshops to provide a clear framework for the strategy. They are closely inter-connected, while still giving clear focus and shape. Each theme is summarised in a high-level objective and developed into a number of priorities. These in turn are linked to a series of Conditional Outputs (COs), each of which becomes deliverable through a series of actions, for the short, medium and long-term. Objectives, priorities and COs sometimes overlap, and many of the actions address more than one theme objective or CO. COs are conditional upon them demonstrating a robust business case (Value for Money) for identified interventions intending to deliver the respective outputs, and the aim of the strategy is to provide a robust framework and a consistent appraisal across the Western Gateway.
- 1.3.4 Work on this strategy started before the COVID-19 pandemic. The short-term effects of lockdown on rail patronage are well documented; at the time of writing, passenger numbers on the rail network are rising – but are still considerably below pre-COVID levels. It is uncertain whether changed working, shopping and travel behaviours will persist after the pandemic (and when that might be), but the focus of this strategy, on setting out aspirations for the rail network in the context of the climate emergency and making rail accessible by all, remains valid, looking ahead towards a net carbon zero future.

1.4 GEOGRAPHICAL CONTEXT

- 1.4.1 Western Gateway and its nine constituent local authorities comprise a great variety of places, with major urban centres and conurbations, market towns and rural areas, coastal and inland as seen in Figure 1-1. The region borders the Peninsula Transport area to the south west (Cornwall, Devon, Somerset) and with three sub-national transport body areas to the north and east: Midlands Connect, England's Economic Heartland and Transport for the South East. The Western Gateway area also borders Wales.

Figure 1-1 - Local Authority Boundaries in the Western Gateway



- 1.4.2 The current rail network geography, with main lines, secondary lines, rural/branch lines and freight lines, provides connections to most of the major towns and cities in the area, albeit some of the routes are indirect, or direct train services are not provided. There are multiple east-west routes, providing good connectivity from most of the region to London in the east, and west to Cardiff and Exeter and beyond. There are four routes providing north-south connectivity: the cross-country routes to Birmingham and beyond from Exeter and Bournemouth, plus the Portsmouth-Cardiff route and Bristol-Weymouth routes (at a lower service frequency).

1.5 NETWORK RAIL CONTEXT

- 1.5.1 Western Gateway bridges two Network Rail routes and regions. The southern part of Western Gateway sits within the Wessex route (part of Southern Region), with the northern part, including West of England, sitting in Western route and Wales & West Region.

- 1.5.2 Network Rail's System Operator function looks to the future through its Continuous Modular Strategic Planning (CMSP) process. The CMSP is designed to explicitly put passenger and freight users at the heart of the process. The development of this strategy has seen extensive engagement with both route strategic planning teams to ensure the interface between STB strategy and NR CMSP is productive, seamless and effective.
- 1.5.3 The timing of both the development of the rail strategy and the two CMSP programmes – Bristol to Birmingham and Dorset CMSP - provided a unique opportunity to align and interface with both the Wessex and Western System Operator teams to establish a way of working for future CMSPs. This Rail Strategy will provide a framework that requires the CMSP process to be part of the next step for developing the evidence base and justification for investment decisions. This strategy is designed to steer and support NR in understanding what scenarios and aspiration to test, and further details on the CMSP and ongoing programme are illustrated in Section 7.3 of the report.

1.6 STAKEHOLDER ENGAGEMENT

Engagement touchpoints

- 1.6.1 In a similar vein to Phase 1, Phase 2 also consisted of a series of stakeholder engagement touchpoints in order to capture, review and iterate the contents of the strategy. Due to the ongoing distancing guidelines brought on by COVID-19, these were all moved to digital engagement activities, with three eConsultations, an eWorkshop and a series of meetings with Network Rail being held online.
- eConsultation 1: Designations and Definitions used as part of the strategy (more detail below);
 - eConsultation 2: How the conditional outputs are to be measured, the setting of targets and the current gaps in meeting these, broken into:
 - 2a) themes Choice and Social Mobility
 - 2b) themes Decarbonisation, Productivity and Growth
 - eWorkshop on intervention identification and barriers to delivery
 - Meetings with Network Rail after each touchpoint from both a Route Management perspective and the teams for two ongoing Continuous Modular Strategic Planning (CMSP) programmes: Bristol to Birmingham and Dorset.

Summary of eConsultations

- 1.6.2 Feedback from the three waves of eConsultations was broadly supportive of the Conditional Outputs. A recurring theme was the importance of balancing vision and ambition, on the one hand, with realistic deliverability on the other. There was also repeated recognition that the wide range of stakeholders involved in delivering improvements to the rail network, whose drivers are not necessarily aligned, necessitates collaborative working to identify and overcome hurdles and barriers to progress. Much detailed feedback was provided, allowing definitions and categorisations to be refined and enhanced.

Evidence Base

- 1.6.3 At the start of Phase 1, stakeholders provided WSP with 64 documents, reports and studies relating to rail and transport planning within the Western Gateway geography. This included a wide range of types of document from high level studies to more detailed programmes of interventions.

- 1.6.4 We have reviewed these and assessed their relevance to the delivery of each CO. This assessment is presented as part of the write-up of each CO in the subsequent chapters, and where specific interventions have been identified, they have been incorporated into our route maps to delivery where relevant.

1.7 HUB DESIGNATION

- 1.7.1 As part of the development of the strategy we have developed agreed definitions for stations which fulfil different roles on the rail network. All stations perform a hub function of some kind to their local communities, with some performing more regional or national functions based on the level of service and facility offering. The National and Regional Hubs shown on the map in Figure 1-2.

National Hub

A station on the network that is regularly served by high speed, long distance services linking the station and settlement in question to other nationally significant towns and cities. In addition, the station also provides regional and local connections, hence being a station where high levels of interchange are expected. Station facilities should reflect the nature of journeys to, from and through the station.

Regional Hub

A station on the network that is served by strategic routes of regional and sub-national significance that will often, but not always, provide an interchange function – either rail to rail, or rail to another mode that provides strategic connectivity. Stations will usually be located in larger urban / economic centres and may experience more inward than outward travel (i.e. an attractor location), and / or reasonable levels of interchange.

Local Hub

A station that provides access to rail within its community in order for passengers to be able to use rail to access regional and / or national hubs as part of an end-to-end journey. Rail-to-rail interchange will be minimal at most of these stations, and station facilities reflect the volume and type of use.

- 1.7.2 A Hub Designation at this stage by no means fixes a station in a specific category in the future. Where stations aspire to fulfilling a different role on the network in the future to better serve its population (residential, employment or leisure), key characteristics such as service frequency (and destinations), catchment or station facilities that designate it at present can be identified as part of a gap analysis and a case put forward to change the role of the station on the network.
- 1.7.3 We have included a selection of Regional and National Hubs outside the WG boundary (“out-boundary”) on the map in Figure 1-2 to indicate where routes facilitate cross-border connectivity for stations within the WG boundary (“in-boundary”). This has also helped to define the types of services in the section below.
- 1.7.4 These categorisations affect how various COs in the strategy are framed, with different levels of service and facility appropriate and proportionate for different designations.

Figure 1-2 - National and Regional Hubs within and around the Western Gateway



1.8 SERVICE DESIGNATION

- 1.8.1 A service designation is required to adequately categorise services and flows with regards to the COs. This will ensure that the specific nature of services is taken into consideration to make the COs SMART while providing an appropriate level of proportionality. The definition of the four service categories below will depend on corridor catchment type, usage patterns, train service specification and will require a cross-authority and cross-operator consensus:



- **Intercity:** long distance, limited-stop services between National Hubs. This includes services which connect two out-boundary National Hubs and serve an in-boundary Regional Hub;
- **Regional:** limited-stop services between Regional Hubs intended to provide longer-distance connectivity where at least one Hub is in-boundary;
- **Urban:** metro-style services which connect local stations in a conurbation around an in-boundary Regional or National Hub; and
- **Local:** services between Regional-Local Hubs or Local-Local Hubs where at least one of these Hubs is in-boundary.

- 1.8.2 We have indicated the Intercity and Regional services on the map in Figure 1-3.

Figure 1-3 - Intercity and Regional Services in the Western Gateway



- 1.8.3 The nature of a service can change en route, for example some intercity trains have a more regional nature further away from London or Birmingham.
- 1.8.4 There is evidently close alignment between service and hub definitions. There will always be a level of subjectivity regarding the designation of individual stations, services or flows into these categories, and as the network evolves, it is anticipated that stations or services designated into one category at this stage can change designation as their role changes. The COs have consequently been set with an element of flexibility so that an inevitable ‘exception to the rule’ will not be a reason for failure to meet a CO.

1.9 ACCESSIBILITY

- 1.9.1 Some of the COs relate to ‘accessibility’ and a definition of accessibility is required to ensure that the authorities and other organisations know unambiguously what the CO is trying to achieve regarding ‘access’. Accessibility and mobility can frequently become incorrectly used and clarity (in the form of this definition) will ensure the COs remain SMART. Within this rail strategy, we have used the term ‘accessibility’ as defined below. We also provide a definition of ‘onward travel’ to provide clear distinction between ‘Access for All’ and ‘Access to Stations’.

Access for All

- 1.9.2 Following consultation, we have tightened our definition of ‘Accessibility’ to refer to what is commonly referred to in the rail industry as ‘Access for All’. This rail industry adopted term is used in

a somewhat generic way to describe the ability of station facilities and routes through the station (from station approaches to boarding trains) to be used by all members of society. The intent is that no user is discriminated against when using station facilities and boarding / alighting services, regardless of any disability (visible or hidden).

1.9.3 It is governed predominantly by 2 pieces of legislation:

- EU Technical Specification for Interoperability – Persons of Reduced Mobility (PRM-TSI) and the UK Implementation of this Legislation; and the
- DfT Design Standards for Accessible Railway Stations – A Code of Practice

1.9.4 However, current thinking suggests that the legislation listed above does not go far enough in stipulating accessibility requirements, and there is still too much focus on physical impairments.

1.9.5 The 2010 Equality Act in fact identifies 9 Protected Characteristics that should not be discriminated against. These are:

- Age;
- Disability;
- Gender Re-Assignment;
- Marriage / Civil Partnership;
- Pregnancy and Maternity;
- Race;
- Religion / Belief;
- Sex; and
- Sexual Orientation.

1.9.6 Beyond this, this rail strategy will also seek to provide equal opportunities to other social factors such as deprivation, making rail in the Western Gateway fully inclusive.

Onward Travel

1.9.7 Previously defined as 'Access to Stations', this definition covers the full range of modes by which station users are able to reach the station from their homes or workplaces – often defined as 'First Mile / Last Mile access', including:

- Highway Access;
- Car Parking – quantity, quality and distance from station entrance(s);
- Bus Routes & proximity of bus stops to station entrance(s);
- Walking and Cycling routes – signposting, safety / security;
- Cycle Parking provision – quantity and quality; and
- Pick-Up and Drop-Off arrangements – private vehicle and taxi.

1.9.8 For the most part, this covers the public highway and to some degree, the transition between public highway and railway infrastructure. As this is a rail strategy, accessibility (as defined above) aspects out of the direct control of partners to this strategy (e.g. step-free access to buses) are excluded.

2 CHOICE

2.1 INTRODUCTION TO THEME

2.1.1 This theme seeks to make rail the mode of choice across the Western Gateway. Although in some parts of the region (e.g. in the Greater Bristol area) rail is competitive with car, for the vast majority of people who have access to both car and rail, they are drawn to choosing road over rail due to aspects such as infrequency of services, on-train journey times and the need to interchange. Coupled with the association that rail is unreliable and expensive, there is a need to improve both the reality and perception of rail travel.

2.1.2 Three priorities were identified through stakeholder engagement in Phase 1. The table below expands on what these priorities are and what addressing them will mean to WG.

Priority	Description
Improve frequency of services to provide more flexibility in travel options	A clear criticism of the current rail network from stakeholders was the frequency of services in WG, particularly in the N-S access. This applies as much to evening and weekend travel (discretionary journeys) as to peak time travel. This priority is addressed by CO C1 and C4. As part of uplifting frequency, it is essential to consider freight frequency, to ensure rail is a viable option for the movement of goods. This is addressed by CO C6.
Make rail to rail interchange (where direct services not possible) as seamless as possible	The lack of direct journeys and extended interchange times compounds the concern of stakeholders regarding frequency. Both of these aspects contribute to the reasons why people currently do not choose rail. This priority is addressed by CO C2 and C5.
Improve operational reliability of the network to give confidence in rail as a mode of choice	Part of rail's poor perception stems from poor reliability of the network. This priority is addressed by CO C3.

2.1.3 Six conditional outputs were identified through stakeholder engagement in Phase 1. These are listed in the table below and this chapter adds more detail about their targets, gaps and routes to delivery.

Conditional Output	Description
C1: Frequency	Increase the frequency of services to aspirational target levels appropriate for service type
C2: Interchange	Min and max interchange time at stations on hub-to-hub routes
C3: Performance	A percentage uplift in Right Time arrivals, an increase in customer satisfaction regarding performance
C4: Extended Timetable	Improved evening, morning and weekend services
C5: Direct Services	Increased number of direct passenger services through Hub stations
C6: Freight	Enabling sufficient capacity and access to the network for freight services to allow existing and new markets to develop

2.2 CONDITIONAL OUTPUT C1: FREQUENCY

INTRODUCTION

- 2.2.1 Frequency was identified by stakeholders as one of the biggest concerns within Western Gateway and one of the barriers to rail mode choice. The timetable can be inconsistent, particularly in rural areas, which discourages people to choose rail. As a key driver to modal shift it is important that frequency is high enough for people to choose rail at local, regional and national journeys.

What?	Increase the frequency of services to minimum off-peak aspirations appropriate for service type
Why?	Frequency is a key driver behind service quality and mode share, and an increase in frequency will enable rail to become the mode of choice in the Western Gateway. While the development and issuing of a Train Service Specification (TSS) is typically the responsibility of a service specifier (the Department for Transport) in close consultation with Network Rail and other stakeholders, we have developed minimum off-peak aspirations based on views captured by stakeholders.
Where?	Route-wide, see below
When?	Medium term, to be refined in delivery plan
Who?	Service specifiers accountable, supported TOCs and Network Rail
How Measured?	See below.
Interdependencies with other COs	P1 – Journey Time
Example persona testing	For a day tripper, would the increased service frequencies enable them to make a return journey by rail between their home and their destination within one day?

EVIDENCE BASE

- 2.2.2 The desire for improved frequency was identified in 54 out of 64 studies reviewed as part of the strategy and was the most frequently observed theme. This highlights the scale of priority that service frequency improvements has in the region, however many of these studies had not progressed to identify interventions in order to deliver these.

HOW WILL IT BE MEASURED (TARGETS) AND GAP ANALYSIS

- 2.2.3 This conditional output is measured using our service designation which outlines minimum average number of trains per hour in the off-peak on a weekday. The gap analysis is performed against this weekday off-peak frequency in the December 19 timetable, based on the aspirational minimum frequency for each service type.
- 2.2.4 This is measured by the frequency of routes where direct services exist (and notes where indirect services also exist on the route). Where no direct route currently exists, this is addressed in Conditional Output C5 which looks at increasing direct services. Where timetable inconsistencies prevail, this has been noted too.

- 2.2.5 Within each service type we recognise that there are specific regional differences which may – by nature of demand – necessitate higher frequencies to drive modal shift and hence the aspirational frequencies are still considered a minimum. This is particularly the case on Regional routes and Intercity routes which connect to Birmingham, and Network Rail CMSP processes will likely test frequencies above the minimum aspiration set in the tables below.
- 2.2.6 The deliverability of these frequencies and the interventions required to achieve them will be assessed in more detail by Network Rail CMSP teams to develop future Train Service Specifications (TSS).

Intercity

Minimum Aspirational Frequency: 2tph

- 2.2.7 Intercity Routes have been defined as direct services between National-National hubs. This includes services which connect two out-boundary National Hubs and serve an in-boundary Regional hub. These have been ordered in terms of greatest gap to lowest gap.

Route	Current Frequency	Gap
Weston-Super-Mare – Bristol – Swindon – Reading	2 indirect, selected direct	2
Exeter – Westbury – Reading	0.5 direct + 0.5 indirect	1.5
Cardiff – Gloucester – Cheltenham – Birmingham	1 direct + 2 indirect	1
Cardiff – Bristol Parkway – Swindon – Reading	1 direct + 1 indirect	1
Cardiff – Bristol – Bath – Westbury – Salisbury – Southampton	1	1
(Bournemouth) – Southampton – Birmingham*	1	1
Exeter – Yeovil – Salisbury – Basingstoke	1	1
Exeter – Taunton – Bristol – Cheltenham – Birmingham	1	1
Bristol – Bath – Chippenham – Swindon – Reading	2	0
Bristol – Bristol Parkway – Swindon – Reading	2	0
Bristol – Cheltenham – Birmingham#	2	0

*2tph to Southampton in the short term with a longer-term aspiration to extend to Bournemouth.

#Bristol to Birmingham CMSP process will likely test above the minimum 2tph aspiration.

- 2.2.8 We have distinctly avoided the use of London in this conditional output: stakeholder feedback indicates that the focus on London journey times has been a significant contributing factor to the erosion of regional connectivity in the area. Decoupling from London will allow the region's strategic attention to be focussed on regional routes and corridors. While some of the routes clearly have an endpoint in London and/or other cross-border National Hubs and might not necessarily reflect the stopping pattern of the current timetable, the purpose is to illustrate service frequency and connectivity across a rail corridor and not a specific origin destination pair.

Regional

Minimum Aspirational Frequency: 1tph

- 2.2.9 Regional Routes have been defined as direct services between Regional-Regional hubs where at least one hub is inside the Western Gateway boundary. It has been noted in the table below that some of these routes have a minimum aspirational frequency of 2tph and some of these routes should have their timetabling irregularities resolved. It is considered that a barrier to modal shift is the inconsistent service pattern and a more clock-face design would support modal shift. The identified gap has nevertheless been measured based on a 1tph aspiration as for other routes anything above 1tph is not an achievable goal from a value for money perspective. These have been ordered in terms of greatest gap to lowest gap.

Route	Current Frequency	Gap
Exeter – Weston-Super-Mare	1 indirect	1
Westbury – Chippenham	0.5	0.5
Westbury – Taunton	0.5 irregular	0.5
Westbury – Reading	0.5 irregular	0.5
Weymouth – Yeovil – Westbury – Bath – Bristol	0.5 irregular	0.5
Gloucester – Cheltenham – Worcester Shrub Hill	0.5 + 1 indirect	0.5
Bristol – Weston-Super-Mare (semi-fast, not Intercity)	1	0
Weymouth – Poole – Bournemouth – Southampton*	2	0
Salisbury – Southampton	1	0
Cheltenham / Gloucester – Swindon – Reading <i>Aspirational frequency of 2tph by way of a second direct hourly service</i>	1 direct + 1 indirect	0
Bristol – Gloucester <i>Aspirational frequency of 2tph by way of a second direct hourly service</i>	1 direct + 1 indirect	0
Westbury – Salisbury <i>Timetable irregularity to be prioritised in next timetable planning process</i>	2 irregular	0

*Note: this represents the fast/semi-fast services and this route is complemented by the Urban services across the Dorset and BCP route as described below. While no gap has been identified here, the Dorset CMSP is considering whether an increase to this service frequency is viable.

Urban

Minimum Aspirational Frequency: 4-6 tph

- 2.2.10 Urban Routes have been defined as metro-style services which connect local stations in urban and peri-urban areas around a regional or national hub inside the Western Gateway boundary. The aspirational frequency is across the core metro area and the detailed stopping patterns are subject

to feasibility analysis by NR and their CMSP process according to infrastructure constraints and timetable planning rules.

- 2.2.11 Our definition of metro-frequency for the Dorset Metro area has been made in consultation with Dorset and BCP Council representatives and the NR Dorset CMSP team.
- 2.2.12 Our definition for the Bristol area has been broken down by routes and the aspirational frequencies have been taken from the MetroWest proposal documents based on the schemes which are being progressed by the West of England Combined Authority (WECA). Thus, there are already committed and planned interventions to address the gaps identified. In the longer term, WECA may wish to consider increasing frequency further, to 4-6tph on select routes, dependent upon the success of MetroWest. The aspirational frequencies in this strategy do not prohibit a future assessment of this need. MetroWest will deliver 5tph across the Temple Meads to Stapleton Road core, along with 4tph between Temple Meads and Parson Street.

Route	Current Frequency	Gap
Wareham – Brockenhurst (Dorset Metro) <i>Aspirational frequency 6tph across route (variable stopping pattern)</i>	1-3 Lower at local hubs	min 3
Bristol – Portishead (MetroWest Phase 1) <i>Aspirational frequency 2tph</i>	0	2
Bristol – Severn Beach (MetroWest Phase 1) <i>Aspirational frequency 1tph to Severn Beach</i> <i>Aspirational frequency 2tph to Avonmouth</i>	0.5 to Severn Beach 1.5 to Avonmouth	0.5 0.5
Bristol – Bath Stopper Service (MetroWest Phase 1) <i>Aspirational frequency 2tph</i>	1	1
Bristol – Weston-Super-Mare Stopper Service* <i>Aspirational frequency 2tph</i>	1	1
Bristol – Yate and Gloucester (MetroWest Phase 2) <i>Aspirational frequency 2tph</i>	1	1
Bristol – Henbury (MetroWest Phase 2) <i>Aspirational frequency 1tph</i>	0	1

*note: Bristol to Weston-Super-Mare is already 2tph when including the semi-fast services however an increase beyond this has been identified as a stakeholder priority.

Local

Minimum Aspirational Frequency: 1tph

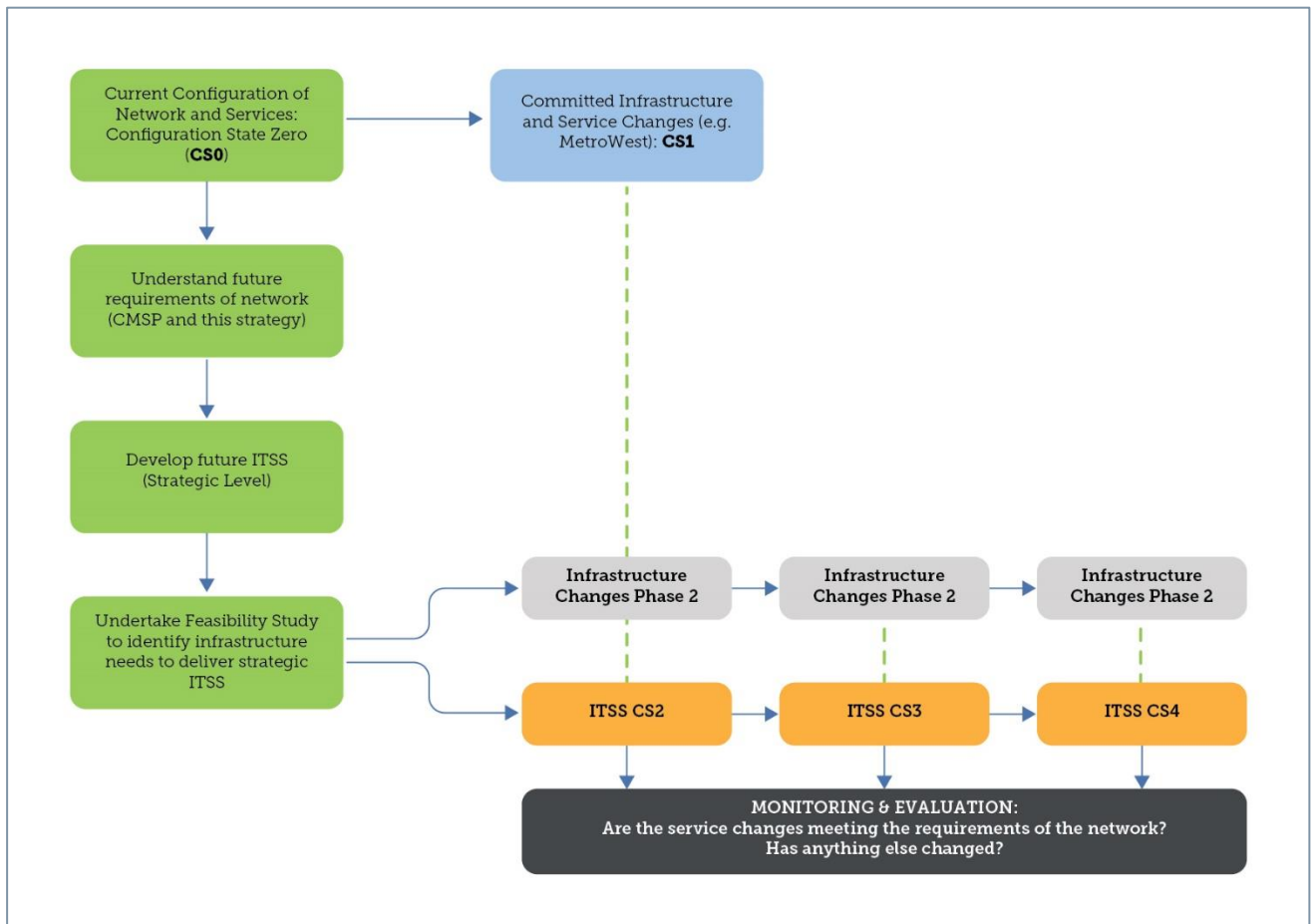
- 2.2.13 Local Routes have been defined as direct services between Regional-Local hubs or Local-Local hubs where at least one hub is inside the Western Gateway boundary, but the route falls outside the metro areas described above. Many of the local connectivity concerns are based on timetabling irregularities as a barrier to modal shift and priority should be given to restoring timetable consistency. The routes selected below are illustrative of local minimum aspirational frequencies. These have been ordered in terms of greatest gap to lowest gap.

Route	Current Frequency	Gap
Swanage – Wareham – Bournemouth	0	1 (long term aspiration 2)
Salisbury – Romsey calling at all stations	1	0
Castle Cary – Westbury	2-hour gaps and 2 in an hour	0 but timetabling consistency

DELIVERY PLAN – IDENTIFIED INTERVENTIONS

- 2.2.14 As discussed above, there are studies and committed schemes already in progress for addressing service frequency in urban areas. These are the Dorset CMSP and the WECA MetroWest programme (set out below). A wider CMSP programme is also planned (details included in Chapter 7) that will consider future demand for rail travel and options for how that demand can be met. In some instances, this will include frequency uplifts, where this strategy will be used as a baseline to recognise stakeholder aspirations.
- MetroWest Phase 1a: Half hourly services Severn Beach Line to Bristol Temple Meads to Bath Spa to Westbury. Opening December 2021.
 - MetroWest Phase 1b: reopened Portishead line, hourly services with new stations at Pill and Portishead. Opening 2024 (Delayed due to COVID-19).
 - MetroWest Phase 2: reopening the Henbury Line, new stations at Henbury, North Filton and Ashley Down and an additional service to provide half hourly services to Yate and Gloucester. Opening May 2023.
- 2.2.15 Any uplift in frequency to address the gaps identified above must both be supported by a business case and in some cases will require infrastructure changes to be delivered. This will be an iterative process between NR, WG, Operators and other stakeholders, through the establishment of a Strategic Planning Taskforce.
- 2.2.16 We recommend that through the CMSP process which is already collaborative, a prioritised Train Service Specification for Western Gateway is established, that reflects a minimum of 4 ‘configuration states’ as service frequencies progressively improve towards achievement of the CO targets. The first ‘configuration state’ may be achievable on the existing network under current Timetable Planning Rules; however it is expected that future ‘configuration states’ will require the delivery of infrastructure changes to permit the subsequent service changes. This is a recognised industry process that has been used previously, for example on major programmes such as Northern Hub, as illustrated in Figure 2-1 below.

Figure 2-1 - Strategic Planning Configuration States



2.3 CONDITIONAL OUTPUT C2: INTERCHANGE

INTRODUCTION

- 2.3.1 Interchange is another key driver to mode choice and attracting people to use rail. Direct services are not feasible between all hubs and therefore it is important to provide interchange options that are achievable, accessible and not a barrier to choosing rail. Interchange is another key concern highlighted by stakeholders in order to attract more people to use rail.

What?	Maximum interchange time at stations on hub-to-hub routes
Why?	<p>Conditional Output C2 addresses a key stakeholder concern regarding long wait times at some interchange stations where direct journeys are not available, and passengers are required to change trains.</p> <p>In general, an optimum connection time appears to be no less than 10 minutes and no more than 20 minutes to allow achievable connections without an impact on journey times (recognising the large weighting applied to wait time by passengers in business case development).</p>
Where?	At stations where interchange is required as part of an end-to-end journey

When?	Short to medium term Two stages outlined below, one for 2025 and one for 2030
Who?	Service specifiers accountable, supported by TOCs and Network Rail
How Measured?	See below
Interdependencies with other COs	M1 – Station Access C1 - Frequency (an improvement to frequency will support this CO) C5 - Direct Services (an improvement to direct services will support this CO)
Example persona testing	For a regional or long-distance commuter, is the interchange time appropriate to offer a journey time which is competitive with the car?

EVIDENCE BASE

- 2.3.2 The desire to improve interchange was identified in 37 out of 64 previous studies as part of the development of this strategy and is therefore assumed to be a key priority for stakeholders.
- 2.3.3 We have analysed where interchange is required across hub to hub journeys made within the Western Gateway. Note this analysis was performed on all Regional and National hubs as per the Hub designation: this therefore includes a selection of out-boundary hubs to facilitate cross-border connectivity.
- 2.3.4 Of the 300 hub to hub journey pairs, 146 cannot be made directly (almost 50%) and Table 2-1 below shows which National/Regional Hub/Hub trips require interchange.
- 2.3.5 Stakeholder feedback has identified that a key concern is Local to Regional and Local to National journeys which require interchange however we have not undertaken a full journey planning exercise as part of this study (as this requires more than a timetable analysis). While a sample of journeys was considered, we have avoided a regional bias in the analysis and the regional-specific gaps in interchange acceptability can be addressed as part of CMSP programmes in these areas.
- 2.3.6 The use of Generalised Journey Time was considered but due to the nature of it bundling all components together (frequency, speed/time and interchange), we have unpacked into separate conditional outputs to enable more targeted interventions to be established.

Table 2-1 - List of hub to hub connections served directly

		In or out of WG boundary		OUT	OUT	IN	OUT	OUT	OUT	IN	IN	IN	OUT	IN	IN	OUT	IN	OUT	OUT	IN	IN	IN	IN	IN	OUT	OUT	OUT	OUT
		National or Regional		N	N	N	N	N	N	N	N	R	N	R	R	N	R	R	R	R	R	R	R	R	N	R	R	R
				BHM	RDG	BRI	OXF	SOU	BSK	BTH	BPW	CNM	SWI	BMH	SAL	DID	GCR	EXD	WOS	POO	CPM	WSB	WEY	WSM	CDF	TAU	YVJ	YVP
OUT	N	Birmingham New Street	BHM																									
OUT	N	Reading	RDG	☑																								
IN	N	Bristol Temple Meads	BRI	☑	☑																							
OUT	N	Oxford	OXF	☑	☑	☐																						
OUT	N	Southampton Central	SOU	☑	☑	☑	☑																					
OUT	N	Basingstoke	BSK	☑	☑	☑	☑	☑																				
IN	N	Bath Spa	BTH	☐	☑	☑	☐	☑	☑																			
IN	N	Bristol Parkway	BPW	☑	☑	☑	☐	☐	☐	☑																		
IN	R	Cheltenham Spa	CNM	☑	☑	☑	☐	☐	☐	☑	☑																	
OUT	N	Swindon	SWI	☐	☑	☑	☐	☐	☐	☑	☑	☑																
IN	R	Bournemouth	BMH	☑	☑	☐	☑	☑	☑	☐	☐	☐	☐															
IN	R	Salisbury	SAL	☐	☐	☑	☐	☑	☑	☑	☐	☐	☐	☐														
OUT	N	Didcot Parkway	DID	☐	☑	☑	☑	☐	☐	☑	☑	☑	☑	☐	☐													
IN	R	Gloucester	GCR	☑	☑	☑	☐	☑	☐	☑	☑	☑	☑	☐	☑	☑												
OUT	R	Exeter St Davids	EXD	☑	☑	☑	☐	☐	☑	☑	☑	☑	☐	☐	☑	☐	☐											
OUT	R	Worcester Shrub Hill	WOS	☑	☑	☑	☑	☐	☐	☑	☑	☑	☐	☐	☐	☑	☑	☐										
IN	R	Poole	POO	☐	☐	☐	☐	☑	☑	☐	☐	☐	☐	☑	☐	☐	☐	☐	☐									
IN	R	Chippenham	CPM	☐	☑	☑	☐	☐	☐	☑	☐	☐	☑	☐	☐	☑	☐	☐	☐	☐								
IN	R	Westbury	WSB	☐	☑	☑	☐	☑	☑	☑	☑	☑	☑	☐	☑	☐	☑	☑	☑	☐	☑							
IN	R	Weymouth	WEY	☐	☐	☑	☐	☑	☑	☑	☑	☐	☐	☑	☐	☐	☑	☐	☐	☑	☐	☑						
IN	R	Weston-Super-Mare	WSM	☐	☑	☑	☐	☐	☐	☑	☑	☐	☑	☐	☐	☑	☐	☑	☐	☐	☑	☐	☐					
OUT	N	Cardiff Central	CDF	☑	☑	☑	☐	☑	☐	☑	☑	☑	☑	☐	☑	☑	☑	☐	☐	☐	☐	☑	☐	☑				
OUT	R	Taunton	TAU	☑	☑	☑	☐	☐	☐	☑	☑	☑	☑	☐	☐	☑	☐	☑	☐	☐	☑	☑	☐	☑	☑			
OUT	R	Yeovil Junction	YVJ	☐	☐	☑	☐	☐	☑	☑	☐	☐	☐	☐	☑	☐	☐	☑	☐	☐	☐	☑	☐	☐	☐	☐		
OUT	R	Yeovil Pen Mill	YVP	☐	☐	☑	☐	☐	☑	☑	☑	☐	☐	☐	☑	☐	☑	☐	☐	☐	☐	☑	☑	☐	☐	☐	☑	

HOW WILL IT BE MEASURED (TARGETS)

2.3.7 This conditional output will be measured on hub to hub services (both National and Regional) where an interchange is required where at least one hub is inside the Western Gateway boundary (ie. Out-Out are excluded).

2.3.8 Based on consultation with stakeholders, we have set the aspirational interchange time standard as:

Key Aspiration: Interchange	
10 minutes minimum – 20 minutes maximum	

2.3.9 We have retained a high level target as the analysis is highly sensitive to changes in timetable and changes to frequency. More detailed specific station interchanges may not be relevant in a subsequent timetable change and therefore the target should be treated as an STB-wide aspiration.

2.3.10 This CO is highly dependent on performance and the confidence passengers have that short connection times can be made, especially those with accessibility requirements or making different types of journey (eg leisure vs commute): we have therefore set a 10 minute minimum. A number of interchange times across WG fall within the 5-9 minute category which with even a minor perturbation in arrival will cause a missed connection and we feel that the 10 minute threshold will materially improve the current baseline. On high frequency routes, a missed connection due to a late arrival is less of a concern: we recommend that the 10 minute minimum is aspired towards as part of timetable planning exercises, reducing the impacts of low frequency journeys where the risk of a missed connection is a barrier to travel.

2.3.11 We also recognise that the introduction of new direct services will help improve this CO.

2.3.12 There will always be discrepancies and any changes or interventions specific to interchange must always be weighed up with the benefits of doing so. Western Gateway should therefore work together with Network Rail and the Department of Transport on timetable specification exercises.

GAP ANALYSIS

2.3.13 We have looked at the current interchange times on hub to hub journeys where an interchange is required as per the matrix above and whether or not it meets the aspirational range:

Type of hub	Current compliance (all interchange hubs)	Current compliance (inside WG-only)
Regional	40%	37%
National	63%	66%

2.3.14 Many journeys within and across the Western Gateway require interchange at hubs *outside* the Gateway (especially Reading, Didcot, Swindon, Yeovil). We have reported compliance current compliance figures for both above, and recognise that they may be differing levels of influence that Western Gateway may be able to have at hubs outside the boundary.

2.3.15 We have set very broad aspirational compliance levels against this baseline as follows:

	Stage 1 (2025)	Stage 2 (2030)
Regional Hub aspiration	50%	60%
National Hub aspiration	70%	80%

- 2.3.16 We recognise that a number of factors are at play and changes to frequency and direct services will support the delivery of this CO. We also recognise that there will always be exceptions to the rule and that due to the diverse nature of journeys made across the STB, increasing or reducing some interchange times will not be feasible. The key focus here is that this interchange time band is kept as a guiding principle to strive towards as part of the timetable planning process.
- 2.3.17 We also recognise that there are a number of stations across the Western Gateway geography which act as strategic interchange points which were not designated as Regional Hubs in our station classification process, such as Trowbridge, Dorchester and Castle Cary. Stations with an interchange function are determined by network and service patterns, and although this was part of the consideration in Hub designation, it was not the sole factor, with aspects such as facilities and catchment also informing the designation. There is no reason why these stations cannot be measured against the Regional Hub aspiration for interchange.

DELIVERY PLAN – IDENTIFIED INTERVENTIONS

- 2.3.18 Interventions for Interchange will be overseen by the Strategic Planning Taskforce and need to be included within the Strategic Planning process identified in CO C1, such that any opportunities for improved interchange at each ‘configuration state’ are identified and considered. This Taskforce will be able to monitor and evaluate the interchange aspirations for each hub designation and adapt targets based on observed service levels, journey purposes and other interchange characteristics (eg. commuter interchange, long distance leisure interchange or station infrastructure barriers).
- 2.3.19 Some specific infrastructure projects just outside the boundary of Western Gateway are due to deliver improved interchange for Western Gateway residents to access Heathrow Airport and central London. The recent remodelling of Reading Station as part of the Great Western Electrification Programme and in preparation for Crossrail is a key part of this.

2.4 CONDITIONAL OUTPUT C3: PERFORMANCE

INTRODUCTION

- 2.4.1 Confidence and trust that you will arrive at your destination when you planned is a key factor in mode choice: poor performance is consistently flagged as an issue to passengers in the National Rail Passenger Survey and is a barrier to attracting people to rail.

What?	A percentage uplift in Right Time arrivals and an increase in customer satisfaction regarding performance
Why?	Performance is one of the most important factors in passenger choice making and the level of confidence that users have in rail as a mode. Traditionally, performance monitoring and management has been isolated to rail industry bodies however there exists an opportunity for

	<p>local authorities to be more closely aligned to the process (even if the delivery remains largely with those bodies).</p> <p>The emphasis in this output will be performance at every stop of every service, not simply at the destination, which mirrors the industry's recent move away from the Public Performance Measure (PPM) towards Right Time, T-3 and T-5 metrics. This also then facilitates interchange (rather than just measuring punctuality at service destination).</p>
Where?	Route-wide, targets to be disaggregated by operator where necessary
When?	<p>Short to Medium term</p> <p>Stage one by the end of 2021</p> <p>Stage two by the end of 2025</p> <p>Stage three by the end of 2030</p>
Who?	TOCs and Network Rail will be accountable and specified and monitored by service specifiers.
How Measured?	See below
Interdependencies with other COs	G3 – Network Resilience
Example persona testing	For a business traveller or delivery employee, is the railway reliable enough to depend upon for business needs?

EVIDENCE BASE

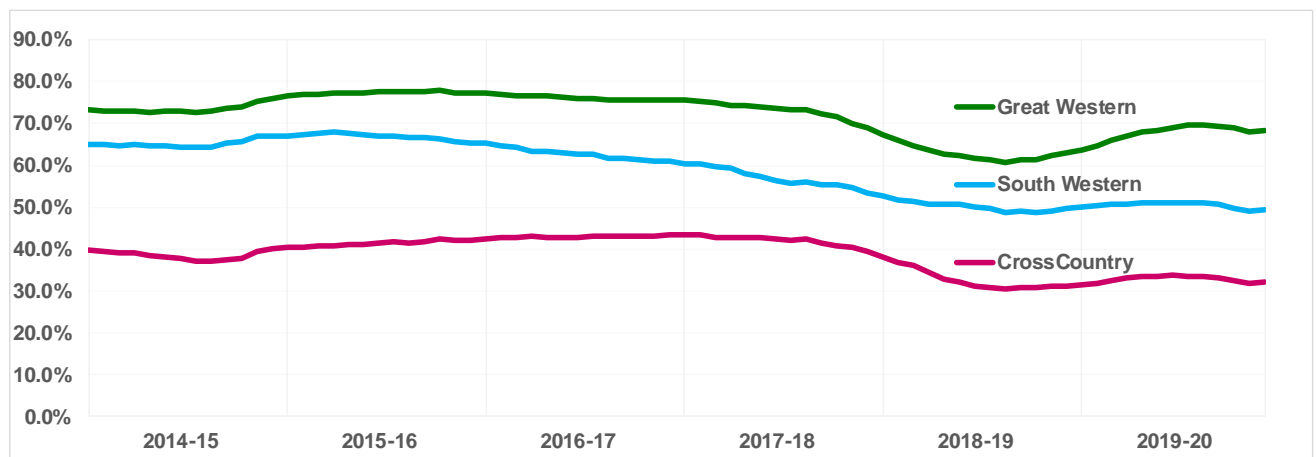
- 2.4.2 The desire to improve performance was identified in 52 out of 64 studies provided as part of the study and is therefore assumed to be a key priority for stakeholders.
- 2.4.3 Most of the studies analysed the timetable however they did not identify direct interventions to improve network performance by reducing delays and increase punctuality beyond the measures that Network Rail and TOCs can implement. There is therefore an opportunity for more close working regarding performance so that local authorities can support the prevention, mitigation and recovery from delays on the network.

HOW WILL IT BE MONITORED

- 2.4.4 Based on discussions with Network Rail, the terminology in this Conditional Output will look at 'monitoring' rather than 'measuring'. There are existing metrics and benchmarks which TOCs and NR work towards delivering and the STB should not be setting new – and possibly conflicting – targets beyond contractualised industry figures.
- 2.4.5 That said, TOCs and NR have indicated that they welcome ways in which local government can support the prevention, mitigation and recovery from delays based on delay causes identified as being appropriate, specifically those over which they have influence.

- 2.4.6 Possible ways in which local and combined authorities could support TOCs and Network Rail in the prevention, mitigation and recovery from primary and secondary delays include, but is not limited to:
- Supporting funding bids for infrastructure improvements and station upgrades;
 - Level crossing-related delays;
 - Fatalities and trespass mitigation by working with local community groups and/or enforcement services;
 - Vegetation management across the interface of council to railway land boundary to reduce trackside debris delays; and
 - The support in provision of replacement coach services during disruption for example by enabling better access to and from stations, removing restriction, safeguarding parking.
- 2.4.7 We recommend that performance is monitored using Right-Time arrivals (RT) and T-3 metrics as reported by the Office of Rail and Road, alongside the National Rail Passenger Survey (NRPS) score for Performance as reported by Transport Focus for each TOC (based on the relevant service group(s) for the operators in the geography). We recognise that the industry has moved away from the Public Performance Measure (PPM) due to its end-station nature while RT and T-3 measure performance at every stop of a service.
- 2.4.8 Figure 2-2 displays the Right Time Arrival metrics as reported by the ORR for GWR, SWR and CrossCountry, indicating they have not exceeded 78%, 68% and 43% respectively since 2014/15.

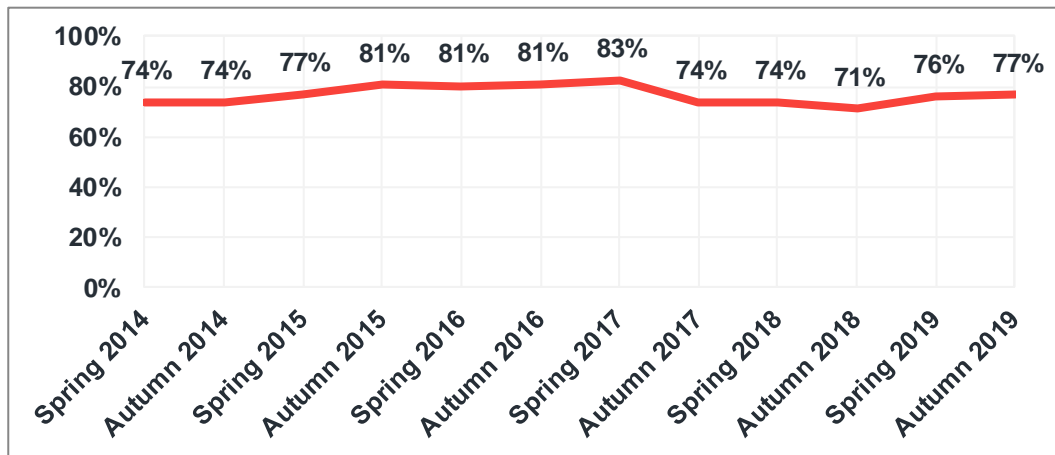
Figure 2-2 - Periodic right time arrivals by sub-operator* (Rail Year 2015 to 2020)



*based on consultation with the respective TOCs, the sub operator groups used are “West” for GWR, “Mainline” for SWR and “South West” for CrossCountry”. The report used for this was *Disaggregated PPM Right Time and CaSL at sub operator level for All TOCs - Table 3.9*

- 2.4.9 From a customer satisfaction point of view, we have looked at NRPS scores for the last 6 years (2014-2019) and the Punctuality/reliability of the train metric. This indicates that over the past 6 years, the highest satisfaction score in any wave was 83% (in Spring 2017).

Figure 2-3 - NRPS Punctuality/Reliability score for all three sub-operators* (2014-2019)



* for this, we have combined the most applicable service grouping for the three train operators of the Western Gateway, being GWR Long Distance, SWR Long Distance and CrossCountry South.

DELIVERY PLAN – IDENTIFIED INTERVENTIONS

- 2.4.10 A draft of this study included target figures for Right-Time arrivals and NRPS scores however these have been deemed inappropriate and run the risk of conflicting with contractualised performance measurement processes: we therefore recommend that performance is measured based on the TOC and Network Rail benchmarks and the associated Schedule 7.1 and Schedule 8 in franchise agreements.
- 2.4.11 This study does not identify specific interventions beyond the establishment of a Future Ready & Resilience Taskforce, through which nominated representatives from Western Gateway can work collaboratively with rail industry partners to influence performance improvement measures towards the industry targets described above.
- 2.4.12 An initial action within this Taskforce would be the development of an action plan which includes dates and aspirations, for example commissioning a study to further identify possible infrastructure interventions or establishing a detailed analysis of delay causes and their hotspots on a recurring basis.

2.5 CONDITIONAL OUTPUT C4: EXTENDED TIMETABLE

INTRODUCTION

- 2.5.1 Changes in passenger behaviour across all journey purposes has indicated that there is demand for earlier and later trains in the timetable. Many of these passengers currently opt for the private car (if they own or have access to one) as rail simply does not provide a service to enable modal shift for these discretionary journeys. This is especially notable on service groups whose timetable has been designed based on arrival and departure times in London. This is a concern not only on weekdays but also for weekend services.
- 2.5.2 The main barrier to extending a timetable is its impact on essential maintenance, both from an engineering and infrastructure point of view (Network Rail) but also fleet maintenance and traincrew requirements point of view (TOCs). This is discussed in further detail below.

What?	Improved evening, morning and weekend service times and frequencies
Why?	Travel habits have changed, and there is an ever-growing demand for evening and weekend discretionary travel for leisure purposes, as well as serving the wider-ranging and more flexible working hours. Stakeholders have expressed the need for both earlier and later running of services, and improved frequencies at weekends. The purpose of this CO is to make train services available at times when passengers wish to travel, and to support the evening and weekend economy by improving train services at these times.
Where?	Route-wide
When?	Short to medium term Two stages outlined below, one for 2025 and one for 2030
Who?	Service specifiers accountable
How Measured?	See below
Interdependencies with other COs	-
Example persona testing	For inter-urban shoppers or socialisers, are there enough evening, morning and weekend services to make rail the choice for turn-up-and-go trip?

EVIDENCE BASE

- 2.5.3 An increase in earlier and later services was identified in 44 out of 64 studies that were reviewed. It is noted that this could be improved if the timetable were decoupled from London and an increase in local and urban provision (as identified in C1 frequency) particularly around Bristol and BCP/Dorset is achieved.

HOW WILL IT BE MEASURED (TARGETS)

- 2.5.4 This conditional output will be measured on hub to hub services (both National and Regional) where at least one hub is inside the Western Gateway boundary (ie. Out-Out are excluded). The time thresholds below have been derived from stakeholder consultation.

Service Type	Latest first service arrival at Hub station	Earliest last service departure from Hub station
Time at Hub	07:00 (09:00 on Sundays)	23:00

GAP ANALYSIS

- 2.5.5 We have analysed the number of point to point hub flows which meet the standard outlined above in a holistic manner relating to all stations. The percentage relates to the number of these flows that meet the standard divided by the number of total point to point hub flows in the Western Gateway (excluding Out-Out flows). This analysis was performed on all Regional and National hubs as per

the Hub designation: this therefore includes a selection of out-boundary hubs as we recognise that they can also be attractors and producers for trips to and from the Western Gateway.

Current	Weekday + Saturday	Sunday
Latest Arrival	33%*	21%
Earliest Departure	31%	20%

2.5.6 *For clarity: on 33% of all National to National hub or Regional to National hub flows where at least one of these hubs is within the Western Gateway, you can reach the destination hub by 07:00 on a weekday and Saturday.

2.5.7 Stakeholder feedback has identified that a key concern is Local to Regional and Local to National journeys however we have not undertaken a full journey planning exercise as part of this study (as this requires more than a timetable analysis). While a sample of journeys was considered, we have avoided a regional bias in the analysis and the acceptability of regional-specific gaps in early and late arrivals can be addressed as part of CMSP programmes in these areas.

DELIVERY PLAN – IDENTIFIED INTERVENTIONS

2.5.8 The main barrier to extending a timetable is its impact on essential engineering works which Network Rail perform during the evening and weekend hours. The extension of a timetable runs the risk of further squeezing an already constrained window to deliver an ambitious pipeline of improvements. Furthermore, constraining engineering time can impact the delivery of some of the other interventions and associated improvements identified in the conditional outputs as part of this strategy. We appreciate that this would necessitate a review of the Engineering Access Statement (EAS) between the TOCs and Network Rail. Beyond engineering access, fleet maintenance cycles and traincrew diagramming will be impacted by an expanded timetable and the increase in cost that this will entail.

2.5.9 As such, we recommend that delivery of this CO is in part included in the remit of the Future Ready & Resilience Taskforce. This will facilitate discussions regarding the correct balance between provision of services for passengers and the essential maintenance and renewal work required to retain resilience of the network.

2.5.10 In addition, interventions for Extended Timetable need to be considered within the Strategic Planning process identified in CO C1, such that any opportunities at each 'configuration state' are identified and assessed. In every case, the business case for extended services will need to be established.

2.6 CONDITIONAL OUTPUT C5: DIRECT SERVICES

INTRODUCTION

2.6.1 As described in 2.3, Interchange has been identified as one of the main challenges within Western Gateway. A number of hub to hub connections which cannot be made directly are considered to be instrumental in preventing modal shift from car to rail. Introducing new direct services will increase the attractiveness of rail as mode of choice. We note that sufficient improvements to interchange and frequency can deliver equivalent benefits to new direct services.

What?	Increased number of direct passenger services through Hub stations
Why?	Conditional Output C5 is about direct connectivity, particularly inter-regional connectivity. The improvement that this CO will drive is linked to supporting the delivery of C2 Interchange because increasing direct services will reduce the requirement for passengers to change trains. The purpose of the CO is to improve the attractiveness of rail by reducing the number of interchanges required to make a journey, increasing the range of destinations available without changing train, or by changing train only once.
Where?	At national and regional hub stations
When?	Medium term 80% of identified direct services in service by 2030
Who?	Service specifiers accountable
How Measured?	See below
Interdependencies with other COs	C1 - Frequency C2 - Interchange
Example persona testing	For a person with reduced mobility, is there a direct service, with an available seat, between major destinations?

EVIDENCE BASE

- 2.6.2 The addition of direct services was identified in 39 of the 64 studies which were reviewed. While some of these have been identified with local interests in mind, many could provide a sub-national benefit and therefore could be considered as part of upcoming timetable planning exercises.
- 2.6.3 The new direct services identified in this Conditional Output are based on stakeholder aspirations and views of their respective local authority's residents: an economic assessment including forecast demand will need to be performed to establish the business case for all of these proposed routes and their associated interventions.

HOW WILL IT BE MEASURED (TARGETS)

- 2.6.4 This conditional output is closely linked with C1 Frequency (where this was calculated based on existing direct services) and C2 Interchange (as the increase in direct services reduces the disbenefit experienced by having to change trains). Based on the 25 National, Regional and Other Hubs we are considering in this strategy, there are 131 Origin-Destination (O-D) pairs (excluding Out-to-Out boundary links) that have direct services, and 99 O-D pairs where at least one interchange is required.
- 2.6.5 We used a minimum of 4 services a day as a guideline for whether a connection is currently classed as a direct service (compared to isolated evening peak services for example which don't reflect general connectivity). There is also an increasing consensus that a standard pattern of services all day every day is not fit for purpose, particularly around the beginning and end of weekends: the further investigation of direct services will need to consider time of day fitness for purpose.

- 2.6.6 We have considered the two Yeovil stations separately in this analysis.
- 2.6.7 Table 2-1 in Conditional Output C2 on Interchange (Page 22) indicates the gaps in direct service.
- 2.6.8 We have also ranked all hubs in terms of their connectivity to each other. It is unsurprising that Bristol Temple Meads and Bath Spa are at the top of the list of In-Boundary Hubs, but Westbury is also well-connected with direct services (albeit infrequently in some cases). This is reflective of Westbury's position at a key junction on the network. It is notable that Poole and Bournemouth are the worst-connect in-boundary stations with direct services to only 4 and 7 other hubs (respectively).

Table 2-2 - Rank of most hub to hub direct connections

Rank	Station	Hub Type	In or Out	Connected Hubs
1	Bristol Temple Meads	National	In	21
2	Bath Spa	National	In	20
3	Westbury	Regional	In	18
4	Bristol Parkway	National	In	17
5	Gloucester	Regional	In	16
6	Cheltenham Spa	Regional	In	15
7	Salisbury	Regional	In	12
8	Chippenham	Regional	In	10
9	Weymouth	Regional	In	10
10	Weston-Super-Mare	Regional	In	10
11	Reading	National	Out	9
12	Southampton Central	National	Out	9
13	Swindon	National	Out	8
14	Exeter St Davids	Regional	Out	8
15	Cardiff Central	National	Out	8
16	Basingstoke	National	Out	7
17	Bournemouth	Regional	In	7
18	Didcot Parkway	National	Out	7
19	Taunton	Regional	Out	7
20	Yeovil Pen Mill	Regional	Out	7
21	Worcester Shrub Hill	Regional	Out	6
22	Birmingham New Street	National	Out	5
23	Poole	Regional	In	4
24	Yeovil Junction	Regional	Out	4
25	Oxford	National	Out	1

- 2.6.9 Of the 99 links with no direct service, some are not viable due to infrastructure considerations and geographical constraints, and as such we have made a professional judgement about which ones are strategic enough to include as part of this strategy. This view has been informed by previous consultations and views expressed by stakeholders, and the above-described analysis which has highlighted other links. We note that a number of these are contingent upon reversing movements and/or associated infrastructure upgrades. Out-Out journeys have been excluded.

- 2.6.10 Based on stakeholder consultation and the evidence base documents we have reviewed, we have suggested direct services as described in Table 2-3. These have been grouped into four categories. The services per category have been prioritised to connect local communities and inter-regional journeys over national journeys which in the past may have severed this local connectivity. The aspiration for these routes is a 1tph direct service.
- 2.6.11 These have been categorised by the hubs they connect and what kind of intervention is required. Category B interchange improvements primarily relate to timetabling and Category C infrastructure improvements refer to major investment to deliver. All of these would require economic appraisal to establish whether they deliver Value for Money.

Table 2-3 - Suggested future direct services to be investigated

Category	Suggested routes to investigate
Category A1 New direct services that connect at least one National Hub	<ul style="list-style-type: none"> ■ Bath Spa – Taunton – Exeter ■ Salisbury – Reading ■ Bristol Temple Meads – Chippenham – Swindon – Oxford ■ Southampton – Salisbury – Westbury – Swindon – Oxford ■ Bath Spa – Birmingham ■ (Cardiff/Malvern) – Bristol – Portsmouth – Brighton
Category A2 New direct services that connect Regional hubs	<ul style="list-style-type: none"> ■ Chippenham – Gloucester/Cheltenham Spa ■ Chippenham – Salisbury ■ Chippenham – Castle Cary – Yeovil – Taunton ■ Weston-super-Mare – Bath Spa – Westbury / Chippenham ■ Weston-super-Mare – Gloucester ■ Gloucester – Taunton
Category B Direct service options which could also be achieved through interchange improvements:	<ul style="list-style-type: none"> ■ Poole – Bournemouth – Salisbury <i>(interchange improvements at Southampton Central, will require working together with TfSE and NR Wessex)</i> ■ Bournemouth – Poole – Yeovil – Castle Cary / Westbury – Bath – Bristol <i>(interchange at Weymouth paired with regularised Heart of Wessex Line service, or interchange at Dorchester if paired with a new station investment option)</i> ■ Weymouth – Salisbury <i>(interchange improvements at Southampton Central, will require working together with TfSE and NR Wessex)</i> ■ Salisbury – Birmingham <i>(service and interchange improvements at Reading or Basingstoke, will require working together with TfSE and NR)</i> ■ Westbury – Birmingham <i>(service and interchange improvements at Reading, Swindon or Bristol, could be part of Salisbury – Birmingham service or extension of Chippenham – Cheltenham listed above)</i>
Category C Direct service options which will require infrastructure investment	<ul style="list-style-type: none"> ■ Bournemouth – Poole – Yeovil – Exeter <i>(May be better achieved through interchange improvements at Weymouth to a regularised Heart of Wessex Line service (but would also require infrastructure intervention at Yeovil))</i> ■ Weymouth – Exeter <i>(May be better achieved through a regularised Heart of Wessex Line service (but would also require the infrastructure intervention at Yeovil))</i>

- 2.6.12 It is understood that the delivery of East West Rail will present options for direct connections from the Western Gateway to Cambridge via Oxford.

DELIVERY PLAN – IDENTIFIED INTERVENTIONS

- 2.6.13 Interventions for Direct Services will be overseen by the Strategic Planning Taskforce and need to be included within the Strategic Planning process identified in CO C1, such that any opportunities at each 'configuration state' are identified and considered. In every case, the business case for extended services will need to be established.

2.7 CONDITIONAL OUTPUT C6: FREIGHT CAPACITY

INTRODUCTION

- 2.7.1 The rail network within Western Gateway has a significant role in freight transport national wide. There are three national strategic freight routes that pass through WG. They play a significant role in connecting ports with domestic intermodal hubs, particularly Bristol and Southampton to the Midlands. If rail meets freight clients' expectations, there is high potential to attract transport of goods by rail. Improving rail freight transport will also help developing the area, as we explore under the Productivity theme. This also helps to meet decarbonisation targets by moving the freight off road to rail. It was identified from stakeholders' responses that freight capacity is a significant challenge in Western Gateway.

What?	Enabling sufficient capacity and access to the network for freight services to allow existing and new markets to develop.
Why?	Rail freight is often de-prioritised in capacity planning, and this detracts from the benefits that rail freight can offer to freight customers over road-haulage. By making sufficient capacity on the rail network available, this will increase the attractiveness of rail to freight customers, thereby enabling a transfer of goods from road to rail. The purpose is to increase choice for freight shippers by making rail a viable alternative for more journeys.
Where?	Capacity will be required where there are existing or potential rail freight flows.
When?	Medium to long term
Who?	Network Rail and local authorities accountable for capacity and access, respectively. Freight operators have a role in attracting and accommodating new business through adapting their models.
How Measured?	See below
Interdependencies with other COs	D3 – Freight Growth D4 – Freight Capture P4 – Freight Capability

Example persona testing

For a logistics employee in an emerging or established retail market, is there an opportunity to shift operations onto rail?

EVIDENCE BASE

- 2.7.2 The improvement to freight capacity was identified in 27 of 64 studies which were reviewed. These aspirations marry closely with decarbonisation targets and the growth of freight in conditional outputs D3 and D4.

FREIGHT – ASPIRATIONAL SERVICE PATTERN (F-ASP)

- 2.7.3 Conditional Output C6 will be measured against an aspirational service pattern on 8 key routes serving freight transport in Western Gateway, some of which are part of the three national strategic freight routes. These are listed below and illustrated in **Figure 2-3**.

- 2.7.4 Three national strategic freight routes:

- (1) Southampton to West Midlands via Salisbury, Westbury and Swindon
- (2) South West (Bristol) and Wales (Cardiff / Newport) to the Midlands via Gloucester (Key Commodities)
- (3) Great Western Mainline London to South Wales via Reading, Swindon and Bristol

- 2.7.5 Key routes in Western Gateway:

- (1) Totton to Salisbury and Westbury (part of (1) above)
- (2) Westbury to Swindon (part of (1) above)
- (3) Frome and Westbury to Reading
- (4) Westbury to Bath Spa and Bristol
- (5) Bristol to South Wales (part of (2) and (3) above)
- (6) Bristol to Gloucester and the Midlands (part of (2) above)
- (7) Bristol to Exeter and beyond
- (8) Dorset Coastline

- 2.7.6 We have divided these 8 routes into Primary and Secondary routes based on their importance to the Western Gateway freight market which is driven by Aggregates from the Mendips quarries (near Frome) and activity around the Bristol and Avonmouth ports. Less of an emphasis has been placed on the Southampton to West Midlands strategic freight route as this does not play as large a contribution in serving Western Gateway specifically, and improvements to it are being considered by NR and others.

Route Grading	Routes Included	Frequency
Primary	3, 4, 5, 6	16 paths per day
Secondary	1, 2, 7, 8	4 or 5 paths per day

Figure 2-4 – Strategic, Primary and Secondary Freight Routes within the Western Gateway



GAP ANALYSIS

- 2.7.7 A detailed gap analysis was unable to be carried out for this Conditional Output due to the irregular nature of the freight timetable and the impact that COVID-19 has had on freight operations. Furthermore, freight has safeguarded capacity that is intermittently used, which requires a more detailed analysis and consultation to understand.

DELIVERY PLAN – IDENTIFIED INTERVENTIONS

- 2.7.8 In order to better understand the freight market and build collaborative relationships with customers and operators, we recommend the establishment of a Freight Taskforce to take this aspect of the strategy forward. A key first action for this group is to commission and deliver a freight market study. For this CO, it will need to include the detailed gap analysis as described above.
- 2.7.9 Neighbouring STBs are beginning to develop of Freight and Logistics strategies over the coming months. Once the Freight Taskforce has been established, cross-border collaboration will be essential to improve rail freight opportunities within the Western Gateway area.

3 SOCIAL MOBILITY

3.1 INTRODUCTION TO THEME

- 3.1.1 This theme focusses specifically on addressing the needs of the remote, less connected and/or deprived parts of the Western Gateway, which were identified as a challenge in the early stages of stakeholder engagement. The target is to make rail an integral part of connecting those remote and often deprived communities. Successful delivery of this theme will lead to a rebalancing of the regional economy, providing equal opportunities to all Western Gateway residents.
- 3.1.2 Three priorities were identified through stakeholder engagement in Phase 1. The table below expands on what addressing these priorities will mean to WG.

Priority	Description
Improve multi-modal interchange to rail through improving access to stations by car, bus and active modes	For rail to be successful, it needs to be part of a sustainable transport network. Stakeholders told us that in some parts of WG, particularly where access to rail is dependent upon good bus links, this connectivity is poor or absent at present. This is addressed by CO M1 and M2. The question of accessibility within stations for all users is addressed through CO M6, in order that barriers (perceived or real) are removed.
Create new direct journey opportunities between places that are not currently rail-connected, particularly north – south and rural areas	There are large parts of WG that are rural and remote, and/or without access to rail. These parts of WG are also often the more deprived areas that are in need of the economic growth that rail connectivity can bring. As well as addressing this priority through CO M1 and M2, we have also included M3 which will consider penetration of rail to a wider geography.
Make rail travel more affordable through fares management and incentives	The perception of rail is that fares are too expensive and unfair as it is difficult to find discounted fares. Ticket prices, particularly at peak make rail uncompetitive with car travel, and also unaffordable to the deprived parts of society. We address fares and ticketing solutions through COs M4 and M5.

- 3.1.3 Six conditional outputs were identified through stakeholder engagement in Phase 1. These are listed in the table below and this chapter adds more detail about their targets, gaps and routes to delivery.

Conditional Output	Description
M1: Station Access	Improvements to car and active modes access to stations, including safety, routing, signposting and parking
M2: Modal Integration	Integration of sustainable modes through alignment of bus and rail timetables / maximise bus to rail interchange
M3: Regional Catchment	Uplift in % population within rail catchment
M4: Fares Influence	Transparent, flexible and affordable fares structure or other financial incentives (push / pull)
M5: Ticketing Solutions	Multi-modal ticketing that encourages sustainable end-to-end journeys, including Mobility as a Service (MaaS)
M6: Accessibility	All stations in Western Gateway fully accessible

3.2 CONDITIONAL OUTPUT M1: STATION ACCESS

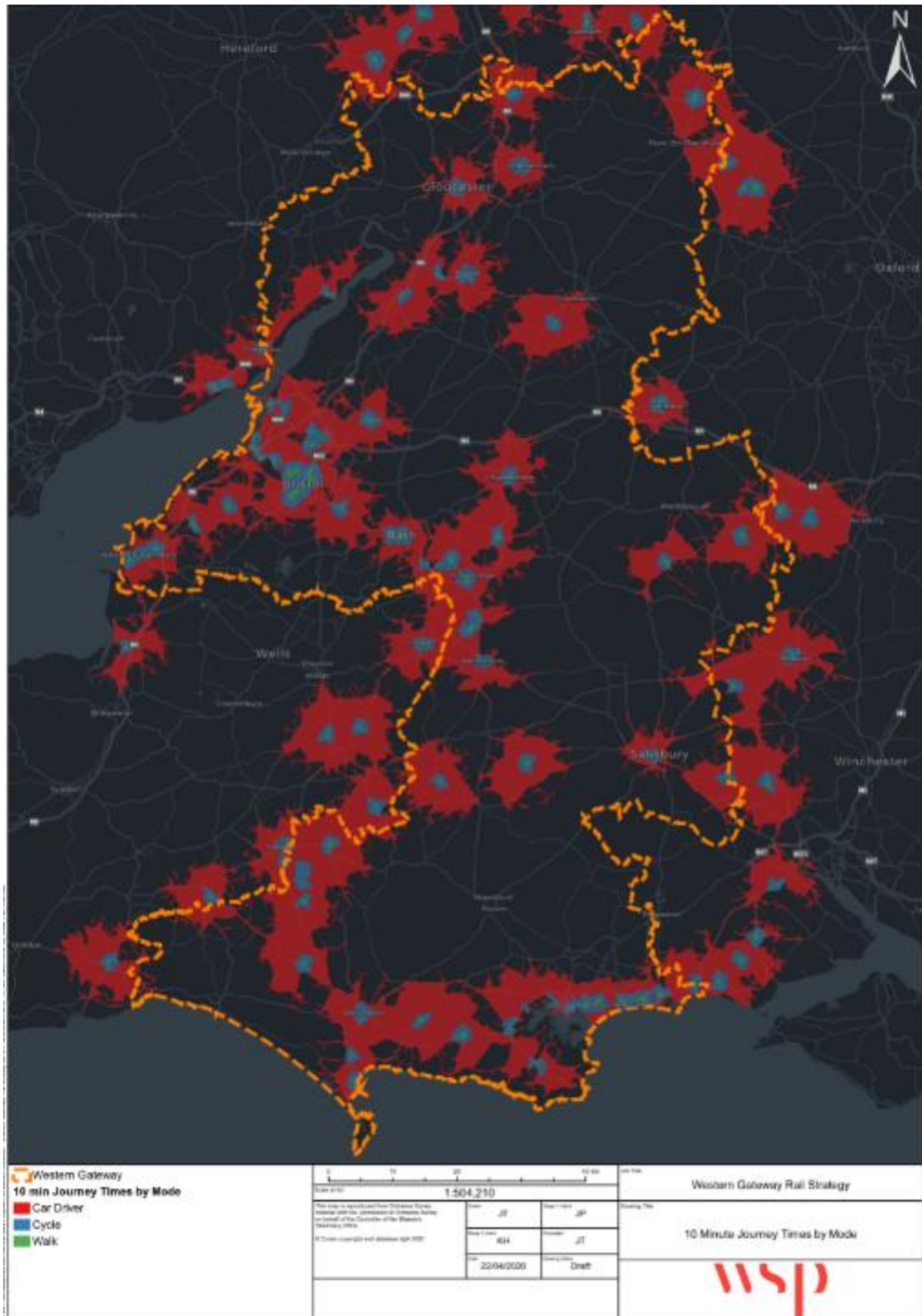
INTRODUCTION

- 3.2.1 This conditional output will provide improvements to car and active modes access to stations, including safety, routing, signposting and parking. Implementing this CO will drive modal shift and promote rail as an integral part of a sustainable transport network, enabling passengers to feel that they are able to get to their local stations quickly and safely, and be confident that when they get there, space will be available for car or cycle parking.
- 3.2.2 This conditional output now incorporates the former **P3: Station Gateways** which was focussed upon wayfinding, and therefore has significant overlap with this CO.

EVIDENCE BASE

- 3.2.3 A large evidence base of information was received during the eConsultation to identify areas within the Western Gateway where station access improvements can be made and the limitations. These include:
- Improvement to accessibility routes to the stations is required, as poor routes may be a factor. This includes a lack car parking facilities at stations;
 - Car parking requirements will need to be determined for each station as the demand is very localised;
 - Accidents within the area may influence customers travelling to stations due to the risk of being involved or subsequent delays. Accident data was collated for a range of train stations within the Western Gateway to establish whether there was a specific correlation in accidents and whether any of the train stations were outliers. On review notable train station outliers included Clifton Down, Lawrence Hill, Weston Super Mare and Bournemouth;
 - Crimes within the area may influence customers walking or cycling to stations for fear to their safety. Crime data was collated for a range of train stations within the Western Gateway to establish whether there was a specific correlation in crime locations and whether any of the train stations were outliers. On review notable train station outliers included Gloucester, Trowbridge, Weymouth and Bournemouth;
 - Security issues within the station deter customers;
 - Analysis of a 10 minute journey time by car, cycle and walking from stations is shown below in Figure 3-1;
 - Analysis of station usage compared to walking catchment (0-10 minutes) to determine whether there is a large population that isn't reflected in rail usage; and
 - Individual station access plans should be used to develop targets for car, cycle and disabled parking at each station. All stations should have a travel plan in place by 2025 to support improvements.
 - The diversity of settings for stations, ranging from city centre locations to rural and parkway stations means that signposting and wayfinding is likely to need bespoke solutions in each setting, ranging from physical signposting (both highway and active modes) to digital wayfinding.
- 3.2.4 The most complete wayfinding study is the "Wiltshire Walking & Cycling Wayfinding Outline Strategy Report", which could serve as a suitable exemplar for strategic wayfinding design.

Figure 3-1 - 10 Minute Journey Times by Mode from Rail Stations



- 3.2.5 During reviews of the 64 documents received from various stakeholders across Western Gateway, approximately 37 of them included reference to interventions and aspirations related to improving modal integration and wayfinding throughout the region's stations.

HOW WILL IT BE MEASURED (TARGETS)

- 3.2.6 The desirable measures for this conditional output are set out in Table 3-1 and Table 3-2 based on connecting multi-modal sustainable transport services especially those not connected to the wider region via rail. Provisional targets have been set based upon the initial targets set out at consultation phase but taking into considering the eConsultation responses:

Table 3-1 – Station Access Parking Provision Targets

Type of Provision	% daily Station Users provided for		
	National Hubs	Regional Hubs	Local Hubs
Car Parking	5%	15%	10%
Cycle Parking	7.5%	7.5%	7.5%
Disabled Parking (Wide Spaces)	10% of total car parking provision (as specified in DfT Design Standards for Accessible Railway Stations – A Code of Practice)		
EV Charging Points	5% of total car parking provision, but can be linked with disabled spaces		

Table 3-2 – Station Access Safety & Security Provision Targets

Type of Provision	How provided / measure?
Access and Signposting	100% compliance with DfT Design Standards for Accessible Railway Stations – A Code of Practice
Safety	A reduction in road traffic collisions close on station approaches
Security	A reduction in reported crimes on station approaches

- 3.2.30 Provisional targets have been set based upon the initial targets set out at consultation phase but taking into considering the eConsultation responses.
- 3.2.31 Targets for EV charging points will need to be reviewed as patterns of uptake evolve, in particular to assess what proportion of EV owners seek to charge their vehicles at car parks as opposed to at home.
- 3.2.32 In addition to visual signposting, both seasoned Western Gateway rail travellers and first-time visitors will rely heavily on journey planning apps and GPS map applications to guide their journeys, so in the absence of physical wayfinding, digital wayfinding capability represents a cost-effective and accessible way to provide awareness and comfort with using rail stations.

3.2.33 The Western Gateway STB should:

- Develop and deliver a Western Gateway Wayfinding Strategy and Delivery Plans for all stations which should:
 - Concentrate on key journeys and personas for the Western Gateway area
 - Incorporate information and signage requirements for emerging integrated transport modes, such as cycle hire schemes and charging areas for electric cycles and vehicles
- Develop a digital wayfinding app for use across the Western Gateway area. It will require:
 - Business-to-business collaboration with journey planning app providers
 - Incorporating Google Augmented Reality features, combining Google's existing Street View and Maps data overlaid on a live feed from phone cameras; this may require the design of an Application Programming Interface (API) to be used in conjunction with Google's systems
 - Linking and co-development with the "one-app" journey planning and digital ticketing capabilities outlined in conditional output M5 – Ticketing Solutions, as well as the journey planning studies in conditional output P3 – International Gateways
 - Marketing and advertising collaboration with TOCs and third-party retailers to incorporate the digital wayfinding resource into their apps

3.2.34 Success for this aspect of the CO will be measured through

- Click-through funnel statistics from TOC apps and third-party ticket retailers for local digital wayfinding link previews
- Monitoring trends in off-peak rail travel passenger numbers on the Western Gateway Routes

GAP ANALYSIS

- 3.2.35 We have taken into consideration the concerns surrounding car and cycle parking provisions by developing a series of targets to make rail more accessible to a wider range of customers.
- 3.2.36 Demand for car parking spaces often exceeds capacity by the end of the morning peak and causes a problem for those wishing to make journeys at times when the trains themselves are less busy.
- 3.2.37 Although we have undertaken a high-level assessment of crime statistics in proximity of stations, it is not yet understood whether the likelihood of becoming a victim of crime is a deterrent from rail travel. We are aware of a correlation between cycling to the station and cycle theft. Train Operating Companies should make a conscious effort to work collaboratively with the Western Gateway and British Transport Police to enforce the Secure Stations scheme to reduce crime and play a greater role in safeguarding customer and staff at stations.
- 3.2.38 Western Gateway and stakeholders should work collaboratively to ensure all station environments are visible, obvious and welcoming to all users in order to spur economic growth and enable modal choice in their communities. They must also integrate seamlessly with other modes of sustainable transport, ideally highlighting it intuitively as the first and most obvious choice for onward travel. Several of these concepts are also discussed in other interdependent COs such as G2 Mobility Hubs.

DELIVERY PLAN – IDENTIFIED INTERVENTIONS

- 3.2.39 We recommend the establishment of a Stations & Access to Rail Taskforce, whose remit will include a more detailed gap analysis of the elements of this CO, alongside the development of Station

Travel Plans for all stations in WG within the first 3 years. Both of these elements will enable the identification of priorities for investment across Western Gateway and a phased delivery of interventions.

- 3.2.40 Station Travel Plans have been identified as a key intervention to provide passengers information how to travel to and from the station. This will reduce congestion around the station, provide ease of access and consequently hope to reduce traffic collisions. It will also lessen the stations effect on the environment, and encourage more travel by rail. However, rather than take a 'one size' fits all approach more use needs to be made of Station Travel Plans so that the needs and expectations of passengers at National, Regional and Local Hubs are taken into account before decisions on where to target resources are made.

3.3 **CONDITIONAL OUTPUT M2: MODAL INTEGRATION**

INTRODUCTION

- 3.3.1 This conditional output will provide improvements to integration of sustainable modes through alignment of bus and rail timetables / maximise bus to rail interchange. This output will drive modal shift and promote rail as an integral part of a sustainable transport network. Passengers using local bus services to connect to rail need to be confident that the interchange between the two modes (in both directions) will be comfortable and attractive. This needs to include consideration of proximity of bus stops to the rail station, as well as mode to mode wait time.

EVIDENCE BASE

- 3.3.2 A large evidence base of information was received during the eConsultation to identify areas within the Western Gateway modal integration improvements can be made to connect stations and the limitations. These include:
- The frequency of bus and rail services are key – identification needed to clarify the impact of a missed connection;
 - Currently local authorities do not have direct control over bus operators and the services they choose to provide. There is a need for a process to co-ordinate rail and bus times;
 - A portion of the local hub stations are vital to the Western Gateway and important for connectivity throughout the region;
 - Bus timetabling is easier to amend than rail timetables;
 - Importance of the integration between modes needs to be a suitable period to allow for delays and those with disabilities to transfer in time;
 - To ease coordination between both rail and bus journey a clock face timetable for both should be introduced; and
 - Once the targets have been established they should be considered as part of travel plans for the stations, linking with M1.
- 3.3.3 During reviews of the 64 documents received from various stakeholders across Western Gateway, approximately 37 of them included reference to interventions and aspirations related to improving modal integration throughout the regions stations.

HOW WILL IT BE MEASURED (TARGETS)

- 3.3.4 The desirable measures for this conditional output are shown below in Table 3-3 and are based on connecting multi-modal sustainable transport services especially those not connected to the wider region via rail.

Table 3-3 – Modal Integration Measures

Type of Provision	Measure
Local bus services connecting Regional Hub	Bus services timetabled to allow train-to-bus and bus-to-train with wait for second service of 15 to 20 minutes, Monday-Saturday daytime, every 30 minutes at other times (aligned with train timetables)
Local Hub stations to non-rail connected places	
Bus stops for local bus services close to station	Bus stops with local services are within 200m of station entrance and on a step-free route
Connectivity by sustainable transport modes	End-to-end journey times by sustainable modes (bus+rail) from towns without stations to key regional destinations are competitive with private car

- 3.3.14 Provisional targets have been set based upon the initial targets set out at consultation phase but taking into considering the eConsultation responses.

GAP ANALYSIS

- 3.3.15 Over the past years city transport policy across the UK has been focused on private transportation, although city transportation planning has usually included some forms of public transportation. This has been as a result of a variety of causes, including economic growth and societal preferences that have, in many cases, translated into a political environment favouring car ownership particularly in rural areas due to a lack of modal integration.
- 3.3.16 Through our gap analysis we identified a range of bus and rail services without integrated timetables and where bus stops are currently located too far away from stations, or where buses to key destinations do not call at bus stops which are located close to rail stations.
- 3.3.17 From this analysis, 8 isolated towns were identified, with a range of potential major hub destinations that could be reached via bus/rail (including journey time), the interchange time from bus to rail stations and the duration taken to reach hub destinations by car. Notable isolated towns with bus journey times over 40 minutes plus to the nearest train station included; Bridport (43 minutes), Cinderford (52 minutes) and Blandford Forum (1 hour 4 minutes).
- 3.3.18 Map-based information can be analysed with bus timetables to identify where bus stops are currently located too far away from stations, or where buses to key destinations do not call at bus stops which are located close to rail stations.

DELIVERY PLAN – IDENTIFIED INTERVENTIONS

- 3.3.19 The Stations & Access to Rail Taskforce as described in CO M1 will be responsible for actions required to deliver this CO. As well as rail industry partners, a key representative on this group must be from Bus Operators in order for a successful outcome to be achieved.
- 3.3.20 An early action for this Taskforce should include analysis of bus services for all Regional and Local Hub stations and all locations without rail stations, in order that findings can be incorporated into Station Travel Plans. This action works alongside those for COs C4 Fares Influence and C5 Ticketing Solutions as one of the key interventions to tackle the gaps previously analysed with integrated multi-modal ticket solutions.

3.4 CONDITIONAL OUTPUT M3: REGIONAL CATCHMENT

INTRODUCTION

- 3.4.1 The conditional output is intended to drive a percentage uplift in population living within a rail catchment. Increasing the proportion of the population living within the catchment of a rail station (e.g. within 15 minutes travel time by their chosen mode, noting that catchment will depend upon the nature of the journey purpose) is likely to be a contributory factor in whether that population will choose to use rail as part of their end-to-end journey. There are two obvious ways to achieve this CO – by shortening journey times to the station or creating new stations with new catchments.

EVIDENCE BASE

- 3.4.2 A large evidence base of information was received during the eConsultation to identify areas within the Western Gateway where the rail catchment can be increased. These include:

- If parking facilities are limited then customers are unable to utilise the facilities stations possess, so this must be considered alongside increasing station catchments;
- Improving bus services throughout the region is key to connecting to rail stations;
- Where parking is available competition should be introduced such as free parking – drawing on the success of parkway stations;
- Marketing campaigns to encourage the uptake and benefit of rail travel to hard-to-reach communities; and
- Consideration of the time it takes for individuals to travel to stations, implementation of station travel plans to provide this information.
- Network Rail Wessex Route First/Last Mile strategy to ensure transport solutions which remove the risk of congestion, promote sustainable transformational growth and develop the region's economic capability are introduced.

- 3.4.3 During reviews of the 64 documents received from various stakeholders across Western Gateway, approximately 36 of them included reference to interventions and aspirations related to improving modal integration throughout the regions stations. In addition, an additional suite of documents highlighting interventions to specifically improve Access to Rail that were submitted to the DfT Restoring Your Railway Ideas Fund have been reviewed.

HOW WILL IT BE MEASURED (TARGETS)

- 3.4.4 The desirable targets for this conditional output are shown below in Table 3-4 and are based on increasing the regional rail catchment of the Western Gateway.

Table 3-4 – Regional Catchment Targets

Type of Provision	Target
Location of rail stations in relation to residents' homes	Increase proportion of population living within 15-minute walk of a rail station
Location of rail stations in relation to residents' homes	Increase proportion of population living within 15-minute cycle of a rail station
Location of rail stations in relation to residents' homes	Increase proportion of population living within 15-minute drive of a rail station

- 3.4.13 Provisional targets have been set based upon the initial targets set out at consultation phase but taking into considering the eConsultation responses.

GAP ANALYSIS

- 3.4.14 Aspirations for rail schemes have been identified within existing documentation however they take time to develop and deliver, due to Network Rail's GRIP process. Without protection these linear assets are easily destroyed by redevelopment. Therefore, Western Gateway planning authorities should strive to protect potentially valuable routes for which a business case has not yet been established to better connect the region. This links with CO G1 Transit Oriented Growth.
- 3.4.15 We have identified significant populations without easy access to rail stations; however, good access to a station is not always enough for residents to use the station. At a local level we have compared station usage (ORR data on station entries and exits) with the local population within walking distance. For most stations there is a broad relationship - the more people live close to a station, the higher that stations usage is; however this is not always the case. This suggests that other factors are at play – competing modes, a poor rail service (suburban Bristol) or a particularly good service (Westbury), or demand displaced from a nearby location (Kemble serving Cirencester, Lydney serving Coleford).
- 3.4.16 Furthermore, to identify and clearly understand the relationship between location of rail stations in relation to residents' homes assessments and monitoring of council walking and cycling action plans (LCWIPs) could be undertaken.

DELIVERY PLAN – IDENTIFIED INTERVENTIONS

- 3.4.17 To address underlying issues to connect the regional catchments across the UK, DfT has launched the Restoring Your Railway Ideas Fund ('Reversing Beeching'). Stakeholders in the Western Gateway have used this opportunity to put forward a number of proposals for projects to restore lost rail connections to communities. DfT will fund 75% of costs up to £50,000 of successful proposals to help fund transport and economic studies and create a business case.
- 3.4.18 Future funding to develop projects would be subject to agreement of the business case. Once successful projects are identified, subsequent proposals will need to focus on making the strategic and economic case for the scheme, as well as setting out any recognised challenges. Furthermore, the inclusion of socio-economic benefits, the train service proposed, any infrastructure and operating costs along with a consideration of the system impact and disbenefits on existing users will need to be provided.
- 3.4.19 At the time of writing, ten of the first rounds bids have been announced as successful, of which one is situated within the Western Gateway geography, shown in Table 3-5.
- 3.4.20 DfT have informed other first round bidders that a further decision may be imminent, and two of these are situated within the geography, listed in Table 3-6. Nine bids put forward for the second round of funding are located within the Western Gateway, and are listed in Table 3-7. There will be a third funding round in November 2020 to enable as many communities as possible to take advantage of the support provided.
- 3.4.21 The inclusion of these funding bids in this strategy is acknowledging the importance that DfT is now placing on making rail more accessible to deprived and rural communities. The concept aligns directly with this CO, so Western Gateway, through the Stations & Access to Rail Taskforce, has a role in shaping the future development of these schemes, regardless of whether bids to DfT are

successful. As such, a further assessment of all bids by Western Gateway is proposed to establish whether they have the ability to deliver both this and other COs.

- 3.4.22 It is understood that for schemes taken forward through the 'Restoring Your Railways' fund, they will be required to pass through the Rail Network Enhancements Pipeline process, with the next stage being the submission of an SOBC at 'Decision to Develop' stage. For these schemes, the ability to demonstrate that they are aligned with the STB Rail Strategy will be a factor in the SOBC being approved.

Table 3-5 – Successful First Round Ideas Fund Bid

First Round Status: Funding Confirmed	
Project	Devizes via Lydney in Western Gateway
Organisation	Wiltshire Council in partnership with Devizes Development Partnership
Project Contents	Plans to build a railway station on the outskirts of Devizes. Funding will support preparation of a feasibility study. If this is positive it is anticipated that the station could open within 5 years. It would support residents and the visitor economy.

Table 3-6 - First Round Ideas Fund Bids Awaiting Response

First Round Status: Ongoing	
Project	Melksham Single Track Line Capacity Enhancements*
Organisation	Wiltshire Council
Project Contents	Capacity improvement proposals for the Swindon-Westbury route, focusing on the Thingley Junction – Bradford Junction. The infrastructure options development assessment would consider the requirements for a Swindon-Westbury local service of a basic one train per hour frequency, with further options for an extension southward to Southampton, optimised timings for connections Westbury and frequency improvements above the one train per hour.
Project	Westbury Station Hub*
Organisation	Wiltshire Council
Project Contents	The proposal will develop the Westbury Station Hub concept towards a Strategic Outline Business Case, identifying infrastructure requirements that support the function of Westbury Station as an important connecting hub, capable of accommodating service frequency aspirations including some restored secondary services, improved connection timing and operational resilience.

* DfT have requested further information on these Round 1 bids which are still "in the system" but are hoped to be progressed.

Table 3-7 – Submitted Second Round Ideas Fund Bid

Second Round Status: Submitted with results announced end of Summer 2020	
Project	Shepton Mallet (Mendip Vale)

Second Round		Status: Submitted with results announced end of Summer 2020
Organisation	Mendip District Council	
Project Contents	Shepton Mallet's current nearest mainline station is Castle Cary which is over seven miles away, but new stations and a bypass have been proposed in a business case from Mendip District Council for major new transport projects. Included in the plans is a new 'Shepton Parkway' railway station and a new bypass near Street, and the district council has committed £320,000 towards developing a full business case. This would allow for residents and visitors to rely on rail rather than Sedgemoor motorway link.	
Project	Radstock Railway reinstatement	
Organisation	The North Somerset Railway	
Project Contents	To provide various services both directly and indirectly, to Swindon, Westbury, Taunton, Exeter, the South West, Weymouth, London, Bristol, Cardiff, Gloucester and Cheltenham, plus have a beneficial effect on the Somer Valley community for example, more tourism, easier journeys for commuters, and leisure travel..	
Project	St Anne's Park Station	
Organisation	Bristol City Council	
Project Contents	St Anne's Park Station has been out of use for 50 years and could be reopened under proposals being put forward by the MP for Bristol East. Reopening the station has the potential to transform travel in the area: reducing gridlock, improving air quality and opening up access to other areas of our city for residents. Local residents have led a longstanding campaign to reopen St Anne's as the area has been poorly served by public transport for some years	
Project	Restoring secondary services on the Great Western Main line	
Organisation	Wiltshire	
Project Contents	<p>The proposal is to enable rail to increase its market penetration, support the local economy and reduce environmental impacts by: Introducing additional (stopping) services on the route between Bristol and Didcot via Chippenham.</p> <p>Opening new stations to improve access to rail at Royal Wootton Bassett and Corsham. Increasing frequency between key regional centres</p>	
Project	Charfield Station	
Organisation	WECA	
Project Contents	Charfield is on the Bristol/ Birmingham route between Yate and Cam and Dursley and is in South Gloucestershire. Network Rail are working towards single option designs and funding has been secured for development and in principle for construction from WECA. A New Station Application has been submitted for this station by the Council.	
Project	Bristol West Capacity Enhancement	
Organisation	WECA	

Second Round		Status: Submitted with results announced end of Summer 2020
Project Contents	This scheme looks to address existing capacity issues which is restricting necessary increases in frequency of train services into and out of Bristol Temple Meads. This capacity issue was highlighted in the Greater Bristol Area rail Feasibility Study (GBARFS), part funded by the DfT and finalised in November 2019.	
Project	Cirencester Community Rail project	
Organisation	Cirencester Community Development Trust	
Project Contents	To re-instate the train route from Cirencester to Kemble by building a single-track line with passing loops following the old route.	
Project	Project Wareham – complete the link (Wareham – Swanage)	
Organisation	Swanage Railway	
Project Contents	Project Wareham entails delivering the infrastructure and capability to enable the full re-instatement of the Purbeck Line and the re-introduction of timetabled passenger services between Swanage and Wareham.	
Project	Improvement of railway services at Pilning station / reinstatement of FB to Platform 2	
Organisation	Pilning Station Action Group	
Project Contents	Reinstatement of footbridge to Platform 2: the footbridge was removed from this station as part of the electrification programme so that there is no access to the West bound platform. Services are infrequent and a significant uplift is desired.	

3.5 CONDITIONAL OUTPUT M4: FARES INFLUENCE

INTRODUCTION

- 3.5.1 This conditional output provides a transparent, flexible and affordable fares structure or other financial incentives (push / pull). Public perception of rail fares is that they are expensive and complex, and feedback from Transport Focus suggests that many passengers do not feel that they get Value for Money from the fares they pay. With changing travel habits, season tickets in their traditional form no longer offer a better value alternative.
- 3.5.2 As a consequence, potential passengers will choose car travel in preference. Furthermore, a specific issue in Western Gateway is that season tickets to London are disproportionately cheap compared to a peak return fare, which drives a bias towards London rather than regionally-based businesses.
- 3.5.3 We are aware that there is an ongoing fares reform in the rail industry and, paired with the ongoing Williams review of franchising, looks to provide more devolution and local control over fares and ticketing to enable more targeted, appropriate and affordable local pricing structures. This presents an opportunity for the Western Gateway and its constituent authorities to ‘get ahead’ and identify ways in which fares can be simpler, tickets can be integrated and the pain points/barriers to choosing rail based on this can be eased/lifted.

EVIDENCE BASE

- 3.5.4 A large evidence base of information was received during the eConsultation to identify how the influence of fares could change customer's perception of rail travel and other sustainable travel modes within the Western Gateway and the limitations.
- 3.5.5 During reviews of the 64 documents received from various stakeholders across Western Gateway, approximately 11 of them included reference to interventions and aspirations related to improving ticketing solutions throughout the region. One of the key documents highlighting the priority and desire for an improvement in fares was the South Western Franchise – Consultation response from Wiltshire Council.

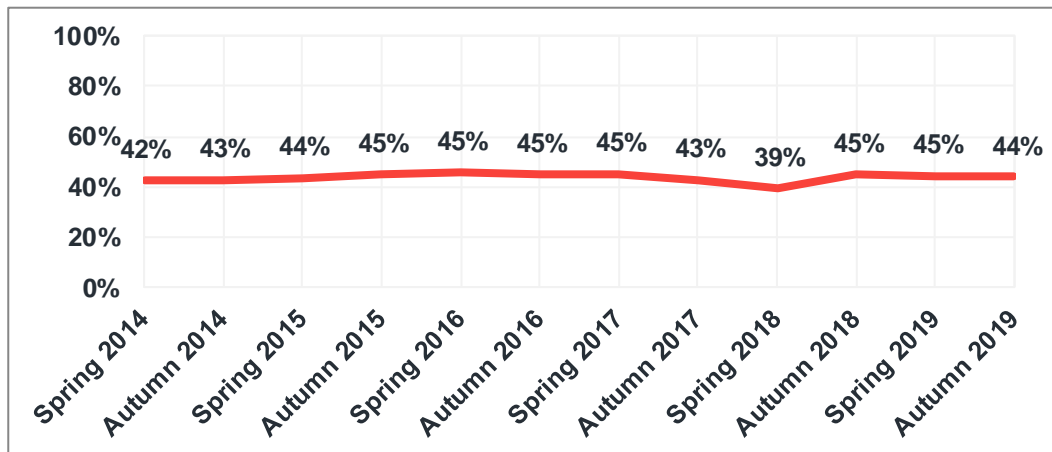
HOW WILL IT BE MEASURED (TARGETS)

- 3.5.6 In a similar manner to the ongoing monitoring and management of performance, the fitness-for-purpose of fares will only be achieved if TOCs (with the Rail Delivery Group), Local Authorities, the DfT and the ORR work together to identify where fares are the barrier to rail being the main mode of choice. This includes looking for multi-modal integration, notably with the regional and urban bus networks, but also first-mile last-mile integration such as car or bike sharing solutions.
- 3.5.7 Targets for an improvement to passenger satisfaction based on National Rail Passenger Survey (NRPS) data have been set reflecting the responses to the eConsultations where stakeholders expressed that customer satisfaction with value of money as a key indicator for choice of mode. While these targets are blunt, they reflect this desire to improve satisfaction of value for money.

GAP ANALYSIS

- 3.5.8 This conditional output has struggled to be implemented not only within the Western Gateway but nationally due to the lack of agreement between public and private sectors to root and branch a reform to tackle the fares and ticketing regulation.
- 3.5.9 The gap analysis on NRPS data identified a plateauing trend of value for money of the price of rail tickets from 2014 to 2019. This indicated that over the past 6 years, the highest satisfaction score in any wave was 45%. For this, we have selected the most applicable service grouping for the three train operators of the Western Gateway, being GWR Long Distance, SWR Long Distance and CrossCountry South.

Figure 3-2 - NRPS Value for Money score for all three sub-operators (2014-2019)



DELIVERY PLAN – IDENTIFIED INTERVENTIONS

- 3.5.10 Fares and Ticketing will fall under the responsibility of the recommended Digital Solutions Taskforce, and their immediate task will be to develop an Action Plan to both improve Value for Money in fares alongside addressing the challenges around digital multi-modal ticketing (See CO M5).

3.6 CONDITIONAL OUTPUT M5: TICKETING SOLUTIONS

INTRODUCTION

- 3.6.1 The ticketing solutions conditional output hopes to provide multi-modal ticketing that encourages sustainable end-to-end journeys, including Mobility as a Service (MaaS). In addition to frustration about fares (described at M4), members of the public are not incentivised to link different modes together with multi-modal tickets. Journey planning has to be done by mode, making it all too easy to take the most convenient option, which in Western Gateway will most often be road vehicle (private car or taxi). End-to-end journey planning and ticketing (including future mobility considerations such as Bike Hire or Car Sharing) has the potential to change habits. The output prioritises National Hubs to link to Smart Ticketing schemes in Greater Bristol and BCP.

EVIDENCE BASE

- 3.6.2 A large evidence base of information was received during the eConsultation to identify how ticketing solutions could be implemented within the Western Gateway and the limitations. These include:
- A non-smartphone solution (e.g. ITSO card);
 - Multi-modal planner to allow customers to plan journeys to events at venues;
 - Legislation makes it difficult for bus operators to participate in multi-operator ticketing schemes so would be useful for these to be reviewed by the appropriate bodies;
 - Multi-modality across the Western Gateway is complex given the vast number of fare combinations e.g. bus, car club vehicle and shared bike; and
 - Information on onward travel options may be more useful than intermodal fares as it is difficult to apply special offers such as advance fares and add-ons which offer good value (e.g. PlusBus).
- 3.6.3 During reviews of the 64 documents received from various stakeholders across Western Gateway, approximately 17 of them included reference to interventions and aspirations related to improving ticketing solutions throughout the region.

HOW WILL IT BE MEASURED (TARGETS)

- 3.6.4 The desirable standards for this conditional output are shown below in Table 3-8 based on low barriers for both the journey planning and ticketing experiences - One Ticket One App maximum - being:

Table 3-8 – Ticketing Solutions Targets

Criteria / Measure	Proposed Target
Tickets required for door-to-door journey	Up to one ticket required for journey (ticketless journey also possible)
Sources of information required for journey planning	Up to one app/service required for journey planning

- 3.6.7 Provisional targets have been set based upon the initial targets set out at consultation phase but taking into considering the eConsultation responses.
- 3.6.8 Success of ticketing solutions will be measured with the introduction of end-to-end journey planning and through a one ticket service and an associated uplift in rail being part of a sustainable end-to-end journey. National hubs are the priority, with the hope regional hubs will follow suit to incentivise members of the public to shift from their single occupancy car travel to multi-modal transport with the aid of a ticketing solution.

GAP ANALYSIS

- 3.6.9 Ticketing Solutions are struggling to reach their full capacity due to the wide range of alternatives that are available throughout the UK without a definitive solution. Customers are no longer happy with resigning themselves to a range of average services and want an app tailored personally to their requirements.
- 3.6.10 This conditional output will need to be met with a range of aspirations which are yet to deliver a solution to provide a simple yet intuitive, user friendly resolution to provide combined tickets across a range of multi-modal transport. The challenge is to achieve the shift of customers to One Ticket One App due to the vast numbers of TOCs.

DELIVERY PLAN – IDENTIFIED INTERVENTIONS

- 3.6.11 Fares and Ticketing will fall under the responsibility of the recommended Digital Solutions Taskforce, and their immediate task will be to develop an Action Plan to both improve Value for Money in fares alongside addressing the challenges around digital multi-modal ticketing as described above.
- 3.6.12 There are a handful of ticketing schemes already in development within Western Gateway. These include PlusBus in a number of towns and cities, and the Freedom Travel Pass in Swindon and Wiltshire. An early action of the Digital Solutions Taskforce will be to gather information on all such schemes and assess their success. Longer-term, applying Mobility as a Service Solutions and multi-modal Digital Ticketing across WG will be the objective.

3.7 CONDITIONAL OUTPUT M6: ACCESSIBILITY

INTRODUCTION

- 3.7.1 This conditional output looks to make all stations in Western Gateway fully accessible, according to our definition of Accessibility. There are still a number of stations on the Western Gateway rail network that are non-compliant with national and European Accessibility standards and present a challenging and sometimes threatening environment to those with physical and / or hidden disabilities. These individuals are disadvantaged and will often choose a different mode of travel (or not to travel at all, leading to isolation). We have extended this definition in line with the 2010 Equality Act to seek to ensure there is no discrimination on the basis of age, disability, gender re-assignment, marriage/civil partnership, pregnancy and maternity, race, religion and belief, sex, or sexual orientation.

EVIDENCE BASE

- 3.7.2 A large evidence base of information was received during the eConsultation to identify areas within the Western Gateway accessibility improvements can be made throughout stations. These include:
- Certain disabilities receive less attention than other, for example mental illness or needs for toilet facilities are often overlooked.
 - Important to have trained staff as they can increase confidence in travelling, introduction of more recognisable purple uniforms for Mobility Assistance staff.
 - Accessibility measures should be applicable for anyone mobility impaired, for example an individual with a broken arm or carrying heavy baggage. These initiatives could be targeted at locations which have the greatest usage or are close to other accessible modes.
 - A number of stations have step-free access to the platforms but not between the platforms. Stations need these facilities to enable disabled individuals to reach connecting trains within the interchange timeframe.
 - Western Gateway stations would benefit from consulting with disability groups regionally and locally to help identify specific stations or features within the station that they may have struggled with in the past.
- 3.7.3 During reviews of the 64 documents received from various stakeholders across Western Gateway, approximately 25 of them included reference to interventions and aspirations related to improving accessibility throughout the region.

HOW WILL IT BE MEASURED (TARGETS)

- 3.7.4 The accessibility targets are shown in Table 3-9 below:

Table 3-9 – Western Gateway Accessibility Measures

Type of Provision	How provided/measure
Accessible stations – step-free access, appropriate ramps, audio-visual information, accessible ticket windows etc	100% compliance with DfT Design Standards for Accessible Railway Stations – A Code of Practice
Accessible stations	Increase in rail use by people with registered disabilities above general increase in passenger numbers

- 3.7.11 Provisional targets have been set based upon the initial targets set out at consultation phase but taking into considering the eConsultation responses.

- 3.7.12 This CO will be measured by the number of stations made accessible over the next 10 years, with a target of 100% compliance by 2030. Each station should hold a record of rail registered disabled passengers which should increase over time once the stations become compliant with national and European Accessibility standards.

GAP ANALYSIS

- 3.7.13 Using data from National Rail Enquiries (NRE) (extracted May 2020) there is a shortfall of accessible facilities at a number of stations as shown below and illustrated in Figure 3-3. For this analysis, we looked at the 70 Western Gateway stations.

- Stations with step-free access to platforms (classified as 'A' and 'B' on NRE): 62
- Stations with platform-to-train access ramps: 45
- Stations with accessible ticket facility (adjustable height counter/window or TVM): 44
- Staff at stations: 28
- Customer Help Point: 69

- 3.7.14 However, only 7 stations (10%) are classed as fully accessible, where this is defined as 'Class A' step-free access to platforms, plus exhibiting all the other facilities identified. These stations are Bristol Temple Meads, Bristol Parkway, Bath Spa, Chippenham, Gloucester, Weymouth and Westbury. A further 14 stations have 'Class B' step-free access to platforms (i.e. step-free in some way, but with non-compliances, e.g. ramp gradient, not all platforms etc.) plus all other facilities. This is shown in Figures 3-4 and 3-5.

Figure 3-3 – Train Station Accessible Facilities

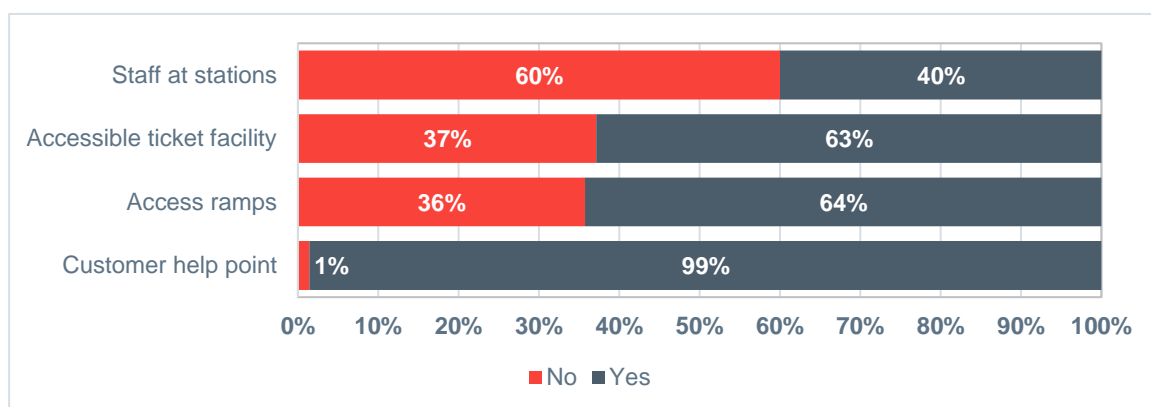
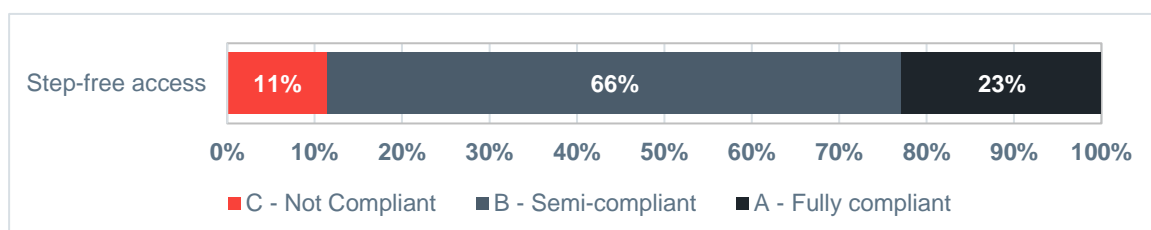
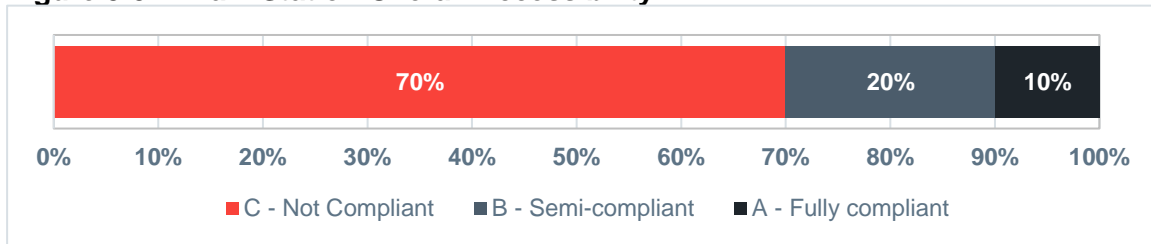


Figure 3-4 – Train Station Step-free access



- 3.7.15 Figure 3-5 combines these together: 21 out of 70 stations (30%) are therefore semi or fully compliant with accessibility requirements.

Figure 3-5 – Train Station Overall Accessibility



- 3.7.16 Various parts of the rail network including Western Gateway TOCs have recently introduced sunflower lanyards for identification of hidden disabilities.

DELIVERY PLAN – IDENTIFIED INTERVENTIONS

- 3.7.17 The Stations & Access to Rail Taskforce as described in CO M1 will be responsible for actions required to deliver this CO. As well as rail industry partners, a key representative on this group must be from a Disability Action Group in order for a successful outcome to be achieved. An early Accessibility Audit will allow a prioritisation of schemes for phased delivery.

4 DECARBONISATION

4.1 INTRODUCTION TO THEME

- 4.1.1 The 'Decarbonisation' theme is highlighted to enable rail to contribute more actively towards the overall decarbonisation of the Western Gateway region.
- 4.1.2 This theme emerged very strongly as an acknowledgement that rail can and will be a key contributor to the Climate Change Emergency, Net Zero targets and the decarbonisation national agenda. Decarbonisation relates to and builds upon the 'Choice' theme, as modal shift to rail for people, goods and services is part of transport decarbonisation.
- 4.1.3 The conditional outputs focus on a holistic view of decarbonising the railways and overall transport. This includes:
- Reducing fossil fuel and overall energy usage for railway traction, operations, maintenance and construction;
 - Utilising railway capacity more efficiently, to avoid wasteful use of what is still primarily diesel traction; and
 - Enabling modal shift to rail and other, less carbon-intensive modes from more carbon-intensive modes for people, goods and services.
- 4.1.4 This theme is important in the Western Gateway because most transport in the area uses combustion engine road vehicles. Since transport is the single largest contributor to carbon emissions in the UK, the Western Gateway will not meet Net Zero ambitions without decarbonising its transport as much as possible.
- 4.1.5 Three priorities were identified through stakeholder engagement in Phase 1. The table below expands on what these priorities are and what addressing them will mean to WG.

Priority	Description
Identify ways to reduce the carbon emissions per passenger of rail journeys on diesel rolling stock	The contribution that burning diesel fuel makes to climate change is now recognised, and as such this priority focuses on how to reduce the carbon footprint of rail – in this instance by better utilising each litre of diesel burnt (where diesel is the only choice of fuel available). This is addressed with COs D1 and D2.
Identify alternatives to diesel rolling stock including priorities for electrification	Accepting that it will not be possible to electrify every line and / or replace every diesel train with a net-zero alternative, electrification remains the best way to decarbonise the rail network. This can be supported by proactively pursuing other fuel choices, where hydrogen and battery-powered are all becoming viable options. This is addressed by CO D1.
Identify ways in which more freight can be transported by rail rather than road, in particular to deep sea ports	Road freight transport has a significant carbon footprint, and rail can make a major contribution to reducing that. Understanding the future freight market – both existing and potential, will allow this contribution to be unlocked. This is addressed by COs D3 and D4.

- 4.1.6 Five conditional outputs were identified through stakeholder engagement in Phase 1. These are listed in the table below and this chapter adds more detail about their targets, gaps and routes to delivery.

Conditional Output	Description
D1: Carbon Emissions	Reduce “at source” carbon emissions to zero
D2: Carbon Footprint	Reduce carbon footprint by increasing load factor of underutilised services
Dx: Network Efficiency	Most appropriate use of network capacity to effectively and efficiently transport all people, goods and services
D3: Freight Growth	An increase in rail freight in existing markets
D4: Freight Capture	An increase in rail freight by development of new markets

4.2 CONDITIONAL OUTPUT D1: CARBON EMISSIONS

INTRODUCTION

- 4.2.1 The rail sector must meet Net Zero ambitions to comply with legislation, which will require the reduction of “at source” carbon emissions for railway operations. This will predominantly pertain to rolling stock, infrastructure and technology choices on the railway. However, this is an opportunity for railway companies to achieve further reductions by working in a cross-industry capacity between TOCs and Network Rail; working with Local Authorities to integrate with local transport plans; working with the DfT to remove barriers to progress; working with Distribution Network Operators to design robust solutions and working with suppliers to develop innovation. This will achieve further decarbonisation of stations, supply chains and offices, and achieve greater emissions reduction than companies could achieve in isolation.

EVIDENCE BASE

- 4.2.2 In April 2020, the DfT published “Decarbonising Transport: Setting the Challenge”, a policy paper explaining how it intends to develop a plan to meet the government’s target of net zero transport emissions by 2050. The plan is scheduled to be published later this year.
- 4.2.3 The policy paper points out that rail is a relatively low-carbon form of transport and is becoming less carbon intensive as new trains come into service and the railway uses greener electricity. In 2018, greenhouse gas emissions from passenger and freight rail services made up 1.4% of the UK’s domestic transport emissions and 10% of passenger-km travelled in Great Britain.
- 4.2.4 Greenhouse gas (GHG) emissions from diesel trains and electricity generation per rail passenger-km in 2018-19 were 10.3% lower than for 2017-18. Rail GHG emissions are projected to rise by 19% between 2018 and 2050.
- 4.2.5 Railway decarbonisation from a supply perspective will entail the following measures:
- Decarbonise rail infrastructure:
 - Electrify routes with overhead line;
 - Electrify depots;
 - Invest in energy-efficient technologies and operations in stations and railway offices;
 - Install local solar generation where possible; and
 - Convert to renewable, zero-emissions energy supply for traction and non-traction electrical supplies wherever possible;

- Decarbonise fleets
 - Convert to electric traction rolling stock and/or zero-emission autonomous traction modes, such as hydrogen and battery trains and locomotives;
 - Ensure fleets have regenerative braking capabilities;
 - Convert railway maintenance rolling stock and plant to zero-emissions technologies; and
 - Upgrade commercial road vehicle fleets to electric vehicles;
- Decarbonise processes
 - Target embedded carbon across processes, procurement, projects and waste management;
- Decarbonise supply chains
 - Set and measure carbon targets within franchises and procurements; and
 - Co-develop emissions reduction innovations in-life with suppliers, with shared incentives.

The delivery responsibility for these items sits with Network Rail and the TOCs and FOCs, however, the power to change some of these arrangements sits within the ORR and/or the Government, given the regulated environment and rigid franchise structures in the railway. Therefore, decarbonising the WG route will involve Taskforce joint working to enact structural changes within the highest levels of transport leadership.

Network Rail Traction Infrastructure Decarbonisation

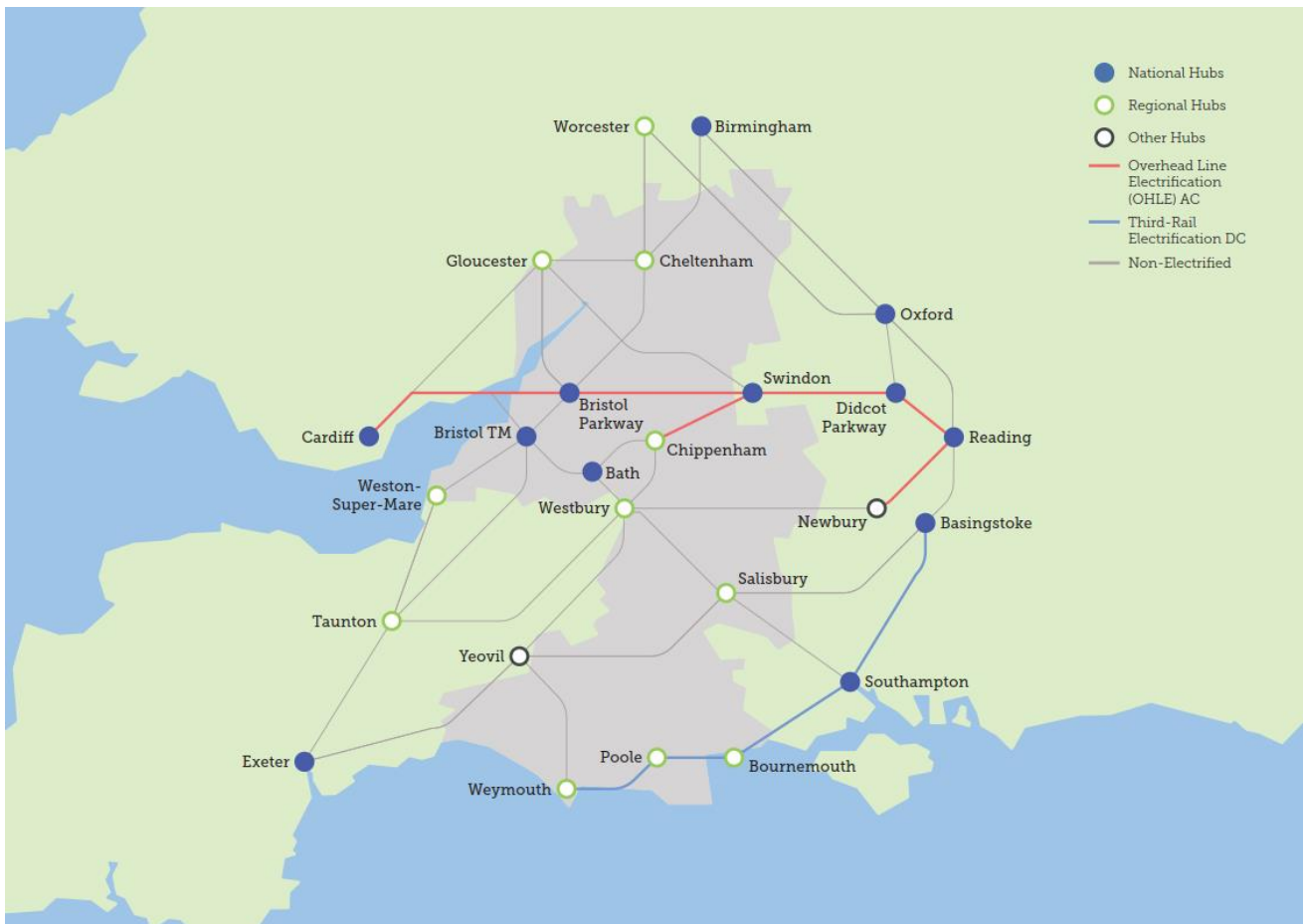
- 4.2.6 The ORR has placed regulated targets upon Network Rail to reduce carbon dioxide from its operations by 25% over the course of CP6. This 25% relates to all Network Rail operations, of which traction infrastructure decarbonisation is a component. In future years, Network Rail will have a responsibility to further reduce greenhouse gas emissions to align with, and contribute to, national targets and Government initiatives, including Net Zero by 2050. Network Rail is one of the largest consumers of electricity in the UK, with electrical traction contracts of £400M p.a. and non-traction contracts of £60M p.a.
- 4.2.7 Network Rail's Central Energy Management team helps the Routes reduce their energy and water use, carbon emissions and costs, while Route-devolved utility budgets are designed for local control to reduce consumption.
- 4.2.8 Currently, only 24% of the Western Gateway geography is electrified, broken down in Table 4-1. For the figures in Table 4-1 we have included all track as shown in the map including cross-border connections and not truncated at the WG boundary. Eg. electrification to Cardiff, Reading and Basingstoke is included, along with the non-electrification to Exeter, Worcester and Birmingham.

Table 4-1 - Current electrified track length

	Track length (km)	Percentage Electrified
Total Track	1,578	100%
Non-Electrified	1,194	76%
Electrified (Third-Rail DC)	161	10%
Electrified (Overhead AC)	223	14%
Total Electrified	384	24%

The map in Figure 4-1 indicates the current state of network traction across the Western Gateway.

Figure 4-1 - Western Gateway Current Network Traction Map



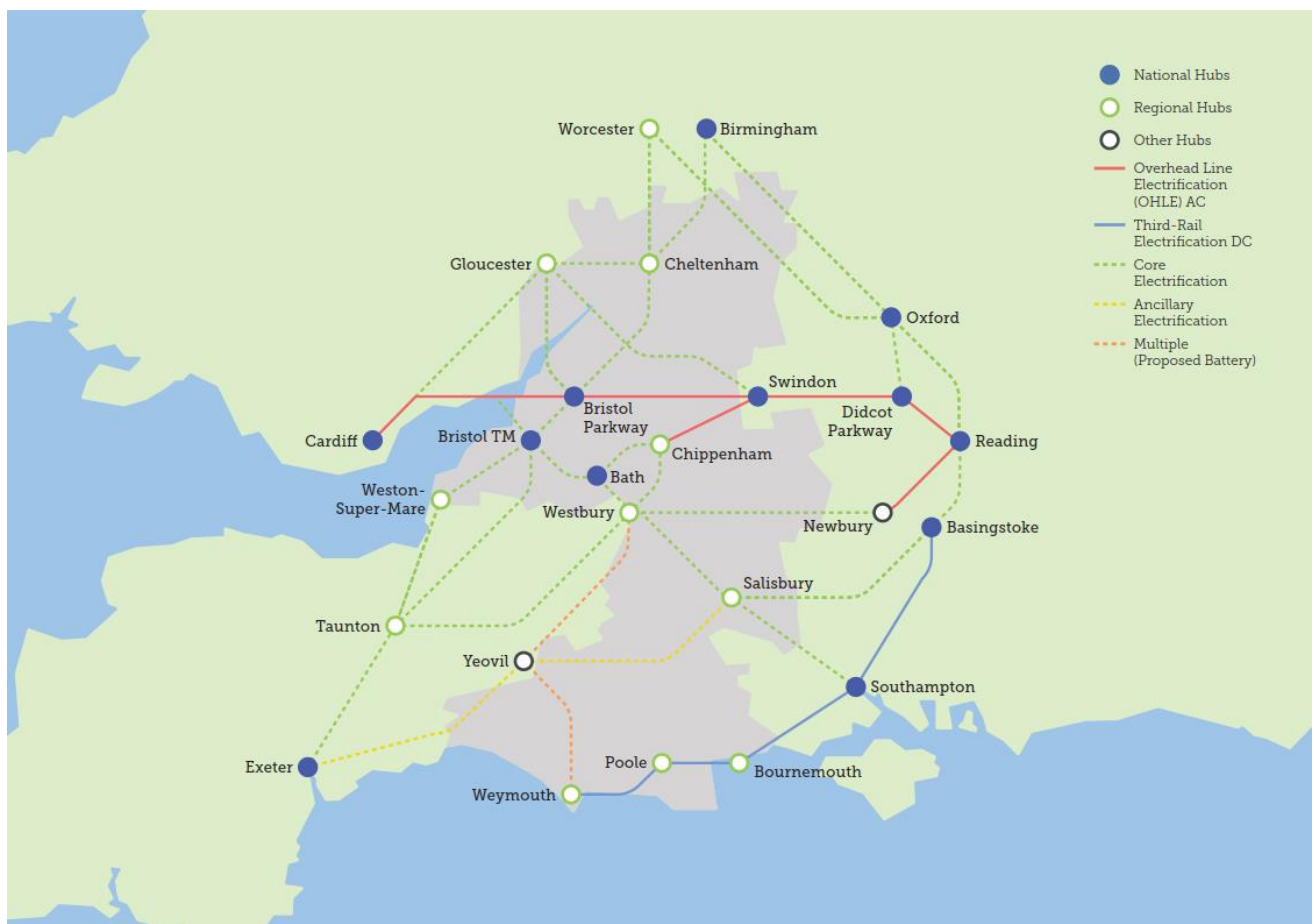
- 4.2.9 Network Rail has recently published a cross-industry Traction Decarbonisation Network Strategy (TDNS) which has identified for all lines across the UK where electrification, battery or hydrogen power could be used. A significant number of routes throughout the Western Gateway are non-electrified and TDNS has identified widescale electrification of these lines, with some lines identified for battery-powered trains. This will support Western Gateway in identifying interventions to pursue alongside Network Rail and CMSP processes across the region.
- 4.2.10 Network Rail classified routes as being either **single option** or **multiple option** based on the characteristics of the route and the capabilities of the traction options (for example suitability of route length for battery or hydrogen). Table 4-2 lists the proposed options and with the categorisation means as defined by Network Rail, with the map in Figure 4-2 displaying these against the current traction characteristics.

Table 4-2 - Future electrification options proposed in TDNS for Western Gateway routes

Electrification Option	Route	Description
Multiple options, proposed battery	Heart of Wessex Line between	Assuming the remainder of the route for the Weymouth and Exeter to Bristol services is

Electrification Option	Route	Description
	Dorchester and Castle Cary	electrified, this section could be operated using battery-powered rolling stock.
Multiple options, proposed electrification	Severn Beach Line	While the commuter services on this line could be operated by battery given the route's short length, it could be used as a diversionary route for freight and provide more resilience and therefore electrification is proposed (NB: not on map).
Single option, ancillary electrification	West of England Line between Exeter and Salisbury	While identified for electrification, Network Rail denoted this line as ancillary as it only just met the parameters of a 'single option'
Single option, core electrification	All other non-electrified routes in Western Gateway	All other non-electrified routes in Western Gateway other than those mentioned above have been identified as suitable for electrification.

Figure 4-2 – Map of future electrification options in TDNS for Western Gateway routes



Network Rail Non-Traction Infrastructure and Fleet Decarbonisation

- 4.2.11 Network Rail is also pursuing large-scale carbon reduction activities through an internal programme which includes energy efficiency, energy management practices and innovation in renewable energy, energy storage, low carbon design and transitioning its vehicle fleet to electric vehicles.
- 4.2.12 Network Rail electrical supply budgets are regulated but are devolved to Routes, which may empower Routes to influence carbon emissions at the local supply level.

TOC Rolling Stock Decarbonisation

- 4.2.13 This Rail Strategy surveyed the traction supply status of the rolling stock fleets for TOCs who operate on the Western Gateway routes; this included entire fleets, as each TOC's services run across STB boundaries, although it is noted that not all of the fleets surveyed are used within Western Gateway. The majority of TOCs' rolling stock is not electric traction-based, as the routes are mostly not electrified.
- 4.2.14 Rolling stock planning happens during the franchising process and is wholly dependent upon the availability of electric traction infrastructure. Changes to the franchising process from the Williams Review and changes to the rolling stock leasing and financing models may offer more opportunities for TOCs to convert to bi-mode, zero-emissions autonomous modes, or convert to electric rolling stock within the lifetime of a franchise, but currently this is not the case.

Joint-working on Decarbonisation

- 4.2.15 Meeting Net Zero goals will require a cross-industry effort, one which transcends the fragmented nature of the railway industry.
- 4.2.16 The franchise process presents a major obstacle to decarbonisation of the network: franchise agreements are not of an appropriately large scope or length to empower TOCs or FOCs to make infrastructure changes which could reduce station, office, depot, rolling stock and supply chain carbon emissions. TOCs and FOCs need to be part of the solution, but there is no existing framework or mechanism for them to be involved in the decarbonisation process.
- 4.2.17 TOC and FOC arrangements after the Williams Review and the COVID-19 Emergency Measures Agreements need to build in opportunities for the DfT, Network Rail, TOCs and FOCs to influence carbon emissions actions together. All parties are moving in the same direction, but few are empowered to create the necessary change at the right levels.
- 4.2.18 As the franchises do not allow enough scope to set and deliver carbon targets, emissions commitments must be made independent of the franchising process, in a cross-industry manner, via the proposed Future Ready & Resilience Taskforce.
- 4.2.19 The table below shows the published targets and commitments from operators within the WG area, most noticeable are the many commitments from Transport for Wales. Transport for Wales had the benefit of partially devolved franchise specification process and a longer franchise length of 15 years; this is likely to have aided the franchisee's ability to make emissions commitments.

Table 4-3 - Decarbonisation targets by TOC

Train Operator	Ambitions
All operators	by 2040 electrification about 2/5 of rail network

Train Operator	Ambitions
All operators	Targets – the rail industry, including government, should support the target of net zero carbon by 2050 as proposed by the Committee on Climate Change (CCC)
South Western Railway	South Western Railway (SWR) have supported the Riding Sunbeams pilot scheme to power trains through connecting solar panels directly into the railway system as traction current. This entails installing 135 solar panels on derelict land near Aldershot station without disrupting services. All SWR Desiro electric stock (Classes 444/450) used in the Western Gateway area have had regenerative braking since 2012.
South Western Railway	Reducing our energy & resource use - increasing recycling to 90%, reducing energy used at stations, depots and offices by 41%, water by 18.8% and carbon emissions from our trains by 56%, optimising our buildings by upgrading our lighting and installing controls and generating clean energy from solar panels.
CrossCountry	We will work to maintain a continuous reduction in the carbon footprint of our business and its people. Our environmental impact and energy consumption will be managed through the implementation of technology such as smart metering and the Driver Advisory System (DAS), which will be installed across our fleets to provide real time advice to drivers, promote fuel efficient driving, optimise journeys, increase punctuality and reduce our carbon emissions.
Transport for Wales	Published Net Zero timeline for actions over the first ten years of the franchise, including monitoring emissions
Transport for Wales	Supporting a more 'resilient Wales' TfW stated that electricity for stations and overhead wires on the Core Valley Lines will come from 100% renewable energy, with at least 50% sourced in Wales.
Transport for Wales	By no later than 31 December 2023, we'll ensure that the rail service covering the Core Valleys Lines will consume no diesel fuel and achieve 100% passenger capacity miles under zero carbon power (except for Special Events and recovery from perturbation).
Transport for Wales	We'll upgrade our trains to reduce carbon emissions.
Transport for Wales	We'll install driver advisory systems on rolling stock to give drivers feedback on performance of fuel efficiency by April 2020
Transport for Wales	We'll ensure that 100% of our electricity is from renewable sources with 50% of this generated from Welsh renewable sources by 2025. We'll monitor and report on these percentages.
Transport for Wales	30% reduction in carbon emissions for Wales and Borders traction by the end of 2023

Train Operator	Ambitions
Great Western Railway	We'll improve the integration of different methods of transport and ensure our services are accessible to all, as well as reducing carbon emissions on our network by helping our customers make more sustainable travel choices.

4.2.20 A notable exemplar for WG TOCs is the Go-Ahead Group, which operates the Govia Thameslink Railway concession and the Southeastern franchise, as well as bus services across numerous locations in Britain, including the Go South Coast fleet of around 850 buses across Dorset, Wiltshire, Hampshire and the Isle of Wight. They have a company-wide Climate Change Taskforce which works across their transport functions. Measures which they are working on include:

- exploring green tariffs for non-traction energy (6% of their total energy use);
- installing solar panels at stations;
- saving energy through regenerative braking on electric rolling stock; and
- targeting embedded carbon across their processes, procurement, projects and waste management.
- These measures could be incorporated into the WG Future Ready & Resilience Taskforce commitments.

Decarbonisation Roles for railway stakeholders

4.2.21 Local Authorities and wider transport specifiers and providers must also work to decarbonise their local transport modes. Out of the key National and Regional Hub locations for the Western Gateway area, few Local Authority areas have existing or planned zero- or low-emission local modes of public transport available: Bristol has 21 micro-hybrid buses, Swindon has announced £50m in funding for a fleet of electric buses, and Salisbury has a fleet of Low Emission Buses.

4.2.22 Most Local Authorities do not have zero- or low-emission modes available for local transport; funding is likely to be the main issue, with COVID-19 further complicating business cases for new buses and infrastructure. However, collaborative delivery across railway and Local Authority partners, enabled by changes in DfT policy and regulation, could pool funding, create cost efficiencies, and share benefits. The most notable example in this case would be aligning local plans for electric bus and/or taxi charging sites with Network Rail grid and substation upgrades for railway traction, to combine civils access and optimise grid connection costs and local electricity generation and storage across the widest mobility landscape and land area. This can also create additional revenue streams from electric vehicle charging sites, some of which could be offered within Network Rail and/or Local Authority car parking assets.

4.2.23 Local transport operators may also be members of Greener Journeys, a national alliance of bus companies encouraging the modal shift from car to bus and coach to reduce emissions, so working with other cross-industry groups will provide opportunities for proactive engagement.

4.2.24 Support for rail electrification and/or reduction in carbon emissions formed a part of the following rail project studies and business cases:

- Metro West Phases 1 and 2 business cases, led by North Somerset Council and WECA;
- North Cotswold Line Transformation: Strategic Outline Business Case; and
- Swindon and Wiltshire Rail Study 2019.

4.2.25 In addition to the WG STB documents, WG stakeholder engagement from the eConsultation process highlighted support for Network Rail's Traction Decarbonisation Network Strategy (TDNS):

- Adjacent STBs/Local Authorities do not have specific carbon taskforces, but will align to the TDNS and its accompanying Business Case to determine which corridors are to be electrified;
- The WG STB should respond to the TDNS and progress its recommendations.

HOW WILL IT BE MEASURED? (TARGETS)

- 4.2.26 The Western Gateway region will need to measure the attributes outlined in the TDNS; this entails monitoring the transition from a mostly-diesel railway network to a mostly-electric network.
- 4.2.27 To understand local railway emissions within the Western Gateway area, we recommend building a simulation tool to calculate the emissions for each train service as it passes through the STB area; as the rail network decarbonises, the simulation inputs can be updated to gauge the effects on local emissions.
- 4.2.28 Railway decarbonisation will only be achieved if TOCs, Network Rail, and Local Authorities work together across boundaries to deliver the structural and infrastructure changes to achieve Net Zero. Crucially, this will interface with conditional outputs G2 – Mobility Hubs, D2 – Carbon Footprint and G3 – Network Resilience. We recommend that a Western Gateway Future Ready & Resilience Taskforce is established and meets quarterly.

Stage 1 (2021)

Establishment of a Future Ready & Resilience Taskforce consisting of select Western Gateway Officers, a representative from each TOC and a representative from each Network Rail region which should meet quarterly.

- 4.2.29 The Taskforce members will need to agree, set, measure and report on emissions reduction progress within their individual purviews, but the true value of the Taskforce itself will be to plan and monitor the following:
- Adoption of the measures within the Rail Industry Decarbonisation Taskforce's "Final Report to the Minister for Rail 2019" for the WG region;
 - A cross-industry strategy to lobby for the systemic changes required to decarbonise the railway by reducing energy use at source, across all operators and Network Rail. This may include:
 - Upgrading stations with solar panels or energy-saving fixtures and designs;
 - Consolidating or sharing offices, depots and operations;
 - Agreeing energy supply purchasing frameworks;
 - Exploring green tariffs for non-traction energy;
 - Saving energy through regenerative braking on electric rolling stock;
 - Targeting embedded carbon across all processes, procurement, projects and waste management;
 - Reducing energy use and changing energy sources for maintenance and construction; and
 - Drawing on best practice from other operators, competitors, industries and neighbours.
 - A framework for collaborative development and electrification of stations and public realm environments to support integrated, sustainable local transport connections and encourage joined-up modal shift to sustainable and EV modes (EV buses, e-bikes, e-scooters); joins up with G2 – Mobility Hubs;
 - Agreeing procurement best practices for flowing carbon targets into the supply chain and co-developing incentive and innovation schemes with supply chain partners;

- Lobbying for a consistent, rolling programme of electrification, both continuous and infill between key nodes, to retain design and construction skills and local expertise;
- Mapping the short-, medium- and long-term outcomes and impacts of decarbonisation across the network and assigning cross-industry issues for resolution to specific working groups. Examples include the following issues:
 - Increased overhead line may require more railway maintenance access and could have network reliability and resilience implications, especially in the face of climate change; joins up with G3 – Network Resilience;
 - Increased electrification will increase grid supply demands and may impact energy security; the Taskforce will need to support Network’s Rail’s responses to Electricity Market Reform and energy storage initiatives that have been introduced nationally, to maximise opportunities and synergies;
 - Hydrogen traction will require strategic site planning for depots; it may also create wider hydrogen economy opportunities; and
 - Local solar energy generation and battery storage may require a new collaborative framework agreement between the Taskforce members.

4.2.30 Successful integration with railway stations and vehicle charging infrastructure synergies at station and depot sites will help Local Authorities, TOCs, FOCs and Network Rail achieve their sustainability goals, by reducing infrastructure spend and encouraging modal shift to rail and active modes.

GAP ANALYSIS

4.2.31 The Government policies for Net Zero and most Local Authorities’ declarations of Climate Emergencies are relatively recent, and therefore have not been fully incorporated into all policies and Local Plans. However, the number of reports and policies which entail decarbonisation measures increases with each year, and therefore this Rail Strategy can build upon an increasingly supportive environment and policy basis from which to achieve its decarbonisation conditional outputs. The standard across many WG areas is a 2030 carbon-neutral target, so this is the recommended target.

DELIVERY PLAN – IDENTIFIED INTERVENTIONS

4.2.32 Interventions for this CO include:

- Stage 1 (2021): Establishment of a Future Ready & Resilience Taskforce consisting of select Western Gateway Officers, a representative from each TOC, the Rail Delivery Group, the DfT and a representative from each Network Rail region and the Network Rail System Operator. It should meet quarterly.;
 - The Taskforce STB members will respond to the cross-industry TDNS and integrate the Strategy into planning and projects across the respective constituent members, focussing on co-development and co-delivery of solutions. This will include the prioritisation of schemes based on deliverability;
 - The Taskforce will also respond to consultations about future TOC and FOC arrangements, in the wake of the Williams Review and the COVID-19 Emergency Measures Agreements, to build in opportunities for the DfT, Network Rail, TOCs and FOCs to influence carbon emission actions together. This will ensure that all parties continue to move in the same direction, while empowering all parties to create the necessary change at the right levels;

- The Taskforce will progress cross-industry and cross-region carbon targets, commissions and plans, as the franchises do not allow enough scope to set and deliver carbon targets; and
 - The Taskforce will cover the areas highlighted within the D1 section of this report.
- Stage 1 (2021): The STB should build a modelling tool to calculate the emissions for each train service as it passes through the STB area; as the rail network decarbonises, the simulation inputs can be updated to measure the improvements on local emissions. This modelling should be supplemented with emissions testing data (the development of a national tool may be preferable to a regional one, but the STB should be prepared to take a lead in this area if no national tool is developed);
 - Stage 1 (0-3 years): The STB should commission a strategic study across its constituent members to determine where future rail traction, railway buildings/stations supply, and future electrified local transport charging points can combine land use and grid upgrade needs, to jointly fund and deliver efficient, combined electrification proposals. As part of this study, proposals should be prioritised for phased delivery;
 - Stage 2 (1-5 years): Where appropriate, STB members should work across organisational boundaries to use their collective consumer weight to work with DNOs to convert to renewable supplies; design and deliver local generation capabilities; and combine resources and economies of scale to deliver coordinated grid connection upgrades to support electrified rail and public transport modes; and
 - Stage 3 (1-20 years): The STB should ensure that its constituent members and stakeholders support an ongoing programme of electrification, appropriate conversion to renewable autonomous traction fleets, and integration of rail and zero-emissions local public transport and micromobility modes, through the development of individual projects and business cases that have been prioritised by the Taskforce.

These measures can begin implementation within the next year and continue as best practice for the long term.

4.3 CONDITIONAL OUTPUT D2: CARBON FOOTPRINT

INTRODUCTION

- 4.3.1 This CO aims to reduce the carbon footprints of customer and freight journeys by increasing the load factors of rail services and using network capacity in the most efficient and effective way for the transportation of people, goods and services. More efficient rail network use will aid decarbonisation. Complementing CO D1, which decarbonises the rail service supply-side, the D2 'Carbon Footprint' CO manages carbon emissions from the demand-side.
- 4.3.2 Patterns and costs of peak and off-peak flows, and some service routes, mean that there are trains on the network operating almost empty at certain times of day, whilst others are overcrowded. By balancing out customer distributions, or by filling empty passenger services with goods which need to be transported over the network, the overall carbon footprint per rail customer could be reduced.
- 4.3.3 Equally, it is acknowledged that capacity planning needs an industry-wide approach, incorporating future demand projections for passenger travel and freight movement and maximising use of available network capacity. This forms an integral part of the CMSP process.

EVIDENCE BASE

- 4.3.4 Rail travel is already one of the most sustainable forms of motorised travel, outstripping the private car and air travel by a large margin. Within the UK, 25% of carbon output can be attributed to transportation; rail comprises 1.4% in itself. Furthermore, movement of goods and people by rail is

also more efficient. In simple terms, more goods or people can be moved using the same amount of fuel when compared to any road- or air-based mode.

- 4.3.5 Yet, rail travel's efficiency is unevenly distributed, with high load factors in commuter peaks for two to five hours a day, whilst in off-peak periods, considerable numbers of trains operate with limited passengers. These low load factors reduce the positive role that rail plays in decarbonisation. While it is widely understood that peak demand is not binary and that spare capacity is spread unevenly across different times of the day or days of the week, there is an opportunity to better match capacity and demand.
- 4.3.6 Many TOCs have applied fare incentives to distribute loads more evenly, with reduced off-peak advance fares. In some cases, for example, the West Coast Mainline off-peak fare, incentive fares have resulted in some of the off-peak services in and out of London having the highest load factors. This example is, however, an exception on the overall rail network.
- 4.3.7 Aside from re-balancing the demand profile for rail travel using fares incentives, other models may further reduce the carbon footprint of rail. Transporting specific types of freight on off-peak passenger services has been tested and applied in the UK and worldwide. A particularly extreme example is on the Delhi Metro system in India, where peak-time commuters travel with no baggage, and later in the morning, First Mile/Last Mile delivery 'drivers' collect packed lunches from home addresses, transport them on empty passenger trains into the city centre where another delivery 'driver' will transfer it to workplaces.
- 4.3.8 One UK example is the transportation of fish from the Scottish Highlands or Cornwall to central London on passenger trains. Several proposals have been developed to use passenger trains to transport parcels – most recently Duddle 'click and collect', founded by ex-Network Rail Route Director Tim Robinson. However, no services have yet established a robust business model that is compliant with security regulations. Despite this, recent changes to government policy on climate change and decarbonisation have created an urgent need to shift more goods to rail. The use of vital rail network capacity to penetrate towns and city centres has the potential to unlock a more sustainable delivery model for a wide range of goods required by city centre businesses. This is also explored as an option in CO D4.
- 4.3.9 From the 64 documents reviewed for this Rail Strategy, no Western Gateway region-specific documents have previously linked blending or reallocating passenger and freight services, but most Local Authorities are supportive of increased rail capacities for freight, optimised with passenger services, as well as linking rail capacity to growth areas.
- 4.3.10 However, several of them mention either increasing capacity for rail freight and/or holistically discuss increasing the utilisation of the rail network. Specific aspects of studies which relate to this CO include:
 - The South West Main Line Route Utilisation Strategy recommends peak management techniques, additional train services in peak times, and enhanced freight routes;
 - The West of England Line CMSP Freight Report has a SWOT analysis (Strengths, Weaknesses, Opportunities, Threats) to consider the possibility of a regular freight service on the London Waterloo to Exeter St Davids line. It also discusses diversion of freight from other routes; and
 - The Bournemouth, Poole, and Dorset Local Transport Plan 3 outlines aspirations for increased rail network utilisation with reduced carbon emissions.

- 4.3.11 The DfT report “Carriage of Goods on Passenger Trains” June 2016 has relevant high-level models to use as the basis for a Western Gateway region-specific Freight Market Study and plan for local and regional services to carry freight.
- 4.3.12 The logistics, security, performance and dwell times (loading/unloading) pose barriers to passenger services to carry freight, and the potential alignment between markets or the volume of freight of the right nature is uncertain. However, the high-value, low density freight market is growing, and it is likely that as the market grows, a range of types of freight models may accommodate this market.
- 4.3.13 Current growing trends include retrofitted / re-purposed passenger trains carrying small freight and existing passenger services carrying small consignments. Having freight services behaving (operationally) like passenger services in terms of performance characteristics and timetabling presents an opportunity to access urban centres.
- 4.3.14 More recent market offerings to facilitate novel freight movements include the initiatives below; these will serve as the most relevant case studies for the Freight Market Study.
- April 2020: GB Railfreight used 200kg parcel cages on Class 319 trains to deliver NHS supplies into Euston Station;
 - The Rail Operating Group is developing the Orion service to use converted passenger rolling stock and integrated first mile/last mile logistics services for freight deliveries which are emissions-free at point of use;
 - InterCity RailFreight are currently operating some micro-freight consolidation projects and freight goods on passenger trains on East Midlands Railway and Great Western Railway; and
 - iPort Rail is innovating the logistics and first mile/last mile arrangements to fill unused spaces on existing freight trains; this helps new customers with small volumes to achieve modal shift.
- 4.3.15 With the exception of re-purposed passenger trains as described above, the assumption that freight paths could be straightforwardly substituted for passenger traffic is not a given. In general the impact of freight on passenger path availability is less than feared (especially where passenger services make relatively frequent stops). Freight paths may only form part of a usable passenger path, where the constraint is station capacity, or network capacity outside the freight path geography, so it isn't simply passenger in place of freight. The intention of maximising peak time passenger capacity might be better served by optimising the lengths of existing passenger services. It is worth noting that use of electric locomotives for freight could provide more efficient paths owing to improved capability. CMSPs will inform passenger capacity pinch points and priorities when undertaken, and WG and other stakeholders will need to work with NR to ensure specific tailored questions in specific geographies are included.

HOW WILL IT BE MEASURED? (TARGETS)

- 4.3.16 Potential measures for this CO include:
- More even distribution of load factor on-board trains across the day;
 - Increased revenue for passenger operators from new sources where space on trains is taken up by high value, low density goods being transported to towns and city centres;
 - Reduction in road-based delivery traffic servicing city centre locations, to be replaced by innovative First Mile / Last Mile delivery services and centrally-based parcel pick-up locations (e.g. Amazon Lockers);
- 4.3.17 Network Rail's CMSP process will be required to demonstrate where additional capacity is likely to be required in the future, and where it will be necessary to increase the number of passenger services into National and Regional Hubs to meet that capacity;

This concept should be considered further through the Freight Market Study proposed under CO C4.

GAP ANALYSIS

- 4.3.18 While there are a few existing and pilot schemes detailed within the Evidence Base, these are bespoke designs and are not built into policy, strategic planning or other documentation. The recent prioritisation of decarbonisation across the WG STB members and stakeholders indicates a favourable environment to measure demand, deploy pilot schemes and roll out loading optimisation and combined passenger-and-freight measures across the WG network area.

DELIVERY PLAN – IDENTIFIED INTERVENTIONS

- 4.3.19 Due to the need to understand the market demand for high value, low density freight into urban centres, the delivery of this CO is best overseen by the Freight Taskforce; however it will also need to be considered within strategic planning considerations (see CO C1) and by the Future Ready & Resilience Taskforce described under CO D1.
- 4.3.20 The immediate action for this Taskforce, as described under CO C6 is a Freight Market Study. which should consider the wider freight markets and models and undertake a prioritisation of freight schemes for phased delivery. Specifically for this CO, the study should identify the additional infrastructure needed to facilitate small freight on passenger services, such as Amazon parcel lockers at stations, station car parking spaces converted to pop-up parcel hubs or roll-cage storage areas.
- 4.3.21 In addition, the Taskforce should consider:
- Identifying services and beginning trials of parcel cages on underutilised trains, especially during augmented operations under COVID-19 Emergency Measures Agreements and the likely augmented follow-on agreements which follow after September 2020;
 - Implement the WECA Joint Local Transport Plan 4 (March 2020) commitment to a passenger train freight pilot at Bristol Temple Meads; and
 - Working with the Digital Solutions Taskforce to incentivise and manage off-peak, walk-on off-peak and counter-flow demand; improve passenger loading and origin-destination data collection; and ensure that fare structures are simplified. Stakeholder feedback noted that customer demand should not have additional barriers added during and after the detrimental COVID-19 impacts on rail travel.

4.4 CONDITIONAL OUTPUT DX: NETWORK EFFICIENCY

- 4.4.1 Based on feedback from the stakeholder eConsultations, and in particular discussions with Network Rail regarding alignment with the CMSP process, we have determined that this CO does not warrant inclusion in its own right. Any relevant detail has been incorporated into CO D2 Carbon Footprint.

4.5 CONDITIONAL OUTPUT D3: FREIGHT GROWTH

INTRODUCTION

- 4.5.1 This CO targets expansion of rail freight within existing markets. It relates to CO C6 'Freight Capacity', in that it requires consideration of additional aspects to enable more freight from existing markets to be transported by rail. It needs to identify and remove other barriers to the growth of rail freight, thus driving a reduction in the overall carbon footprint of the movement of goods.

EVIDENCE BASE

- 4.5.2 Within the programme of this rail strategy and in the absence of a dedicated WG freight market study, only a limited understanding of the baseline position was achievable in terms of proportions of rail freight and volumes of commodities transported by rail. A first step in the delivery plan for this strategy will be to undertake a Western Gateway Freight Market Study to develop an understanding of the baseline, as described in previous COs.
- 4.5.3 Network Rail has a Freight Market Study and a Freight Network Strategy with which a WG study will need to align, working in close coordination with Network Rail.
- 4.5.4 At the time of writing we are aware that the Rail Delivery Group is undertaking a review of how rail freight is measured in appraisal methodologies, following on from its 2019 study in Rail Freight: Delivering for Britain. Western Gateway should monitor and align with the outcomes of this review.
- 4.5.5 Network Rail is also beginning to jointly work with Highways England on freight, including a cross-Region CMSP led by the Wessex route looking at freight on the Solent to Midlands corridor. This approach is valuable and intended to be rolled out across the network. The targets are based on total volumes rather than proportional volumes, which means they capture the overall market, rather than the role of rail freight; relative volumes would be a better measure.
- 4.5.6 Evidence of rail freight growth progress is identified in Network Rail's – Freight Network Study and highlights the enhanced capacity in the Reading Station area as part of its station redevelopment scheme. Although not within the WG boundary, the route section between Reading and Didcot is considered a key section for WG freight services due to its status on the Strategic Freight route from Southampton to the West Midlands which passes through WG.
- 4.5.7 The table below summarises the key freight origins / destinations and commodities from a rail perspective, obtained through consultation with Rail Freight Group. All the markets are reportedly strong and have potential for growth, with the exception of steel from South Wales.

Table 4-4 - Key freight origins and destinations and commodities

Freight Origin	Freight Destination Examples	Commodities / Markets
Southampton Ports (Eastern Docks, Western Docks, Millbrook, Marchwood, Fawley, Totton)	Beyond Western Gateway	Automotive, Intermodal Containers
Marchwood MOD (Southampton), Bovington/Lulworth MOD	Bicester MOD, Wool MOD, Ludgershall MOD, Warminster MOD	Military vehicles, ramps
Southampton / Eastleigh	Whatley Quarry	Aggregates
Hamworthy (Port of Poole)	Westbury Down	Unknown
Merehead / Whatley (Mendips)	Various: <ul style="list-style-type: none"> London & SE (in particular Acton) Avonmouth 	Aggregates

Freight Origin	Freight Destination Examples	Commodities / Markets
Avonmouth	Various: <ul style="list-style-type: none"> ■ N Wales ■ Clitheroe, Lancs ■ Southampton 	Aggregates
Severnside SITA	Westbury Down Brentford, Essex	Biomass (Energy from Waste)
Bristol Ports (incl. Portbury and Avonmouth)	Beyond Western Gateway	Automotive, Aggregates
Tytherington	Appleford, Didcot	Aggregates
Westerleigh	Immingham Robeston (Milford Haven) Lindsey (Lincs)	Oil and Natural Gas
South Wales Ports & Power Stations, including Wentloog, Robeston (Milford Haven), Aberthaw, Cardiff and Port Talbot	Various: <ul style="list-style-type: none"> ■ London & SE ■ Felixstowe ■ Southampton ■ Cornwall ■ East Midlands 	Steel, Aggregates, Biomass
Former Westbury Cement Works		Cement distribution

4.5.8 The awarding of the aggregates contract for Mendips from DB to Freightliner will change some of the freight route patterns above and the Freight Taskforce will need to monitor and identify opportunities with the changing nature of freight.

4.5.9 Of the 64 documents reviewed to identify the planned interventions for local and regional areas within the Western Gateway, several of them mention either increasing capacity for rail freight and/or holistically discuss increasing the utilisation of the rail network, but they do not encompass freight market studies in themselves. Studies which relate to this CO include:

- West of England Line CMSP Freight Report: SWOT analysis (Strengths, Weaknesses, Opportunities, Threats) to consider the possibility of a regular freight service on the London Waterloo to Exeter St Davids route, as well as analysis of new and existing markets and the diversion of freight from other routes; and
- WECA Joint Local Transport Plan 4 (March 2020): commitment to investigating using the rail-served former waste terminals at Westmoreland Road (Bath) and Barrow Road (Bristol) for rail-based freight, and to improvements to the loading gauge on core rail routes to increase capacity.

HOW WILL IT BE MEASURED? (TARGETS)

4.5.10 In addition to the measures identified in C6 'Freight Capacity' and P4 'Freight Capability', it will be necessary to measure the step-change in the volume of freight transported by rail as opposed to road freight.

These measures could include the following:

- Increased proportion of total freight transported to, from and within Western Gateway by rail;
- Increased relative volumes of key commodities transported by rail to, from and within Western Gateway; and
- Increased usage of freight paths on the rail network.

An Action Plan should be developed as part of the Freight Market Study.

GAP ANALYSIS

- 4.5.11 The WG region lacks an area-specific Freight Market Study, although it can draw from existing freight studies from Network Rail and England's Economic Heartland (EEH). This CO will build the area-specific baseline and establish progressive growth from that point onward.

DELIVERY PLAN – IDENTIFIED INTERVENTIONS

- 4.5.12 As previously described, it is recommended that a Freight Taskforce is established and undertakes a Freight Market Study as a priority. Specific to this CO, the Market Study should include improving the understanding of what goods are currently transported by rail to and from WG, and what the potential to grow these markets is. It is important that this study does not contradict Network Rail's Freight Market Study or Network Rail's and Highway England's Freight Strategy and targets, and instead complements them by developing a better understanding of the components of the freight market specific to WG. This would include land use considerations to support rail freight viability and consideration of specific sites across WG that have rail freight potential. This study will identify and prioritise specific opportunities for rail freight to grow, and the Freight Taskforce can identify policy measures which can facilitate the growth.

4.6 CONDITIONAL OUTPUT D4: FREIGHT CAPTURE

INTRODUCTION

- 4.6.1 The 'Freight Capture' CO aims to increase rail freight tonnage by developing new markets for freight services. This would expand beyond traditional rail freight markets, e.g. 'heavy haul' such as coal, aggregates and steel, and container goods such as automotive parts. Some specific examples where rail has the potential to play a greater role is in long-distance movement of bulk retail goods between freight distribution centres, and better penetration into large urban centres for high value, low density goods (e.g. parcel deliveries) that can then take advantage of a more sustainable First Mile/Last Mile choice.

EVIDENCE BASE

- 4.6.2 Within Western Gateway there are multiple significant existing road freight flows. In general, these comprise:
- **Urban/local movements** (First Mile/Last Mile) servicing towns and cities within the area, comprising delivery & servicing activity for both commercial (B2B) customers and for consumers (B2C). An example of these movement types would be parcel carrier multi-drop operations covering business and residential within defined postcode areas.
 - **Regional movements** within the area and also into South Wales for Newport/Cardiff and beyond, serviced from distribution centres in Western Gateway; these will also include delivery & servicing for commercial customers and for consumers.

- An example of these movement types would include supermarket regional distribution centres receiving full trailer loads from grocery suppliers for sortation, and then consolidating onward deliveries into stores within the catchment area.
- **Strategic national/international movements**, including trips generated within the area as origin/destination and those which travel through the area on longer distance movements to/from other regions, including further South West into the Peninsula area, as well as those heading to the Midlands, North and beyond. In addition, there are road freight flows to/from London and to/from South Wales and onwards via ferry into the Republic of Ireland (RoI) as the M4 corridor acts as a landbridge for RoI traffic to/from continental Europe).
- Examples of these flows would include Irish Lamb heading to Paris meat markets and pallet network trunk movements from Midlands hub to network member collection and delivery (C&D) depots.

- 4.6.3 The M4 and M5 motorway corridors play major roles accommodating the East/West and North/South regional and strategic movements. The Western Gateway area is a popular location for regional distribution centres servicing further south west. The Western Gateway is also located within a couple of hours' maximum travel time to/from the Midlands, South Wales and along the M4 corridor towards London, so the area is strategically important for logistics operations.
- 4.6.4 In summary, the widest range of road freight movements are evident in the area. The range includes:
- Consumer-driven home shopping trips, generated and serviced by van fleets, to urban high street delivery and servicing. Bristol and Bath generate a particularly large quantity of retail trips, for which a freight consolidation centre was/is in use to minimise trips into central urban areas;
 - Regional movements originating in/ending in the region; and
 - Longer-distance strategic movements—like car movements from Royal Portbury Docks—and movements beyond to North of England, Scotland and continental Europe.
- 4.6.5 In the short term, the strategic road freight flows covering longer distances has the greatest potential for modal shift from road to rail. Rail would provide an alternative to road freight journeys by moving larger volumes over longer distances and delivering efficiencies of scale.
- 4.6.6 In the short-to-medium term, there is also the opportunity for rail freight innovation to capture some of the other road freight flows, by providing freight capacity on off-peak commuter services, right into the heart of the area's towns and cities, reducing the local and regional reliance on road freight trips within urban areas.
- 4.6.7 Of the 64 documents reviewed to identify the planned interventions for local and regional areas within the Western Gateway, several of them mention either increasing capacity for rail freight and/or holistically discuss increasing the utilisation of the rail network. There is limited mention of new freight markets, but specific aspects of studies which relate to this CO include:
- The West of England Line CMSP Freight Report mentions using new and existing markets for rail freight and also the diversion of freight from other routes.
 - Bournemouth, Poole, and Dorset Local Transport Plan 3 notes the aspiration for increased rail network utilisation, reduced transport carbon emissions, and improved integration with other modes; these aspirations can apply to both passenger and freight rail.
 - The WECA Joint Local Transport Plan 4 (March 2020) is committed to the following:
 - Creation of a multimodal freight distribution centre in the Avonmouth area, to be linked to the freight consolidation centre;

- Exploring the potential to use passenger trains to carry freight; and
- Encouraging a shift of a range of goods from road to rail.

HOW WILL IT BE MEASURED? (TARGETS)

- 4.6.8 This CO will combine its scope with that of CO C6 ‘Freight Capacity’ and other COs from this section, to outline a Freight Market Study to measure freight market potential.
- 4.6.9 Subjects for the Freight Market Study which pertain to this CO could include the following changing markets and operational models:
- Net increase in the number of different commodity sectors transported by rail by 2030;
 - Improved collaboration between potential freight customers to allow shared freight services/paths across different commodity types/customers (the inflexibility to share services is often cited as a reason why rail freight is uneconomical for potential customers such as Marks & Spencer);
 - Increased use of rail distribution centres and warehouses, either outside of or within city/town centres;
 - Reduction in road-based delivery traffic servicing city centre locations, to be replaced by innovative First Mile/Last Mile delivery services, partnership delivery models and centrally-based parcel pick-up locations (e.g. Doodle/Amazon Lockers); and
 - Market innovation survey: capturing new and emerging models for freight movement and assessing their applicability for the Western Gateway.
- Exemplar models include: the Orion service from the Rail Operating Group; iPort Rail, the “uber for rail freight”; and the recent GB Railfreight use of passenger trains for 200kg parcel cages on passenger trains for COVID-19 personal protective equipment deliveries into Euston.

The Freight Market Study will require a collaborative approach between distribution centres, new freight customers, passenger and freight operators, SMEs, Local Authorities and Network Rail.

GAP ANALYSIS

- 4.6.10 Regional assessment and capture of freight market movements is not yet well understood in the WG STB area, as freight services and markets tend to be widespread and railway freight operational models have not changed at the same pace of the change in freight markets, i.e., a rise in parcel deliveries and a fall in coal power plant usage. Net Zero targets and the wider drive for decarbonisation are largely new policy areas which have only recently been prioritised.
- 4.6.11 The freight market study should incorporate findings from the England’s Economic Heartland’s Freight Study (2018).

DELIVERY PLAN – IDENTIFIED INTERVENTIONS

- 4.6.12 As previously described, it is recommended that a Freight Taskforce is established and undertakes a Freight Market Study as a priority. Specific to this CO, this should consider the potential of the future markets detailed above and understand the barriers, real or perceived, that these customers may observe towards rail freight. The Taskforce would determine the policy levers, such as land use and commercial impacts, which could engender increased freight growth and viability. Any interventions identified to facilitate freight capture, e.g. new rail connected distribution centres, will be prioritised for phased delivery.

5 PRODUCTIVITY

5.1 INTRODUCTION TO THEME

5.1.1 In the Phase 1 Report, Productivity was found to be a key policy consideration and the core message from the Industrial Strategy. Statistics have strongly suggested that the Western Gateway (WG) area is much less productive, like most regions outside of London and the South East, which is in part driven by poor transport connectivity. There is therefore an opportunity for rail to contribute more actively to improvements in productivity across Western Gateway.

5.1.2 Three priorities were identified through stakeholder engagement in Phase 1. The table below expands on what these priorities are and what addressing them will mean to WG.

Priority	Description
Improve rail journey times / speeds to make rail competitive with the equivalent road journey	Extended journey times between economic hubs is a detractor from productivity. There are several examples of slow speeds and long generalised journey times across WG, as detailed in P1 below.
Provide improved rail connectivity (passenger and freight) to international gateways – airports and ports	There are limited international gateways within WG, and those that do exist are poorly connected by rail, whether this is direct services for passengers (P3), or route capability for freight (P4). International gateways unlock both international trade and tourism, both of which are important to economic growth and productivity in WG.
Improve strategic connectivity with cross-border economic hubs	Aside from Bristol, the economic hubs in WG would not be considered to have status nationally. As such, the ability for WG businesses and residents to be connected with nationally significant hubs such as London, Birmingham and Southampton is important for productivity uplift. As well as journey time being an important part of this (P1), the ability to use time productively during a journey to cross-border hubs is important (P2).

5.1.3 Five conditional outputs were identified through stakeholder engagement in Phase 1. These are listed in the table below and this chapter adds more detail about their targets, gaps and routes to delivery.

Conditional Output	Description
P1: Journey Speed	Journey speeds appropriate for each corridor / catchment type and usage patterns
P2: On-Board Productivity	On-board capacity and facilities to enable productivity and match demand into economic centres and employment hubs (including cross-border)
Px: Station Gateways	Stations as gateways to drive transit-oriented development and economic growth
P3: International Gateways	Improving passenger connectivity to International Gateways within and close to Western Gateway
P4: Freight Capability	Freight capability to ports and rail freight terminals increased

5.2 CONDITIONAL OUTPUT P1: JOURNEY SPEED

INTRODUCTION

- 5.2.1 Increasing the journey speeds and therefore reducing journey times is a core component for improving the attractiveness and competitiveness of rail, encouraging modal shift from road, as well as increasing productivity because more journeys are made between two economic hubs (agglomeration effect).
- 5.2.2 The use of speed as a metric was discussed in length across the engagement and consultation process particularly given journey time measures such as generalised journey time (GJT) are more commonly used in demand forecasting exercises and economic analyses. Based on positive feedback from Midlands Connect and the fact that journey speed has been one of the more valuable conditional outputs for driving change in their STB, we have retained this metric as it (along with other conditional outputs in this strategy) decouples GJT into its constituents (speed/time, frequency and interchange) so that the components can be investigated in isolation and the level of which they are considered a barrier to rail. In this manner, WG, in conjunction with Network Rail (NR) CMSP teams, can identify where the network underperforms for the types of services it carries (e.g. the extent to which the speed of a line carrying Intercity services is suboptimal and impacts economic productivity because the journey time does not promote business to business collaboration).

EVIDENCE BASE

- 5.2.3 We have analysed journey speed on point to point direct flows in WG based on target levels similar to those used by Midlands Connect. The gaps in this conditional output are significant in WG: on one hand this positively highlights the shortcomings of journey speeds, especially because many of the regional hub to hub flows are across the North-South axis of the geography which has been identified as a known barrier, but on the other hand this may raise concern about the applicability of the Midlands Connect targets that may not be fit for purpose in WG. That said, we have reported these gaps below.
- 5.2.4 It should be noted that, in isolation, journey speed is not considered a priority for all passengers: Transport Focus research indicates that journey speed was ranked 11th (12th in the South West) in passenger priorities, however our use of journey speed in this strategy is for identification and investigation purposes to illustrate where on the network the hotspots of slow journey speeds are.
- 5.2.5 Across the 64 documents reviewed, improvements to speed was identified in 48 of them. Specific interventions include electrification of lines and are explained further in the following sections.

HOW WILL IT BE MEASURED (TARGETS)

- 5.2.6 Speeds on direct links in the network will be assessed by dividing journey time by miles between origin and destination pairs. Target speeds have been set for each service designation based on those used by Midlands Connect as follows:
- Intercity: 61+ mph
 - Regional: 51 – 60 mph
 - Local: 41 – 50 mph
 - Urban: 31 – 40 mph

- 5.2.7 There are a range of challenges related to the balance between achieving better journey times and improved connectivity such as the addition of new station stops on route. In broad terms, a 'best for industry' approach is advocated, which can be established by the Strategic Planning Taskforce.
- 5.2.8 The timescale for the interventions required will vary as there will be infrastructure constraints to be addressed in the long term but there are also timetable changes which can occur in the short term that can be delivered on existing infrastructure.

GAP ANALYSIS

- 5.2.9 Gap analysis has been undertaken on National and Regional Hub pairs (including the cross-border hubs identified earlier in the report) representing Intercity, Regional and Urban journeys where speed is the main contributing factor to rail as a mode of choice. Results from the analysis show that Intercity and Regional services are below target with only 16.2% and 7.8% respectively of hub flows meeting the targets set out above.

Service Type	% point to point hub flows which meet the targets above
Intercity	16.2
Regional	7.8
Urban	75.0

- 5.2.10 The table below lists the top and bottom stations in terms of percentage of flows achieving the targets. All the stations where over above 20% of flows achieve the target are listed, along with the stations with the lowest percentage of flows meeting targets (i.e. below 5%).

Stations with the highest % of flows which meet the target (20% and above)	Stations with the lowest % of flows which meet the target (below 5%)
<ul style="list-style-type: none"> ■ Birmingham New Street ■ Reading ■ Bristol Temple Meads ■ Bath Spa ■ Bristol Parkway ■ Cheltenham Spa ■ Swindon ■ Didcot Parkway ■ Exeter St Davids ■ Chippenham ■ Taunton 	<ul style="list-style-type: none"> ■ Southampton Central ■ Basingstoke ■ Bournemouth ■ Salisbury ■ Gloucester ■ Worcester Foregate ■ Poole ■ Westbury ■ Weymouth ■ Yeovil Junction ■ Yeovil Pen Mill

DELIVERY PLAN – IDENTIFIED INTERVENTIONS

- 5.2.11 Improvements to journey speed will be overseen by the Strategic Planning Taskforce, and need to be considered as part of the strategic planning exercise outlined under CO C1. This way, opportunities for increased linespeeds leading to faster journey times, either with or without infrastructure upgrades can be identified, prioritised and built into one of the 'configuration states'.

5.3 CONDITIONAL OUTPUT P2: ON-BOARD PRODUCTIVITY

INTRODUCTION

- 5.3.1 On-board capacity and facilities such as Wi-Fi, charging points and luggage space can have an impact on a passenger's productivity and propensity to choose rail. Currently, an incentive which rail travel has over car travel is that time on-board can be used productively. However, certain services and routes have constrained on-board capacity making it a challenge to be productive on-board whereas for other routes inappropriate rolling stock with insufficient table or luggage space is deployed on longer distance and discretionary journeys (e.g. Cardiff to Portsmouth) where the ability to be productive and comfortable drives the modal choice.

EVIDENCE BASE

- 5.3.2 Several studies and documents have been reviewed to determine the current situation of on-board productivity within the Western Gateway. Only 20% of the documents reviewed have identified on-board productivity suggesting that this conditional output is of lower priority than others.
- 5.3.3 However, on-board facilities are of great importance when passengers are considering rail travel. In their 2017 'Rail Passengers Priorities for Improvement' study, Transport Focus asked passengers to rank several station and on-board attributes in order of priority for improvement. Seat availability and free Wi-Fi on board are considered the second and tenth most important factors for passengers choosing to travel by rail. By improving the seat capacity, passengers will be encouraged to switch from private car to rail as a mode of transport.
- 5.3.4 As an example, the West of England line experiences capacity issues such as overcrowding towards London Waterloo and towards Exeter St David's which has a negative impact on passenger experience and productivity. This issue has been identified in the Dorset Passenger Transport Strategy published in 2016.
- 5.3.5 The 2020 Draft Strategic Plan published on the Western Gateway STB website identifies problems with internet connectivity on board and the need to increase the capacity of services. Many rail routes in the Western Gateway suffer from poor digital 4G and Wi-Fi connectivity which reduces productivity during time in transit. However, during the consultation period, SWR confirmed that all their trains were now fitted with on-board Wi-Fi.

HOW WILL IT BE MEASURED (TARGETS)

- 5.3.6 Several factors will be considered when measuring a train service's impact on productivity such as the length and nature of journeys taken, capacity utilisation and facilities such as tables, free Wi-Fi and charging points. Targets for each service designation are presented below. It is considered that for local and urban journeys, with journey purpose commonly being for commuting and leisure, the availability of any seat is the most important factor – hence the inclusion of a target relating to this.

Table 5-1 – On-Board Productivity Targets

Measure	Target
Availability of seats	For all service designations: End-to-end < 20mins: 75%

Measure	Target
	End-to-end 20-29mins: 80%
	End-to-end 30-59mins: 90%
	End-to-end > 60mins: 100%
Proportion of seats at tables and with charging points	Intercity: 40% (Standard Class) Regional (End-to-end > 60 mins): 30% (Standard Class) Regional, Urban and Local (End-to-end 30 – 59 mins): 25% (Standard Class)
Free Wi-Fi	100% across all service designations

- 5.3.7 Clearly, an implication of making more seats available with tables is that the overall seating capacity is therefore reduced, so a balance must be struck between journey purpose, capacity requirements and productivity. Western Gateway should seek to influence future deployment of rolling stock alongside strategic planning to make sure that rolling stock is **Fit for Purpose** for the most common type of journey being made on any particular route.
- 5.3.8 Other aspects of the on-board environment have also been flagged as important to make rolling stock fit for purpose – including luggage space (particularly for discretionary travel), cycle storage and air-conditioning. We have not undertaken detailed analysis on these aspects, but it is recommended that these are considered as the strategy progresses into the delivery phase.

GAP ANALYSIS

- 5.3.9 Information on capacity and table seats have been collated from relevant train operator websites as set out in the table below. Those highlighted in **red** are currently not achieving the targets above.

Figure 5-1 - Table seats on rolling stock

Route	End-to-end JT	Standard Rolling Stock	Standard Class Seating	Table Seats	% Table Seats
INTERCITY					
Cardiff – Gloucester – Cheltenham – Birmingham – Leicester / Nottingham	2h to BHM 3h20m to NOT	Class 170 (3-car)	200	86	43
Cardiff – Bristol – Bath – Westbury – Salisbury – Southampton – Portsmouth	2h25m	GWR Class 166 (3-car)	232	24	10
Bournemouth – Southampton – Birmingham (- Manchester)	3h to BHM 4h40 to MAN	Cross Country Class 220/221	250	40	16
Plymouth - Exeter – Taunton - Westbury – Reading – London	3h15m	GWR Class 80x	598	200	33
Bristol - Westbury – Salisbury	1h20m	SWT Class 159	186	80	43
(Plymouth -) Exeter – Taunton – Bristol – Cheltenham – Birmingham (- Edinburgh)	2h20m	Cross Country Class 220/221	250	40	16

Route	End-to-end JT	Standard Rolling Stock	Standard Class Seating	Table Seats	% Table Seats
Bristol – Bath – Chippenham – Swindon – Reading - London	1h35m	GWR Class 80x	598	200	33
REGIONAL					
Westbury – Chippenham – Swindon	40m	GWR Class 165 (2-car)	156	0	0
Weymouth – Yeovil – Westbury – Bath – Bristol	2h20m to BRI 1h40m to WSB	GWR Class 166 (3-car)	232	24	10
(Cardiff -) Bristol – Weston-super-Mare - Taunton	30m	GWR Class 166 (3-car)	232	24	10
Bristol - Gloucester – Cheltenham – Worcester	1h35m	GWR Class 166 (3-car)	232	24	10
Weymouth – Poole – Bournemouth	55m	SWT EMU (Class 444)	302	80	26
Cheltenham / Gloucester – Swindon – Reading - London	2h	GWR Class 80x	598	200	33
Bristol – Gloucester	1h	GWR Class 166 (3-car)	232	24	10
Bristol - Westbury – Salisbury	1h20m	SWT Class 159	186	80	43

DELIVERY PLAN – IDENTIFIED INTERVENTIONS

- 5.3.10 Beyond franchise commitments on rolling stock and WiFi in both the GWR and SWT franchise which are in delivery at present, limited work has been undertaken to consider possible interventions to deliver this CO. In the longer-term, better quality rolling stock as a result of electrification will give an improved working environment for passengers.
- 5.3.11 The best delivery route for this CO is through the Future Ready & Resilience Taskforce. However, WiFi and seat reservations could fall under the responsibility of the Digital Solutions Taskforce. Through the Strategic Planning Taskforce, CMSP outputs alongside passenger survey data will be valuable to reinforce which routes and services would benefit from a more productive on-board environment, and which must put capacity maximisation first. This would also incorporate an assessment of where luggage space is an important factor.

5.4 CONDITIONAL OUTPUT PX: STATION GATEWAYS

- 5.4.1 Based on feedback from stakeholder eConsultations and our own professional judgement, we have made the decision that this CO does not deliver sufficient benefit on its own, and the detail has been incorporated into CO M1 Station Access.

5.5 CONDITIONAL OUTPUT P3: INTERNATIONAL GATEWAYS

INTRODUCTION

- 5.5.1 International gateways such as airports and ports are able to provide competitive journey times to a wider range of customers and are therefore pivotal in agglomeration and productivity. For a region such as the Western Gateway which has a large visitor economy, the ability for 'customers' to arrive in the region and readily make onward travel arrangements is pivotal in their decision to travel.
- 5.5.2 Collaboration will be critical in the delivery of this CO given many international gateways which serve WG residents are in the geography of other STBs and therefore cross-border connectivity is key.

EVIDENCE BASE

- 5.5.3 Ease of access by train to/from International Gateways (IGs) which serve the WG is varied, from those with direct connections (e.g. stations adjacent to Birmingham, Gatwick and Heathrow airports), to those where the connection relies on local service buses and taxis (e.g. Exeter and Bournemouth airports, Portsmouth ferry terminal). Bristol Airport is connected to the city centre and Temple Meads station by Airport Flyer express buses, which operate 24/7 and are fully integrated into national rail ticketing and information systems.
- 5.5.4 Some airports within the Western Gateway and those which serve WG residents and visitors have surface access strategies with specific targets for increasing rail or public transport use by arriving and departing passenger; others have targets or aspirations elsewhere (e.g. Strategic Plan). Some are more current than others. These are investigated further below in the Gap Analysis section.
- 5.5.5 Ports and ferry terminals tend not to have surface access strategies the same way that airports do therefore data is more difficult to access. Specifically, the Port of Poole suffers with connectivity issues as there are no motorway connections and the existing strategic road network has resilience issues. It is reported in the Draft Strategic Plan published by the Western Gateway STB that significant growth is planned with the Port of Poole opening its new £10m South Quay cruise berth and increasing the capacity for conventional cargo and cruise ships. Similarly, Portland Port has seen an increase in annual freight volumes to almost 500,000 tonnes of cargo as well as an increase in visiting cruise ships each year.
- 5.5.6 From 64 local and regional documents reviewed, the importance of International Gateways was identified in only 25% of them.

HOW WILL IT BE MEASURED (TARGETS)

- 5.5.7 Two key measures are proposed for this CO
- Increase in rail travel to and from International Gateways (IGs), measured as proportion of passengers arriving to WG by train from cross-border gateways, or arriving in Western Gateway by air or sea and continuing their journey by train, using CAA Passenger Survey and similar data for port/cruise passengers, in line with individual IGs' surface access strategies; and
 - Increase in proportion of inward tourism visits made by train, using data from Visit Britain/Visit England Inbound Transport Research and ONS International Passenger Survey

Many aspects of the passenger network, including services, timetables, fare offers and user experience, as well as marketing and promotional activities, combine to encourage international visitors to the region, and residents travelling abroad, to choose rail over other modes. Many of these factors are covered by other Conditional Outputs.

5.5.8 Other important factors include:

- Ongoing development of the rail network and services, to improve connections between IGs and key visitor destinations in the Western Gateway, as well as connections for WG residents to access IGs for their trips outside the UK. For example the Western Rail Link to Heathrow due to be completed by 2030 will reduce rail journey times between Reading and Heathrow eliminating the need to travel into central London and enabling interchange at Reading for access to and from the WG with four trains per hour in each direction;
- Marketing of rail options (to international visitors and to local residents);
- Joined-up ticketing and fares offer, including ease of purchase and use;
- Wayfinding at airports, ports and international hub stations, including multi-lingual provision and real-time information, including disruption alerts and journey re-planning; and
- Step-free access routes from airport/port to train, adequate space for luggage on trains and shuttle buses.

GAP ANALYSIS

5.5.9 Some airports within the Western Gateway, and used by WG residents have Surface Access Strategies in place, as listed below, which provides targets for increasing the proportion of arrivals via rail or public transport. As seen below, some airports are lacking a planned strategy and this should be addressed to help ensure that airports are easily accessible and that a full effort is being put in to encourage access by public transport.

Airports

Airport	Access to rail network	% of passengers arriving/leaving by train	Surface Access Strategy in place	Target % of passengers arriving/leaving by train
Birmingham	Birmingham International station (directly connected)	19% by train (CAA Passenger Survey 2018)	Yes (2018 – 2023)	26% by 2023
Bournemouth	Bournemouth station (via infrequent bus link, 40 mins)	2% by bus (CAA Passenger Survey 2005)	Unclear	Unclear
Bristol	Bristol Temple Meads station (via frequent Airport Flyer Express bus link, 24/7, 30 mins; integrated ticketing)	23% by public transport (CAA Passenger Survey 2015)	New strategic plan currently in development	15% by public transport when airport has 10 million passengers p.a. Recognises potential for significant role for rail by 2040 if light rail is developed
Cardiff	Rhoose Cardiff International	16% public transport (CAA)	In development	Tbc

Airport	Access to rail network	% of passengers arriving/leaving by train	Surface Access Strategy in place	Target % of passengers arriving/leaving by train
	Airport station (via shuttle bus, 10 mins)	Passenger Survey 2015)		
Exeter	Exeter St Davids station (by frequent bus; 35 mins) or Cranbrook station (by taxi)	5% public transport (CAA Passenger Survey 2012)	Part of Airport Master Plan	Tbc
Gatwick	Gatwick Airport station (directly connected)	39%	Yes (May 2018)	45% by 2030
Heathrow	Heathrow stations (directly connected, national rail and underground)	9% national rail (Plus 11% Underground) 33% of travel to/from Heathrow to/from the West of England is by public transport (train, coach)	Yes	22% by 2030 25% by 2025 (national rail including Crossrail / Elizabeth Line) (Plus 18% / 20% Underground)
Southampton	Southampton Airport Parkway station (directly connected)	17% (2016 Q1)	Yes (for 2017 – 2021)	18% (2021) 21% (2031) 22% (2037)

5.5.10 Since ports don't generally have plans which are as robust as those for airports, it can be harder to access the data required. As seen below some of these ports can only be accessed by walking which causes a problem to those with mobility issues such as physical disabilities or heavy luggage.

Ports

Port	Access to rail network
Avonmouth (Bristol Cruise Terminal)	Avonmouth station is 3 miles from the Terminal and walking inside the dock estate is not permitted. Pre-book taxi (8 minutes)
Poole Harbour	Poole station (30-minute walk)
Portsmouth Ferry Terminal	Portsmouth & Southsea station (via local bus services, taxi, 10-minute cycle ride or 25-minute walk)

Port	Access to rail network
Southampton Cruise Terminals	Southampton Central station (generally via free bus + walk, or taxi, depending on terminal)
Weymouth	Weymouth station (20-minute walk)
Portland	Weymouth station (via local bus services, 25-min cycle ride or >1-hr walk)

DELIVERY PLAN – IDENTIFIED INTERVENTIONS

- 5.5.11 It is considered inappropriate at the current time to consider building fixed rail links to IGs, with the exception of Bristol Airport which is the current subject of the WECA Mass Transit Study. Instead, it is recommended that where IGs are currently not rail connected, the focus should be on making rail part of an end-to-end journey, using buses or other modes to complete the route. As such, this CO is best incorporated into the remit of the Stations & Access to Rail Taskforce. The initial actions will therefore be an access audit and Station Travel Plan that links to Ground Access Strategies. Marketing of the rail offer including multi-modal ticketing to arrivals at IGs will also be a key aspect of delivery of this CO, which will fall under the Digital Solutions Taskforce.
- 5.5.12 Where named stations are identified as the direct links to IGs, it will be important to consider frequency and journey times to those stations through the Strategic Planning Taskforce, to incorporate service uplifts into future ‘configuration states’.
- 5.5.13 It is noted that a western access to Heathrow Airport via Reading, which will be of direct benefit to travellers from Western Gateway, is committed and scheduled for completion within 10 years.

5.6 CONDITIONAL OUTPUT P4: FREIGHT CAPABILITY

INTRODUCTION

- 5.6.1 For rail to become a truly viable mode for freight transport, not only does there need to be capacity on the network (as mentioned in CO C6), but the network needs to be capable of accommodating the length, weight, width and height (gauge) of trains required. In recent years, we have seen a change in the nature of rail freight away from ‘heavy haul’ goods such as coal to intermodal containers containing a wide range of goods being transported from ports to container terminals for onward transport. These intermodal containers require a larger gauge, with a minimum of W10 or ideally W12, than the more traditional heavy haul wagons which can operate on W7 and W8 gauge.
- 5.6.2 Objectives of the Trans-European Transport Network (TEN-T) include the length of trains that can operate. European standards require 740m for a route to be considered ‘interoperable’, and ‘Route Availability’, which is an assessment of the total weight of trains that can operate (22.5 tonne axle load = RA8). Electrification and line speeds are also considerations.
- 5.6.3 Network Rail identified a Strategic Freight Network (SFN) with an objective to make the whole SFN interoperable by 2030. This CO assesses progress towards that within Western Gateway, as well as examining other key freight routes that are not part of the SFN. These are shown in Figure 5-2.

Figure 5-2 - Strategic, Primary and Secondary Freight Routes within the Western Gateway



EVIDENCE BASE

The West of England Line which runs through Wessex plays an important role in terms of freight by operating regular freight services and providing a diversion route for other freight services. For example, when freight traffic cannot use the route via Winchester to Basingstoke, the West of England Line via Andover becomes a significant diversionary route.

- 5.6.4 There is significantly more freight movement towards the Eastern boundary of WG, linked with the Strategic Freight Route from Southampton to the West Midlands, with less significant freight movement in the central and western part of the Western Gateway.
- 5.6.5 Network Rail's West of England CMSP report suggests that accommodating freight and passenger services on the line west of Salisbury and towards Exeter is extremely challenging due to the extent of the single track therefore using the line for regular freight is not an active consideration. Improving the capacity of the tracks so that they can easily accommodate freight trains will help to improve freight within the area.
- 5.6.6 Currently none of the proposed primary routes in the Western Gateway have the capacity to accommodate 775m length trains and are therefore not meeting some of the targets set out below. Details of the routes not meeting targets are explained further in the Gap Analysis section.
- 5.6.7 Of other 60 documents reviewed, only 25% of the documents identified this conditional output in their ambitions and planned interventions.

HOW WILL IT BE MEASURED (TARGETS)

5.6.8 The key metrics and targets for this conditional output are set out in the table below.

Route Grading	Route Availability	Gauge	Train Length	Line Speed & Traction Power
Primary	RA10 by 2030	W12 by 2030	775m by 2030	90mph by 2030 (Electrified)
Secondary	RA8 by 2025	W10 by 2030	740m by 2030	60mph by 2030 (Non-electrified)

GAP ANALYSIS

5.6.9 The current route capability of the routes identified above and additional connections to hubs which cannot be immediately accessed from the routes are set out below. Targets for connections will need to be the same as the grade of route they are connecting to.

Route	Route Availability	Gauge	Train Length	Line Speed (Non-Electrified unless stated otherwise)
Totton to Salisbury & Westbury	RA8	W12 to Salisbury W8 to Westbury	Not cleared for 775m	85mph
Westbury to Swindon	RA8	W8 to Thingley Jn W12 to Swindon	Not cleared for 775m	40 – 75mph to Thingley Jn 110 – 125mph to Swindon
Frome and Westbury to Reading	RA8	W7 to Westbury W8 to Reading	Not cleared for 775m	80 – 105mph to Heywood Road Jn 110 – 125mph to Reading
Westbury to Bath Spa and Bristol	RA8	W8 to Bradford Jn W6 to Bathampton Jn W8 to Bristol	Not cleared for 775m	40 – 75mph to Bathampton Jn 80 – 105mph to Bristol
Bristol to South Wales	RA8	W10	Not cleared for 775m	90 – 125mph
Bristol to Gloucester and the Midlands	RA8	W8	Not cleared for 775m	80 – 100mph
Bristol to Exeter and beyond	RA8	W8	Not cleared for 775m	80 – 110mph

Dorset Coast from Southampton to Bournemouth and Poole	RA8	W6	Not cleared for 775m	90mph (DC Electrification)
Frome to Whatley Quarry	RA6	W6	Not cleared for 775m	35mph
East Somerset Jn to Merehead Quarry	RA8	W6	Not cleared for 775m	30mph
Severn Beach Branch (to Avonmouth and Bristol Bulk Handling Terminal)	RA7	W6	Not cleared for 775m	15 – 50mph
Bristol Parkway / Filton to Bristol Bulk Handling Terminal	RA8	W8	Not cleared for 775m	10 – 60mph
Parson Street to Portbury	RA8	W9	Not cleared for 775m	20 – 30mph
Yate to Tytherington	RA8	W6	Not cleared for 775m	20mph
Yate to Westerleigh	RA8	W8	Not cleared for 775m	20mph

DELIVERY PLAN – IDENTIFIED INTERVENTIONS

- 5.6.10 In line with other freight COs already discussed, this CO will fall under the Freight Taskforce. The Freight Market Study can be utilised to develop an evidence base for where improving freight capability to supplement Network Rail's SFN plans adds value to Western Gateway. This may include the identification of new and enhanced freight connections, and a number of sites have already been identified within the evidence base documentation. These include:
- Improvements to Henbury Line to better serve Portbury Docks and a proposed new container terminal at Avonmouth;
 - Local Distribution Centre in southern Cotswolds; and
 - Electrification between Bath, Westbury and Newbury.
- 5.6.11 These and other interventions will be prioritised for phased delivery.

6 GROWTH

6.1 INTRODUCTION TO THEME

- 6.1.1 This theme facilitates sustainable growth across Western Gateway through better connecting development to rail and making sure the rail network is resilient to change, and is centred on the importance of the link between housing and industrial growth as identified in Local Plans, and transport policy. It is directly linked to all four other themes due to its alignment with land use and planning policy and practice and aims to provide sustainable travel options for population and employment across the Western Gateway, aligning rail investment, including in new stations and lines, with future growth areas – and influence the selection of those growth areas towards locations which can be served by rail, where appropriate. The rail network must also be resilient to change and shock events so that economic growth is sustainable.
- 6.1.2 Three priorities were identified through stakeholder engagement in Phase 1. The table below expands on what these priorities are and what addressing them will mean to WG.

Priority	Description
Align rail investment, including new stations / lines with future growth areas	This priority recognises the importance of considering transport and planning policy alongside each other, and making sure, as far as possible, that large developments give consideration to sustainable transport. This priority is specifically addressed by CO G1.
Identify opportunities to develop and invest in Transit Oriented Communities	As with priority 1, this emphasises the importance of building communities around transit hubs, and the social and economic benefits this brings. This is addressed by COs G1 and G2.
Promote and maximise resilient design principles to protect the region against the implications of climate change	In the current climate emergency, all growth, whether it is housing development or new / increased capacity transit links, must be both sustainable and resilient to shock events which might be climate or health related (such as Covid-19). This priority, and the associated CO G3 focuses on making Western Gateway's rail network as resilient as possible.

- 6.1.3 Three conditional outputs were identified through stakeholder engagement in Phase 1. These are listed in the table below and this chapter adds more detail about their targets, gaps and routes to delivery.

Conditional Output	Description
G1: Transit Oriented Growth	Planning and transport policies aligned: rail as a transport option for all major new developments
G2: Mobility Hubs	Mobility hubs: stations providing for customers' wider needs (e.g. retail, medical, childcare) to place stations at heart of communities
G3: Network Resilience	Network resilience to disruption and severe weather events, to reduce delays and cancellations.

- 6.1.4 The first conditional output is targeted specifically at the alignment of transport and planning policies. The strategy encourages planning authorities to consider at all stages how Local Plan allocations can be effectively connected to the wider transport network, especially sustainable modes, including rail where appropriate. The strategy also promotes the development of Transit Oriented

Communities, by placing sustainable transport interchange at the very heart of an existing or new community.

- 6.1.5 The second conditional output under the growth theme is the development of mobility hubs. In this context this means making the railway station a key facility at the heart of the community, where residents and visitors can access services and facilities beyond the train.
- 6.1.6 Our third priority under this theme is about making infrastructure resilient to climate change. Transport infrastructure – especially on the rail network – is designed to operate for decades, so taking us into a future when it is realistic to expect that global temperatures have risen, bringing major changes in weather patterns and the frequency and intensity of extreme weather events. Designing resilient networks is therefore a critical part of planning for sustainable growth. If we are considering where people will live and work (and travel between the two) in the future, then the locations and routes between them must be resilient to climate change emergencies, such as river and coasting flooding, extreme heat and cold and sea level rise. Thus, a resilient rail network is at the core of sustainable growth.

6.2 CONDITIONAL OUTPUT G1: TRANSIT ORIENTED GROWTH

INTRODUCTION

- 6.2.1 Historically, the link between Planning Policy and Transport Policy has been disjointed, and many developments have progressed through the Planning process with little consideration given to wider transport and connectivity issues the development might face in the future. With the decarbonisation agenda, it is becoming more critical that new developments can be served by a sustainable transport network, including rail where appropriate. Without this deeper connection, developments are likely to be designed – implicitly or explicitly – with a primary focus on road access, generating higher traffic volumes with associated greenhouse gas emissions, air quality problems, public health consequences and congestion.
- 6.2.2 At the time of writing, the UK Government is consulting on proposed reforms to the planning system under the name “Planning for the future” involving a focus on design and sustainability, improving the system of developer contributions to infrastructure, and ensuring more land is available for development where it is needed. Western Gateway should monitor the outcomes of this consultation and the resultant changes to look for opportunities to use this reform to benefit this (and other) conditional outputs.

EVIDENCE BASE

- 6.2.3 The Western Gateway is covered by Local Plans for:
 - four unitary authorities: Bath and North East Somerset, Bristol, North Somerset, South Gloucestershire. Three of these (Bath and North East Somerset, Bristol and South Gloucestershire) are looking to work together as the West of England Combined Authority, and coordinating planning work with North Somerset unitary authority;
 - the six constituent local councils in Gloucestershire County (Cheltenham, Cotswold, Forest of Dean, Gloucester, Stroud, Tewkesbury);
 - Wiltshire Council working with Swindon Borough Council;
 - Bournemouth, Christchurch and Poole (three separate Local Plans) while the unified BCP Local Plan is developed (with adoption planned for 2024); and

- East Dorset and Christchurch (part); North Dorset; Purbeck; West Dorset, Weymouth and Portland (four separate Local Plans) while the unified Dorset Council Local Plan is developed (with adoption planned for 2023).

6.2.4 Many of these Local Plans are in development or currently subject to review.

HOW WILL IT BE MEASURED (TARGETS)

6.2.5 If this Conditional Output is met:

- Land use planning and transport planning will be aligned in Local Plans in the Western Gateway, with an emphasis on sustainable transport. Where relevant in the specific geography, rail is identified as a key sustainable transport mode within the region's transport networks;
- The land use planning process takes account of the proximity of sites to rail access points, where this is relevant to the local geography and appropriate to the sites and developments under consideration; and
- Planning policies recommend that masterplans for new strategic developments have sustainable transport at their heart, which includes access to rail where relevant and appropriate.

GAP ANALYSIS

6.2.6 Current good practice identified in a desktop review includes Bristol City Council's Local Plan. This Plan sets out the ambition to create 'a city of sustainable travel' with an aspiration to improve rail services. Policy BCS10 targets significant transport infrastructure improvements including rail schemes and policy DM23 requires development to provide adequate access to public transport.

6.2.7 Outside the Western Gateway, local plans which include explicit links between land use planning and transport planning, with a focus on sustainable transport, include the West Northamptonshire Joint Core Strategy, which places a strong emphasis on promoting sites with existing links to sustainable transport networks, or sites which could be connected to those networks in advance of occupation. In an urban setting, Croydon's transport strategy is closely aligned with spatial and economic development strategies and plans.

6.2.8 As noted above, many Local Plans in the Western Gateway are under review or development. Although the importance of links between land use and transport planning has been recognised for many years, the different timescales for these different strands of work – sometimes to align with central government requirements or funding opportunities, as well as the historical separation of the activities into different professions and local authority portfolios and departments can form barriers to their integration.

6.2.9 Examples of transit-oriented developments in and outside Western Gateway, include:

- Cranbrook new town, 5 miles east of Exeter, was masterplanned as a low-carbon community with an emphasis on sustainable transport. It includes a new station on the Exeter-Yeovil line. Delivery was planned so that the station opened during phase 1 of the new town – before even half of the phase 1 new homes had been completed. Devon County Council are pursuing plans for a second new station to support the potential expansion of the town with an additional 5,000 homes. On a smaller scale Newcourt station was built in part to serve a new urban extension on the south of Exeter;
- The Brewery Square mixed-use development, adjacent to Dorchester South station, is held up as a case study of masterplanning to take advantage of proximity to a transport hub;
- Emerging plans for Tewkesbury Garden Town show a new settlement of 10,000 homes, centred on Ashchurch for Tewkesbury station with an emphasis on sustainable transport;
- Northstowe new town in Cambridgeshire will see up to 10,000 homes at relatively high density. The town is served by the Cambridgeshire guided busway, giving excellent access to Cambridge

city centre and Cambridge North railway station, and residents are encouraged to choose active travel through a travel plan, including taster bus tickets; and

- The Kirkstall Forge development in Leeds, a mixed-use redevelopment of a brownfield site, was the catalyst for a new station with regular services to Leeds and Bradford. The site features 1,050 homes, office space, retail, leisure and community facilities.

- 6.2.10 A key feature of many successful developments is the implementation of a high-quality travel plan with accompanying funding support for staff as well as physical measures, which has been built in from the beginning of the development and design of the site.
- 6.2.11 Where potential sites are close to rail lines development can take advantage of existing services, and can contribute to the business case for new stations and enhanced services. Similarly, existing and improved rail services can help to open sites up for development. It is recognised that rail does not reach all areas of the Western Gateway so for many sites an emphasis on sustainable transport will be focused on other modes.
- 6.2.12 A particular category of potential development sites are those owned by Network Rail but surplus to operational requirements. Network Rail carefully considers the disposal of non-operational land that could be redeveloped for housing or other uses.
- 6.2.13 Some stakeholders identified barriers to aligning land use and transport planning, and to bringing forward transit oriented development, including:
- the typical timescales for planning and constructing new rail stations and services are perceived by some as a barrier to the successful integration of rail services into land use planning;
 - influence required over land held by agencies of national Government which would be prime sites for transit oriented developments. In particular, city region authorities in England need the same veto powers over Network Rail land sales that the Scottish Government currently enjoys. More devolution of powers over stations;
 - promotion of transit oriented development principles required within the National Planning Policy Framework to allow for collaboration of residential/commercial developments with infrastructure projects;
 - some franchise agreements specify levels of car parking which train operating companies must provide at stations, which are sometimes in tension with local authorities' policies and aspirations;
 - inconsistent policies on securing and using developer contributions across Western Gateway local authorities; and
 - inconsistent approaches to travel plan requirements and monitoring arrangements.

DELIVERY PLAN – IDENTIFIED INTERVENTIONS

- 6.2.14 The delivery of this CO will fall under the Stations & Access to Rail Taskforce, who will specifically:
- consider approaches to share good practice in connecting land use and transport planning and bringing forward transit oriented development;
 - identify potential measures to remove hurdles from current processes; and
 - consider where there may be opportunities to increase consistency across local authorities, for example in respect of developer contributions.

6.3 CONDITIONAL OUTPUT G2: MOBILITY HUBS

INTRODUCTION

- 6.3.1 The principle of Mobility Hubs is to place the rail station at the heart of the community it serves, and allow it to perform a wider, outward-looking function beyond boarding and alighting trains. New or expanding stations could be redeveloped with these purposes in mind. The aim is to eliminate the

need for additional trips, allowing customers to satisfy all or most of their daily or periodic needs within or near the station, so as to encourage modal shift and sustainable lifestyles.

- 6.3.2 Despite their integral mobility function for communities, stations sit within a “liminal space” in terms of how their value is defined and maximised. Customers, Network Rail, TOCs and Local Authorities represent a mix of stakeholders, users, owners and/or operators of stations which varies across the Western Gateway, with a wide range of needs and expectations from the station environment. And yet, these needs and expectations have not fundamentally changed from when the railways were built and the communities formed around or next to them: the stations have always been economic drivers and assets for essential public services.
- 6.3.3 This fundamental station role will remain the same but the way it fulfils its communal public purpose must change: it must efficiently integrate into the fabric of public life and the future mobility landscape, to increase its customer and community value and play an active role in modal shift to reduce overall transport emissions.
- 6.3.4 This strategy represents the best opportunity to achieve the necessary integration, as it binds the stakeholders together into a shared, progressive purpose to co-deliver station enhancements for all users, operators and communities. This shared purpose is the Mobility Hub.
- 6.3.5 The proposed Mobility Hub provisions for the Western Gateway represent the needs of the typologies and personas across the WG area. The wide area means that mobility hub classifications must span the full range of personal activity needs that communities need access to, e.g. employment, education, health care, childcare, retail, leisure, tourism, and social interaction. These activities have been applied to the WG hub definitions, e.g. National, Regional and Local, identifying a standard range of locally available personal activity and utility needs appropriate to the scales of communities served.
- 6.3.6 The Mobility Hub concept presented below shows a list of “components” which satisfy complementary economic, social and community utility functions. When these components are integrated into hubs, they:
- Support wider customer needs, adding to the utility, efficiency and value of rail journeys;
 - Support community needs, providing new, enhanced, or localised essential functions;
 - Eliminate additional trips, reducing emissions and the use of private vehicles; and
 - Support mobility capabilities, including micromobility and active travel, in line with local, regional and national transport, environmental and health ambitions.
- 6.3.7 The proposed Mobility Hub outline specifications have three categories: Customer and Community Amenities, Facilities, and Co-mobility Provisions.
- 6.3.8 The Customer and Community Amenities category represents the wider needs for rail customers and the communities they serve. This captures the heart of the station as a public space and asset, with the potential to support community and social functions such as libraries, healthcare and retail. Items in this category can also help to eliminate additional trips, by providing spaces and services for Post Office/Amazon parcel lockers, convenience food retail, healthcare, childcare, community space and other services. This category also benefits from the fact that, while high streets may struggle in the current environment, station retail often remains steady due to its high footfall and captive environment.
- 6.3.9 The Facilities category represents the travel-related needs and expectations for customers, to support the full range of customer journeys and enhance the quality of time spent waiting in the

stations. This includes travel information and, ideally, ticketing and payment for all relevant modes of travel.

- 6.3.10 The Co-mobility Provisions category captures a long list of mobility modes and services which are relevant for the Western Gateway area; stations must support interchanges, spaces and/or provisions for these in order to support current and future mobility needs. These will range from Bristol's ambitions for Mobility as a Service (MaaS) within its Future of Transport Zone (formerly Future Mobility Zone) funding, to the necessary shift to walking, cycling and micromobility modes necessary in every location to achieve Net Zero. The long list includes potential traditional, new and community transport modes and services; car parking and EV car charging, along with cycle parking, is covered separately in M1 – Station Access. The Mobility Hubs themselves may also influence the demand, operation and commercial viability of these co-mobility provisions, as stations serve as vital economic gateway and intermodal interchange roles.

Table 6-1 - Mobility Hub Specifications

Station Designation	National Hub	Regional Hub	Local Hub
Customer and Community Amenities			
Food retail (mini-supermarket)	Yes	Desirable	Desirable
Food vending (take away food to eat on journey)	Yes	Yes	Yes
Café (sit-in and take-away)	Yes	Desirable	
Parcel lockers	Yes	Yes	Yes
Parcel delivery	Possible	Possible	
Food delivery	Possible	Possible	
Community use (community health centre, meeting space, creche)	Desirable	Desirable	Possible
Art and Community Wall/Space	Yes	Yes	Yes
Covered space and seating	Yes	Yes	Yes
Concourse for pop-ups	Yes	Yes	Desirable
Meeting rooms and co-working facilities	Possible	Possible	
Facilities			
Toilets	Yes	Yes	Yes
Showers	Desirable	Desirable	
Free Wifi	Yes	Yes	Yes
Information station	Yes	Yes	Yes
USB charging	Yes	Yes	Yes

Station Designation	National Hub	Regional Hub	Local Hub
220V mains charging	Yes	Yes	Yes
Charging area for wheelchair/mobility scooter	Yes	Yes	Yes
Co-mobility Provisions			
Local bus	Yes	Yes	Yes
Long-distance coach	Desirable	Desirable	
Demand-Responsive Transport	Desirable	Desirable	Desirable
Cycle repair facility/services (pump, parts vending)	Yes	Yes	Desirable
Secure cycle parking	Yes	Yes	Yes
Cycles for hire	Yes	Yes	Yes
e-Bike	Yes	Yes	Desirable
e-Cargo bike	Yes	Yes	Desirable
e-Scooters	Desirable	Desirable	Desirable
Car clubs	Yes	Yes	Yes
Ridesharing/ ride-hailing pick-up	Yes	Yes	Yes
Links to cycle and walking routes	Yes	Yes	Yes
Charging for e-micromobility modes	Yes	Yes	Desirable

6.3.11 These Mobility Hub needs may also be met if the requisite facility is within a well-signposted five-minute walk to the station; although this is not as effective as co-location, it reflects the fact that not every station has enough footprint within its grounds to support many wider uses. Similarly it is possible that unused railway land or redundant station buildings could expand the range of facilities offered beyond those specified here. Facilities need not be permanent: the provision of utilities (electricity, water) can allow for flexible, pop-up or semi-permanent uses, such as coffee carts or plug-and-play containerised units.

6.3.12 The Mobility Hub classifications apply to the following hub categories within the WG area:

- National hubs within WG:
 - Bristol Temple Meads
 - Bath Spa
 - Bristol Parkway
- Regional hubs within WG:
 - Bournemouth

- Cheltenham Spa
- Chippenham
- Gloucester
- Poole
- Salisbury
- Westbury
- Weston-Super-Mare
- Weymouth

- Local hubs: the remaining stations within the WG area

6.3.13 Key aspects of all of these facilities and services are the quality of provision, including maintenance and renewals, and the quantity available, including the flexibility to scale up or down as demand changes over time. Where facilities increase on-site staffing this can support vulnerable users and deter anti-social behaviour.

Challenges / Hurdles

- The Covid-19 pandemic has introduced considerable uncertainty into planning for mobility hubs. It is unclear whether patronage will recover to pre-Covid levels, how enthusiastic or reluctant people will be reluctant to use shared vehicles (e.g. shared cycles or e-scooters, car clubs), and how different patterns of office and home working will shape up. There is a risk that some train and bus services may be unviable, reducing footfall at stations and undermining the business case for some components of the mobility hub. On the other hand, some components or locations may see an increase in demand: with fewer workers travelling to city-centre jobs, there may be higher demand for some services in residential communities; if some employers choose to down-size their offices, there may be higher demand for ad hoc meeting rooms and working spaces;
- Some services included in the mobility hub concept are likely to remain commercially responsive (food vending, parcels etc) and the existing ownership and management model would need amending to make these viable;
- Space requirements may require new buildings and land acquisition in some locations – and in some cases the station may not be the best place for a mobility hub. Where a new station is planned, for example to serve a new town or strategic development, it must be planned in from the earliest stages of masterplanning and delivered early to embed sustainable transport choices;
- To function as effective mobility hubs, stations must be accessible within coherent networks of safe routes for walking, cycling and e-scooters. It must be easy and convenient to move through the station, including, for example, accessing all platforms with cycles.

EVIDENCE BASE

6.3.14 National Rail Enquiries provides information which covers the presence of some, but not all of the Mobility Hub facilities. These facilities vary within stations within each Hub category and between Hub categories. Variation from site to site means that the delivery of the mobility hub concept must be tailored to each individual setting.

6.3.15 Sites across the WG area show the following variations and potential applications of the Mobility Hub specification:

- Stations in the heart of the community, either on the high street or within the town centre, e.g. Bristol Temple Meads, Bath Spa: these locations allow Mobility Hub amenities to be spread between the station and the adjacent community and public realm;
- Stations at the edges of communities, removed from the main pedestrian environments to high streets, shopping centres and business centres, e.g. Bournemouth: these locations increase the

potential to deliver Mobility Hub amenities directly on-site or in adjacent car park/public realm environment to enhance the utility and value of customer journeys, as the additional services and facilities located on-site will save customers time and increase convenience; or

- Stations outside of their primary communities, which have no immediate local amenities, e.g. Bristol Parkway: These Mobility Hub amenities can be delivered directly on-site and enhance placemaking so that the hubs serve as destinations in their own rights. This both enhances local community amenities and reduces car trips by agglomerating services. These sites also often have large footprints for urban realm and integrated transport provisions, potentially enhancing wider community connectivity.

HOW WILL IT BE MEASURED (TARGETS)

6.3.16 Success in achieving this Conditional Output will be measured by:

- Number of stations developed as mobility hubs with services and facilities appropriate to their hub category and their specific setting;
- Increased footfall through and around redeveloped stations;
- Increased retail revenue from additional services provided;
- Increased patronage of rail, shared mobility and bus services at hubs; and
- Achievement of business plan targets at individual stations.

GAP ANALYSIS

6.3.17 National hub stations have seen an increase in facilities offered over recent years. Bristol Temple Meads, for example, has cycle hire, a cycle shop, various food offers, free wifi and other facilities – with most other services available within a 5-minute walk in the city centre. Many stations have Station Travel Plans considering routes to the station including for walking and cycling (e.g. Wiltshire carried out a travel planning exercise in 2013), but adequate resources have not always been available to implement these in full. Most stations in the Western Gateway do not meet the aspirations set out here – although this is unsurprising, given the novelty of the mobility hub concept.

DELIVERY PLAN – IDENTIFIED INTERVENTIONS

6.3.18 As with CO G1, this CO will fall under the Stations & Access to Rail Taskforce. The initial action is the development of a Mobility Hub Blueprint and prioritised plan for delivery. The sequence of tasks is suggested as follows:

- Apply the Mobility Hub Specification to each site within the WG, tailoring appropriately to the local contexts;
- Develop the operator and stakeholder framework through which Mobility Hub enhancements can be delivered;
- Agree an indicative schedule for developing joint business cases and delivery plans for each station Mobility Hub;
- Develop exemplar joint business cases and delivery plans for stations in each hub category to be selected based on opportunities to tie in with other developments (e.g. Local Plans or town centre redevelopment plans); and
- We expect business cases and delivery plans for all stations to be developed and implemented over the following 20 years.

6.4 CONDITIONAL OUTPUT G3: NETWORK RESILIENCE

INTRODUCTION

- 6.4.1 This conditional output supports modal choice, building and keeping customer confidence about rail's ability to deliver their journey needs in the face of climate change and the increasing number of environmental effects and severe weather events which it will engender.
- 6.4.2 It encompasses both route resilience, the ability to keep open particular routes in the face of major disruptive events, and operational resilience, which is the ability to provide the travel capability even when the railway is disrupted.
- 6.4.3 Incorporating a network resilience strategy will ensure that the railway has dynamic flexibility to maintain network functionality to the greatest possible extent, and to continue to grow, despite the impacts of climate change.
- 6.4.4 It complements other conditional outputs including C3 Performance and D1 Decarbonisation.
- 6.4.5 Route devolution, the Government's projected future of a "more joined-up" track-and-train partnership, or any other systemic changes which emerge from the Williams Review or post-COVID-19 Emergency Management Agreements will likely have implications for collaborative working between Network Rail and the TOCs and FOCs. However, to the customer and the public, nothing will change—they just want reassurance that the railway will deliver their journey.
- 6.4.6 Climate change will increase the frequency and severity of extreme weather events and climate conditions which affect the railway in the Western Gateway, especially as more overhead line infrastructure is installed across the routes.
- 6.4.7 Developing a Network Resilience Strategy across the Western Gateway, as well as the Peninsula Transport area, will ensure that the railway has dynamic flexibility to maintain network functionality to the greatest possible extent, and to continue to grow, despite the impacts of climate change.
- 6.4.8 The table below shows future climate change-related trends which will affect the railway and the ways which the railway must adapt to cope.

Future Ready Trend	Action Needed
<p>1.1 Heavier rainfall could cause local surface water and river flooding:</p> <ul style="list-style-type: none"> ■ 5-10% heavier from 1990 by 2010-39 ■ 20% heavier by 2040-59 ■ 20-40% heavier by 2060-2115 	<p>Assess route infrastructure against flood risk map, upgrade or build in preventative measures as needed, or develop alternative routes</p>
<p>1.2 Drier summers could cause droughts and ground shrinkage.</p>	<p>Could impact, inter alia: rail stress; switch detection; earth resistance; tunnel deformation; risk of lineside fires; increasing rail wear (and noise) on curves</p>
<p>1.3 Water table changes could mean that soakaways don't work as designed.</p>	<p>Drainage of railway assets may be affected; tunnel temperature could increase because of a lower water table</p>

1.4 Global sea levels could be between 12 and 76 cm higher than today by the end of the century.	Assets near to the coast could experience changes in: scour; drainage/flooding; corrosion; insulation/creepage from saline atmosphere
1.5 Peak temperatures in towns and cities could be up to 6°C hotter than today by 2050, with fewer very cold days	Impact on rail stress free temperature and electrical conductor properties (including movement range); increasing reliance on forced ventilation and cooling on trains or in stations Impacts on passenger and employee comfort, health and safety
1.6 Peak wind speed gusts could be stronger.	Could impact: OLE structure spacing; OLE structure design; rolling stock (and pantograph) sway; passenger safety; radio mast design; station design vis-à-vis OSD; noise barrier design
1.7 'Multi hazard' events could become more frequent (storms bringing wind, rain and flooding).	For example: snow and wind resulting in drifting; freezing rain resulting in conductor rail icing
1.8 Lightning strike events likely to increase	Potential disruption to energy and signalling/telecoms networks
1.9 Future climate change could be greater or less than projected, requiring adaptation	Designs will need to be adaptable to accommodate a range of possible change outcomes

The table below shows future railway resource-related trends which will affect railway resilience and costs, and the ways which the railway can use these trends to plan for resilience and positive growth.

Future Ready Trend	Action Needed
2.1 Grid energy prices are forecast by DECC to be 40% higher than 2014 (in real terms) by 2030 [and may become subject to variable pricing]	Investigate opportunities to reduce power demand (e.g. lighter trains, lower speed, coupled trains), reduce system losses, recover waste energy (e.g. regenerative braking, heat recovery from tunnels); consider opportunities for Demand Side Response to minimise peak demand using, for example, energy storage
2.2 Renewable energy prices could decline rapidly. In the medium- to long-term, every flat surface becomes an opportunity for solar panels.	Investigate opportunities for energy storage, which is becoming cheaper, performing better and enables effective use of renewable energy, which could include assets on railway owned land; increased use of natural resources, e.g. cooling systems using ground water; power purchase agreements that maximise renewable energy

2.3 UK summer river flows could be 50-80% lower by 2050, while the Water Framework Directive restricts river and groundwater abstraction	Maximise the use of recycled water, e.g. for train washing; rainwater harvesting at stations and depots
2.4 Long term projects could have to operate in a very low or near zero net greenhouse gas emission UK.	Examples include: removal of SF ₆ as an insulant for switchgear; introduction of previously unfeasible technologies (e.g. hydrogen fuel cells) or “green” combustion engines, such as biodiesel; electrification, evolved for lower cost implementation; refrigerant choice
2.5 The circular economy could become mainstream: products designed for re-use; landfill waste becomes much less common (and much more expensive)	Investigate opportunities to refurbish rather than renew, use of recyclable materials, such as steel and (some) plastic rather than concrete
2.6 Just in time factory assembled products could replace just in time delivery. e.g. Pre-assembly / Modular manufacturing	Design and use modular replacement units, investigate in-house printing for components
2.7 Embodied carbon and water could become a normal part of design decisions. All projects could have a contracted embodied water and carbon budget.	Use of suitable tools as part of design development to demonstrate compliance/achievement of targets, such as Rail Safety and Standards Board's (RSSB) Rail Carbon Tool. Increasing focus on whole of life consideration to avoid “burden shifting”. Tools and processes (and associated expertise) are available.

EVIDENCE BASE

- 6.4.9 Network Rail have detailed contingency plans to cope with disruption and carry out resilience and climate change adaptation planning. Local authorities land use and transport strategies and policies are increasingly taking account of climate change and the need to develop long-term resilience.
- 6.4.10 TOCs have well established processes for reacting to disruption, including alterations to train services, making alternative travel arrangements (e.g. rail replacement buses, taxis), paying compensation to passengers and providing updated information. However, Transport Focus's most recent National Rail Passenger Survey (spring 2020) 2019 Passenger Survey found 38% of respondents nationally were satisfied with how TOCs deal with delays (also see CO C3 Performance), with individual TOC results for Western Gateway operators as follows:
- CrossCountry 54%
 - Great Western Railway 47%
 - South Western Railway 33%
 - Transport for Wales 34%

HOW WILL IT BE MEASURED (TARGETS)

- 6.4.11 The success of the Conditional Output will be measured by:

- Delay minutes from service affecting failures, highlighting attribution to the type of severe weather event, so that severe weather trends from climate change can be tracked over time; and
- Capturing the specific travel arrangement changes required for customer journeys, or the conditions for Do Not Travel alerts, also highlighting attribution to the severe weather events, to refine solutions over time.

DELIVERY PLAN – IDENTIFIED INTERVENTIONS

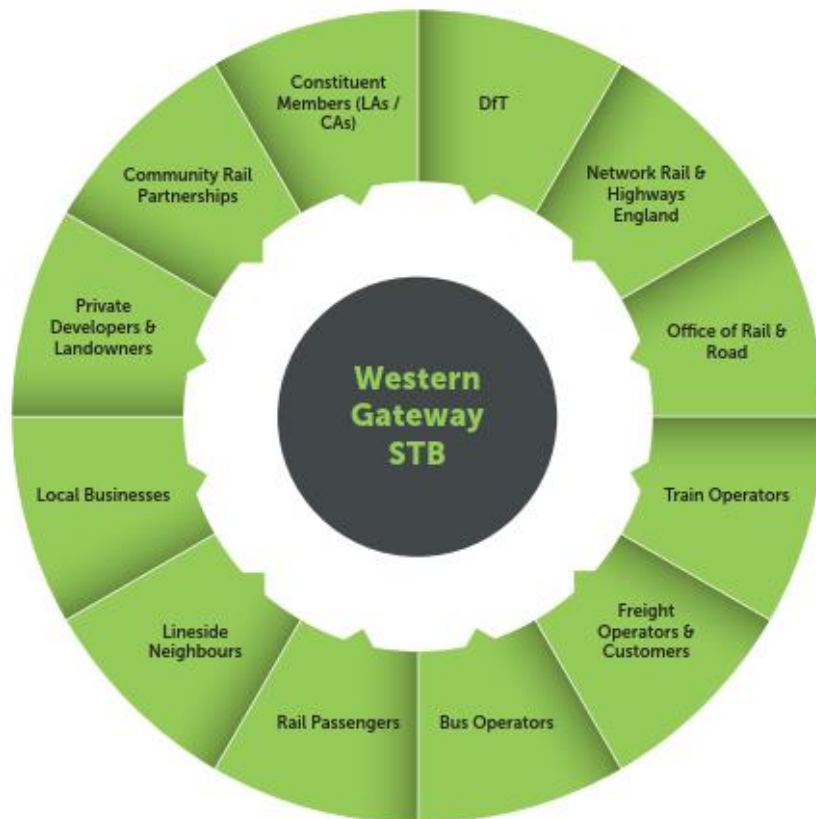
- 6.4.12 This CO will fall under the Future Ready & Resilience Taskforce, and specific actions are recommended as follows:
- Network Rail conducting a Resilience Study for key flood-risk and climate event-risk areas in the Western Gateway, in the manner of the “West of Exeter Route Resilience Study”;
 - Identify the additional monitoring and maintenance needs required;
 - Identify alternative rail route options and other preventative investments which may be required for long-term sustainability, e.g. depot or substation relocations, redundant supply systems;
 - Joining up efforts across the interconnected Western Gateway and Peninsula Transport STB areas;
 - Operational Impact Working Groups will need to develop the cross-industry scenario planning for unplanned and planned disruptions due to climate events; and
 - Incorporate Network Rail’s Resilience Study.
- 6.4.13 The outputs of these actions will then be prioritised and delivered through the Rail Network Enhancements Pipeline (RNEP) or as part of Business As Usual (BAU) over the short, medium and long terms.
- 6.4.14 Other measures address operational resilience (the ability to continue to operate during disruption):
- Develop a matrix of procedures for ticket cross-acceptance and rail replacement bus strategies for unplanned and planned disruptions due to climate events;
 - Develop the communications strategy and plans for extreme weather events; and
 - TOCs may need to develop new agreements with coach and bus companies and Local Authorities for periodic provision of rail replacement buses during climate events and high-risk weather periods.

7 DELIVERY OF THE STRATEGY

7.1 INTRODUCTION

- 7.1.1 It is evident from the details presented in Chapters 2-6 that the delivery of the strategy will require all relevant stakeholder groups to collaborate and leverage their influence to deliver this strategy and realise the identified Conditional Outputs. Figure 7-1 shows the full range of stakeholders who will be involved in and affected by this Rail Strategy.

Figure 7-1 - Western Gateway Rail Strategy Stakeholders



- 7.1.2 A critical success factor in the successful delivery of the strategy is a shared vision in sustainable public transport delivering social and economic benefits to all residents, visitors and businesses in Western Gateway.

*To be a region that is **sustainably connected** and provides **high quality** and **value for money** travel opportunities for all its businesses, residents and visitors*

7.2 FUTURE ROLE OF WESTERN GATEWAY

- 7.2.1 At present, although Western Gateway is one of 7 Sub-National Transport Bodies (STB) in England, it does not hold any statutory powers. Since legislation was passed in 2016 under the Cities and Local Government Devolution Act, only Transport for the North has achieved statutory status (in 2018). Recently, DfT has given the 6 other STBs a clear steer that at present, any further applications for statutory powers will not be welcomed.

- 7.2.2 Regardless of its non-statutory status, Western Gateway is expected to develop its own Strategic Transport Plan, of which this Rail Strategy is an integral part. This is a key part of its role to oversee and influence transport investment across the region, along with liaising with DfT regarding funding opportunities, so far specifically in relation to major road network plans. This will allow the establishment and growth of a Western Gateway 'identity' which, given the disparate nature of the STB geography, has been more of a challenge than other regions have experienced.
- 7.2.3 However, it remains reliant on DfT to make decisions about what funding is allocated and how it is spent, including assuring value for money is delivered in line with Transport Appraisal Guidance (TAG) principles. It is expected that DfT will continue to allocate annual funding to STBs, with Western Gateway has recently received notification of its 2020-21 budget. Beyond this, Western Gateway has an ambition to secure a devolved funding deal for the region for the delivery of its Strategic Transport Plan, and undertake its own assurance as schemes within the delivery plan mature. Funding that is currently allocated should be directed to the Taskforces detailed below to undertake the further studies and strategy development work required.
- 7.2.4 From a rail perspective, governance of rail franchises also remains with DfT, leaving Western Gateway with limited influence over decisions made about services or rolling stock to best serve residents and businesses in the region. It is anticipated that this Rail Strategy will increase the power of influence held by Western Gateway over franchising and other decisions affecting the railway in the region.
- 7.2.5 The structure and timeline of this delivery plan is based around a more formal governance structure, with 5 Taskforces reporting to the Western Gateway Board. Each CO is linked to at least one of these Taskforces, and their role will include determining the specific interventions required to deliver each CO, and to take proposed investments through the HMT Green Book Business Case process, and, where applicable, through the parallel Rail Network Enhancements Pipeline process. Taskforces will all be cross-industry, which will give Western Gateway a much stronger influence over policy and investment decisions made in relation to the rail network.

7.3 A FUTURE RELATIONSHIP WITH NETWORK RAIL

- 7.3.1 The Western Gateway region bridges 2 Network Rail routes: Bournemouth, Christchurch & Poole, Dorset and parts of Wiltshire sit in Wessex Route, while the northern part of the region aligns with Western Route. This alone presents a challenge to Western Gateway in cross-boundary working although a cross-route process has become established through the development of this strategy that it is hoped will continue throughout the delivery stages.
- 7.3.2 Network Rail's System Operator function looks to the future through its Continuous Modular Strategic Planning (CMSP) process. The CMSP is designed to:
- explicitly put passenger and freight users at the heart of the process;
 - better address the route's business needs;
 - feed refranchising, capacity allocation, development and delivery, and sale of access rights;
 - employ a more effective, focussed means of consultation;
 - provide more granular, targeted market insight;
 - develop a 'service change' pipeline for future configuration state; and
 - demonstrably focus on incremental opportunities and service trade-offs
- 7.3.3 Throughout the development of the rail strategy, the team has worked closely with Network Rail System Operator from both a Route Management perspective (Wessex and Western) along with

aligning with the CMSP teams for two upcoming programmes: the Bristol to Birmingham CMSP and the Dorset CMSP. The timing of both the development of the rail strategy and the two CMSP programmes provided a unique opportunity to align and interface with both the Wessex and Western System Operator teams to set forward a way of working for future CMSPs. It is intended that this Rail Strategy will set a framework that allows the CMSP process to be part of the next step for developing the evidence base and justification for investment decisions. The ongoing programme of CMSPs is shown in Table 7-1.

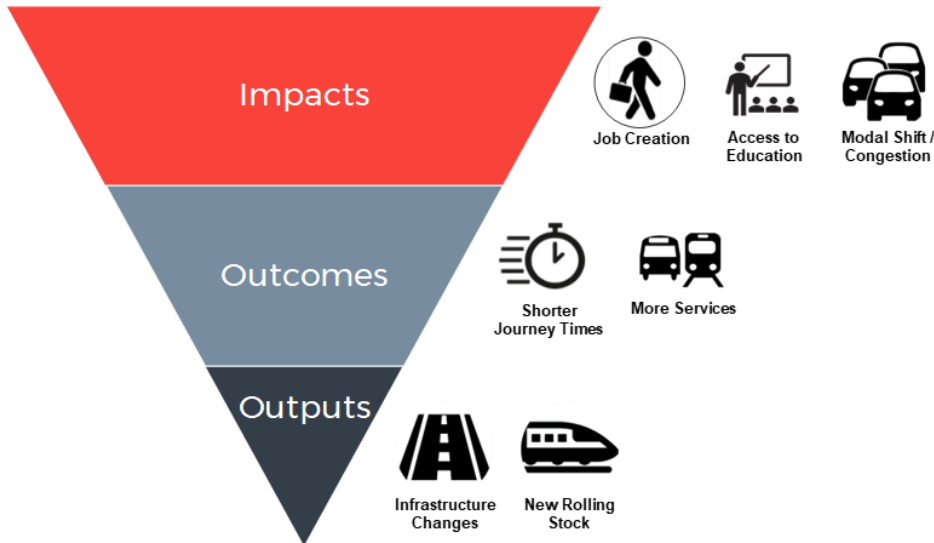
Table 7-1 - Upcoming CMSP programmes

Year	Western Route	Wessex Route
2019		<ul style="list-style-type: none"> West of England line (completed) Solent Connectivity (completed) Resilience (completed – internal only)
2020	<ul style="list-style-type: none"> Bristol – Birmingham (ongoing) Bristol – Exeter (ongoing) Bristol - South Wales (ongoing) (Wales System Operator leading) 	<ul style="list-style-type: none"> Dorset Connectivity (ongoing) Solent to Midlands Freight (ongoing) (in conjunction with Highways England) South West Main Line Capacity (ongoing) (<i>London Waterloo to Woking</i>)
2021	<ul style="list-style-type: none"> West of England (Bristol travel to work area) 	<ul style="list-style-type: none"> South West Main Line Capacity (Woking and beyond)
2022	<ul style="list-style-type: none"> Western route decarbonisation Swindon corridors 	
2023	<ul style="list-style-type: none"> Bristol to South Coast ports Taunton to Reading 	

7.4 DELIVERY PLANS AND GOVERNANCE

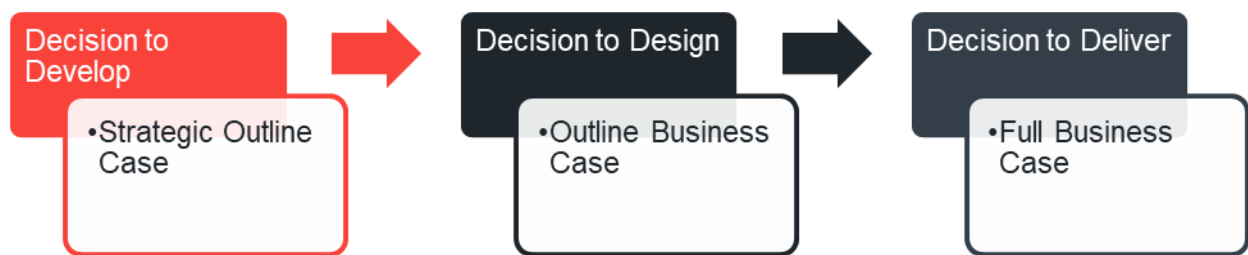
7.4.1 In order to continue the progression of turning this strategy into tangible change for Western Gateway, it is necessary to set out a milestone programme. At this stage of strategy development, it has not been possible to identify specific infrastructure interventions to deliver the COs, as there is still further work to do to understand the future requirements of the network, e.g. through the CMSP programme described above. The COs and associated priorities describe the desired **outcomes**, and the next stages of strategy development will develop the **outputs**, as illustrated in Figure 7-2.

Figure 7-2 - Hierarchy of Outputs, Outcomes and Impacts



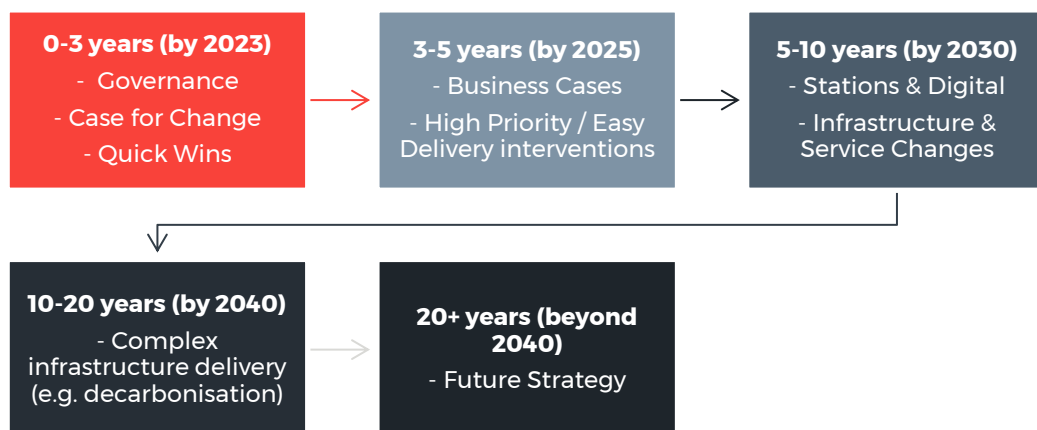
7.4.2 This process aligns with both HMT Green Book and the Rail Network Enhancements Pipeline, where the next stage of strategy development (0-3 years) will establish a more detailed Case for Change for each CO through the compilation of additional evidence, and identify outputs in the form of specific interventions that deliver the CO outcomes in a value for money way.

Figure 7-3 - Green Book & Rail Network Enhancements Pipeline Business Case process



PHASED DELIVERY

7.4.3 In order for progress to be effectively monitored, the delivery of the strategy is proposed to be phased. We have broken timescales down into 4 periods, with a evolution and refresh of the strategy at the end of each period that is likely to recognise the need to extend the strategy further into the future (beyond 20 years):



7.4.4 As discussed throughout the report and above, the governance structure for the delivery of this strategy is through 5 Taskforces, who will each oversee the delivery of the strategy in their specific area. These Taskforces are:



7.4.5 The allocation of COs against each Taskforce is set out in Table 7-2 below. Note that some are shared between Taskforces.

Table 7-2 - CO allocation to Taskforces (*italics indicates a secondary Taskforce*)

Strategic Planning	Digital Solutions	Stations & Access to Rail	Freight	Future Ready & Resilience
C1 Frequency	M4 Fares Influence	M1 Station Access	C6 Freight Capacity	C3 Performance
C2 Interchange	M5 Ticketing Solutions	M2 Modal Integration	D2 Carbon Footprint	C4 Extended Timetable
C4 Extended Timetable	P2 On-Board Productivity	M3 Regional Catchment	D3 Freight Growth	D1 Carbon Emissions
C5 Direct Services	<i>M1 Station Access</i>	M6 Accessibility	D4 Freight Capture	P2 On-Board Productivity
P1 Journey Speed	<i>M2 Modal Integration</i>	P3 International Gateways	P4 Freight Capability	G3 Network Resilience
P3 International Gateways		G1 Transit Oriented Growth		
M3 Regional Catchment		G2 Mobility Hubs		
D2 Carbon Footprint				

7.5 ROUTE MAPS TO DELIVERY

The Western Gateway Board and each of the 5 Taskforces will have a series of actions and tasks to undertake within designated timescales to progress towards delivery of the strategy. This is clearly defined for the 0-3 year phase of the strategy, with actions and tasks for later phases being defined by deliverables and decisions made by the Board in the first phase. We set out below 6 individual Route Maps to Delivery, which can be used as a blueprint for the Board and Taskforces to procure and deliver the necessary studies, business cases, and, in later stages of the strategy, design and construction.

Route Map 1: Strategy, Governance and Collaboration

Owner: Western Gateway Board

This route map is the core part of the strategy and sets out the overarching governance arrangements for strategy delivery, alongside reporting requirements for each of the Taskforces and the Monitoring & Evaluation process to ensure the strategy is delivering the anticipated outcomes.

Figure 7-4 - Strategy, Governance and Collaboration Route Map



Route Map 2: Strategic Planning and Configuration States

Owner: Strategic Planning Taskforce

Using inputs from Network Rail’s CMSP process, this Taskforce and Route Map will consider what the future needs of the railway are from a capacity and connectivity perspective, and plan service and infrastructure changes required to meet those needs. This could include projects identified for the Restoring Your Railway Ideas Fund as detailed in CO M3. As discussed under the Choice theme, this will include the establishment of an Indicative Train Service Specification (ITSS) and a number of ‘Configuration States’ as infrastructure changes are delivered to facilitate new service patterns. The timescales proposed for this are illustrated in Figure 7-4 below.

Figure 7-5 - Route Map 2: Strategic Planning & Configuration States

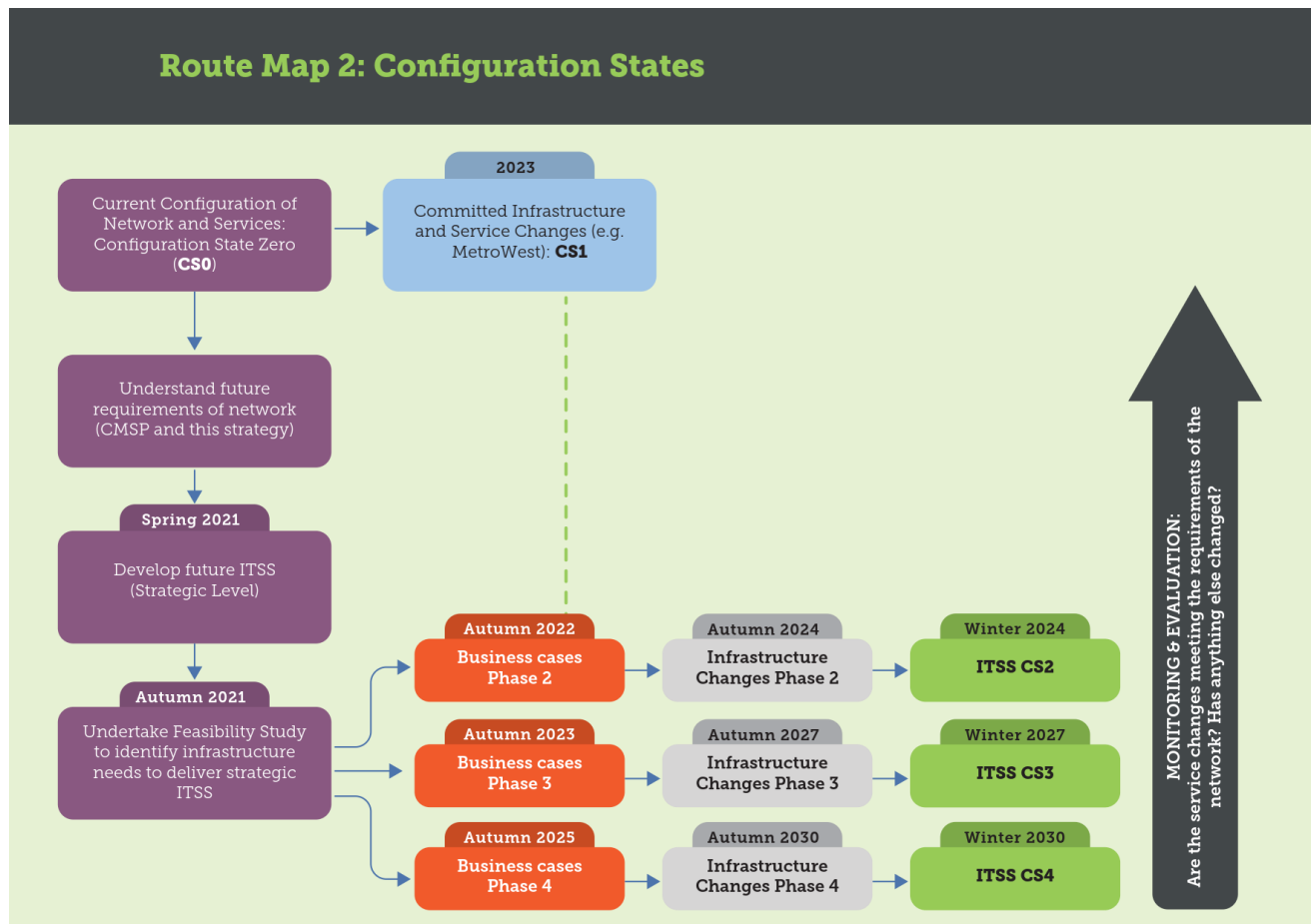


Table 7-3 summarises how each of the CO's under this Taskforce will be measured and what outcomes and impacts are expected to be derived.

Table 7-3 - Strategic Planning Taskforce CO Monitoring & Evaluation

CO	How will success be measured?	Outcomes and Impacts
C1 Frequency	Frequency of services meets targets Improved Generalised Journey Time	Higher % Modal Share Farebox Revenue Reduced congestion and carbon emissions Economic Growth (GVA uplift) driven by improved connectivity
C2 Interchange	Where journeys require interchange, these are no shorter than 10mins and no longer than 20mins wait Improved Generalised Journey Time	
C5 Direct Services	More direct journey pairs / through services will be	

CO	How will success be measured?	Outcomes and Impacts
	available on Western Gateway network Improved Generalised Journey Time	
P1 Journey Speed	End-to-end journey speeds on routes to achieve: <ul style="list-style-type: none"> ■ Intercity: 61+ mph ■ Regional: 51 – 60 mph ■ Local: 41 – 50 mph ■ Urban: 31 – 40 mph Improved Generalised Journey Time	

Route Map 3: Digital Solutions

Owner: Digital Solutions Taskforce

The focus of this Taskforce and Route Map is the application and introduction of relevant technological advances to make rail travel and access to rail to, from and within Western Gateway easier, without disadvantaging those who do not understand or wish to use the technology. In many ways, this is an overarching taskforce, as digital solutions will cut across many other COs; however, there are some specific identified deliverables allocated to this group, subject to deliverability and business case. These are:

1. Integrated Journey Planning App
2. Digital Wayfinding App
3. Integrated Ticketing Programme

The delivery of these aspects is illustrated in Figure 7-5 below.

Figure 7-6 - Digital Solutions Route Map

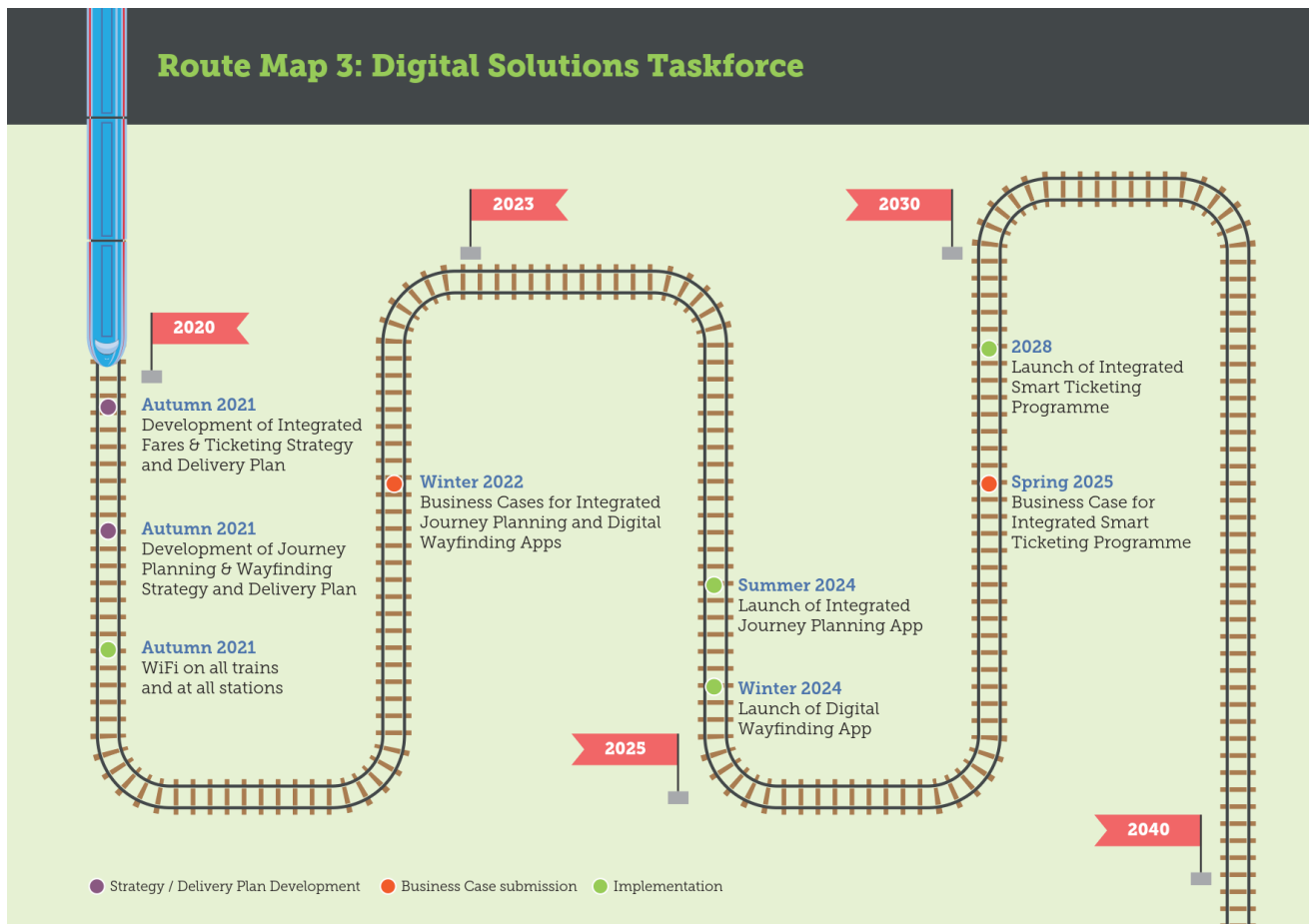


Table 7-3 summarises how each of the CO's under this Taskforce will be measured and what outcomes and impacts are expected to be derived.

Table 7-4 - Digital Solutions Taskforce CO Monitoring & Evaluation

CO	How will success be measured?	Outcomes and Impacts
M4 Fares Influence	Improved NRPS Value for Money scores	Higher % Modal Share, particularly from disadvantaged parts of society
M5 Ticketing Solutions	Multi-modal paperless (app-based) ticketing available for all journeys and passenger uptake of App high	Improved ranking on Indices of Multiple Deprivation driven by higher levels of education and employment for socially disadvantaged areas

Route Map 4: Stations & Access to Rail

Owner: Stations & Access to Rail Taskforce

Due to the identified importance of stations and access to the rail network as part of the strategy, particularly under the Mobility, Productivity and Growth themes, it is appropriate to establish a Taskforce and Route Map specifically for these aspects of the strategy. Of all the plans, this one is likely to deliver the quickest wins through the development of Station Travel Plans and low-risk interventions around stations that can be delivered by Local Authorities. With the target of making all stations accessible by 2030, this plan currently does not extend beyond a 10-year plan. The timescales are shown in Figure 7-6.

Figure 7-7 - Stations & Access to Rail Route Map

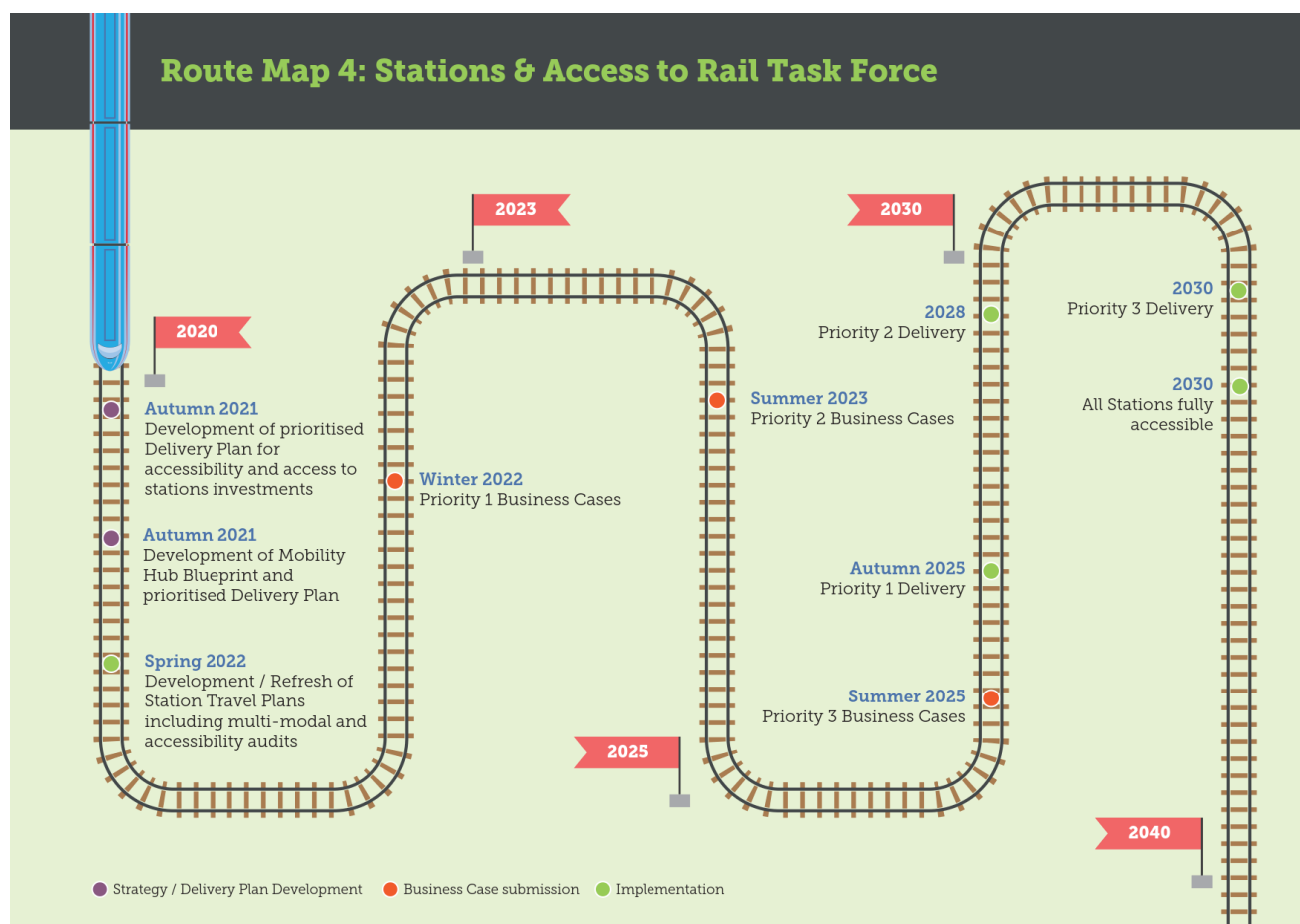


Table 7-5 – Stations & Access to Rail Taskforce CO Monitoring & Evaluation

CO	How will success be measured?	Outcomes and Impacts
M1 Station Access	<p>Increased levels of car, cycle and EV charging parking at stations</p> <p>100% compliance with DfT CoP for Accessible Stations by 2030</p>	<p>Higher % Modal Share</p> <p>Reduced congestion and carbon emissions</p>

CO	How will success be measured?	Outcomes and Impacts
	Reduced number of crimes and accidents reported when accessing rail	Economic Growth (GVA uplift) driven by improved connectivity
M2 Modal Integration	<p>Where journeys require interchange, these are no than 20mins wait</p> <p>Bus Stops are with 200m of station</p> <p>Bus+Rail journey times are competitive with the equivalent car journey</p> <p>Improved Generalised Journey Time</p>	
M3 Regional Catchment	Increased % of Western Gateway population living within 15 minutes of a railway station	<p>Higher % Modal Share, particularly from disadvantaged parts of society</p> <p>Improved ranking on Indices of Multiple Deprivation driven by higher levels of education and employment for socially disadvantaged areas</p>
M6 Accessibility	100% compliance with DfT CoP for Accessible Stations by 2030	<p>Rail network provides equal access opportunities for all</p> <p>Increased % of disabled people in employment and education</p>
P3 International Gateways	<ul style="list-style-type: none"> ■ Increase in rail travel to and from International Gateways (IGs), measured as proportion of passengers arriving to WG by train from cross-border gateways, or arriving in Western Gateway by air or sea and continuing their journey by train; and ■ Increase in proportion of inward tourism visits made by train. 	<p>Economic Growth (GVA uplift) in Visitor Economy</p> <p>Higher % Modal Share for international tourists, leading to reduced congestion and carbon emissions</p>

CO	How will success be measured?	Outcomes and Impacts
G1 Transit Oriented Growth	<ul style="list-style-type: none"> Land use planning and transport planning will be aligned in Local Plans in the Western Gateway, with an emphasis on sustainable transport. Where relevant in the specific geography, rail is identified as a key sustainable transport mode within the region's transport networks; The land use planning process takes account of the proximity of sites to rail access points, where this is relevant to the local geography and appropriate to the sites and developments under consideration; and Planning policies recommend that masterplans for new strategic developments have sustainable transport at their heart, which includes access to rail where relevant and appropriate. 	<p>Creation of Transit Oriented Communities that are less reliant on car travel</p> <p>Reduced carbon emissions</p> <p>Health and Social Wellbeing improvements</p>
G2 Mobility Hubs	<ul style="list-style-type: none"> Number of stations developed as mobility hubs with services and facilities appropriate to their hub category and their specific setting; Increased footfall through and around redeveloped stations; Increased retail revenue from additional services provided; Increased patronage of rail, shared mobility and bus services at hubs; and <p>Achievement of business plan targets at individual stations.</p>	<p>Higher % Modal Share</p> <p>Reduced car miles as journeys have multiple purposes</p> <p>Reduced carbon emissions</p> <p>Health and Social Wellbeing benefits</p> <p>Rejuvenation of under-used built assets, leading to land value uplift</p>

Route Map 5: Freight

Owner: Freight Taskforce

Throughout the development of the strategy, freight has been highlighted as a key aspect. This is recognised in 4 freight specific COs, as well as several others where freight is a key part of achieving that CO. More so than other Taskforces, there is an urgent need to understand the freight market in Western Gateway better before determining detailed interventions – hence why the immediate deliverable is a Freight Market Study. This will include a detailed gap analysis of freight capacity and capability, usage and availability of paths, commodities (current and future potential), rail freight terminals and distribution centres (current and future potential) and First Mile Last Mile opportunities offered by rail freight. As illustrated in Figure 7-7, only once this is complete will it be possible to identify and prioritise interventions.

Figure 7-8 - Freight Route Map

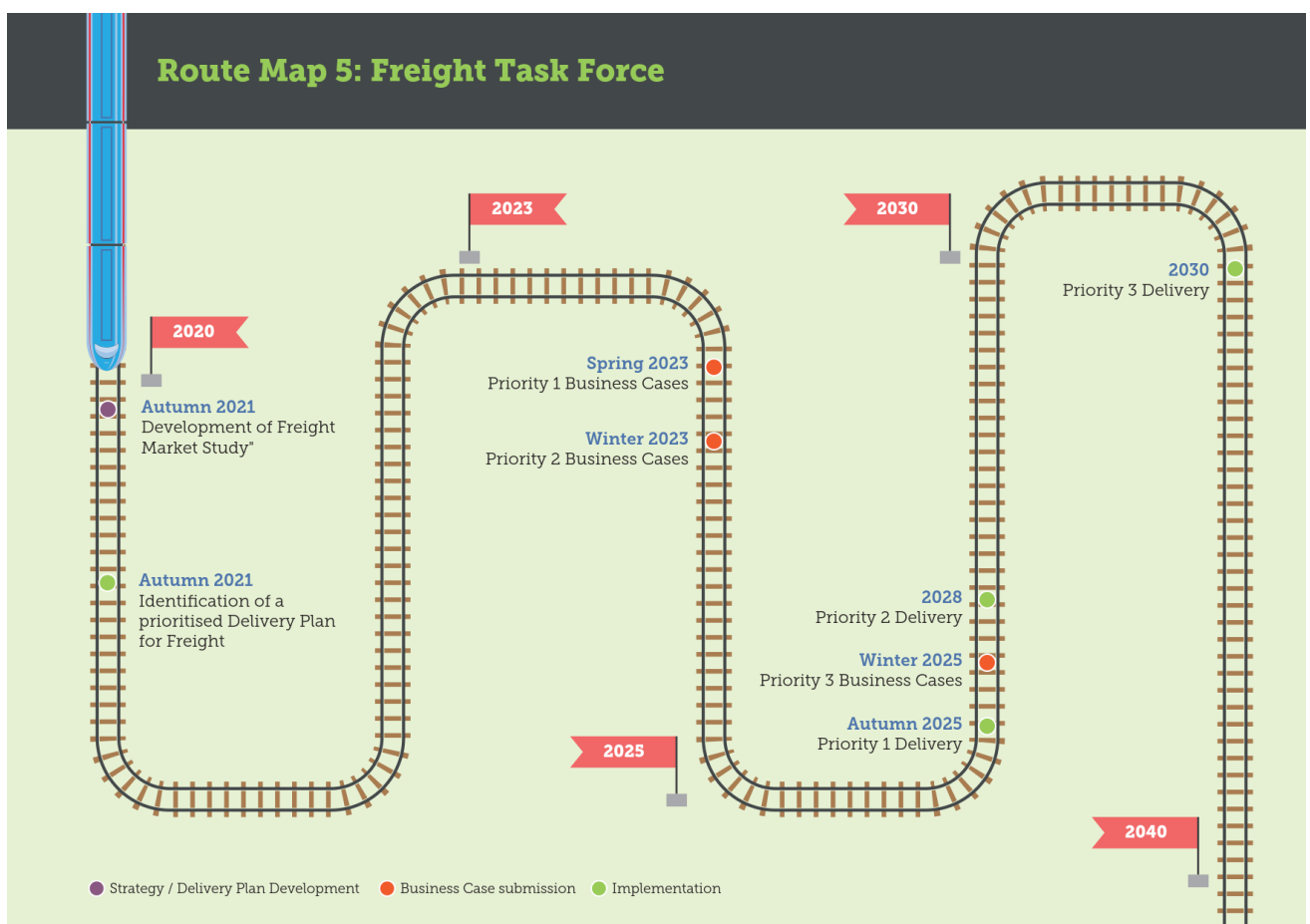


Table 7-6 - Freight Taskforce CO Monitoring & Evaluation

CO	How will success be measured?	Outcomes and Impacts
C6 Freight Capacity	Increased number of freight paths available on network in line with Freight Aspirational Service Plan (F-ASP)	Higher % freight modal share

CO	How will success be measured?	Outcomes and Impacts
D2 Carbon Footprint	<ul style="list-style-type: none"> More even distribution of load factor on-board trains across the day; and Increased revenue for passenger operators from new sources where space on trains is taken up by high value, low density goods being transported to towns and city centres. <p>Reduction in road-based delivery traffic servicing city centre locations, to be replaced by innovative First Mile / Last Mile delivery services and centrally-based parcel pick-up locations.</p>	<p>Reduced highway congestion and carbon emissions</p> <p>Economic Growth (GVA uplift) through improved logistics connectivity</p>
D3 Freight Growth	<ul style="list-style-type: none"> Increased proportion of total freight transported to, from and within Western Gateway by rail; Increased relative volumes of key commodities transported by rail to, from and within Western Gateway; and Increased usage of freight paths on the rail network. 	
D4 Freight Capture	<p>Net increase in the number of different commodity sectors transported by rail by 2030</p> <ul style="list-style-type: none"> Improved collaboration between potential freight customers to allow shared freight services/paths across different commodity types/customers; and Increased use of rail distribution centres and warehouses, either outside of or within city/town centres. <p>Reduction in road-based delivery traffic servicing city centre locations, to be replaced by innovative First Mile/Last Mile delivery services, partnership delivery models and centrally-based parcel pick-up locations</p>	
P4 Freight Capability	<p>More routes achieving key freight capability targets of RA10, W10/12 gauge, signalled for 775m trains and higher linespeeds</p>	

Route Map 6: Future Ready & Resilience

Owner: Future Ready & Resilience Taskforce

Following the Climate Change emergency declarations and the publication of Network Rail's Traction Decarbonisation Network Strategy (TDNS) in September 2020, the need to think about what function rail may perform within a sustainable transport network of the future is essential. This Taskforce and Route Map pull together a number of strands linked to this overarching theme, with a view to preparing Western Gateway to be both sustainable and resilient to shock events, whether they be climate-related (e.g. coastal flooding) or socio-economic, such as the current Covid-19 pandemic.

As well as developing a Western Gateway specific response to TDNS, a key first action for this Taskforce is to develop a wider Future Ready & Resilience Strategy. This should cover topics including performance improvement, 7-Day Railway, wider decarbonisation initiatives (such as stations, depots and micromobility), green and blue infrastructure, renewable energy sources and high risk locations for climate-related shock events. Similar to Route Map 5, until this strategy is developed, it is difficult to identify any specific interventions. However, the development of a Decarbonisation Modelling Tool and the target to make all rail power supplies renewable by 2025 are identified on Figure 7-8 below.

Figure 7-9 - Future Ready & Resilience Route Map

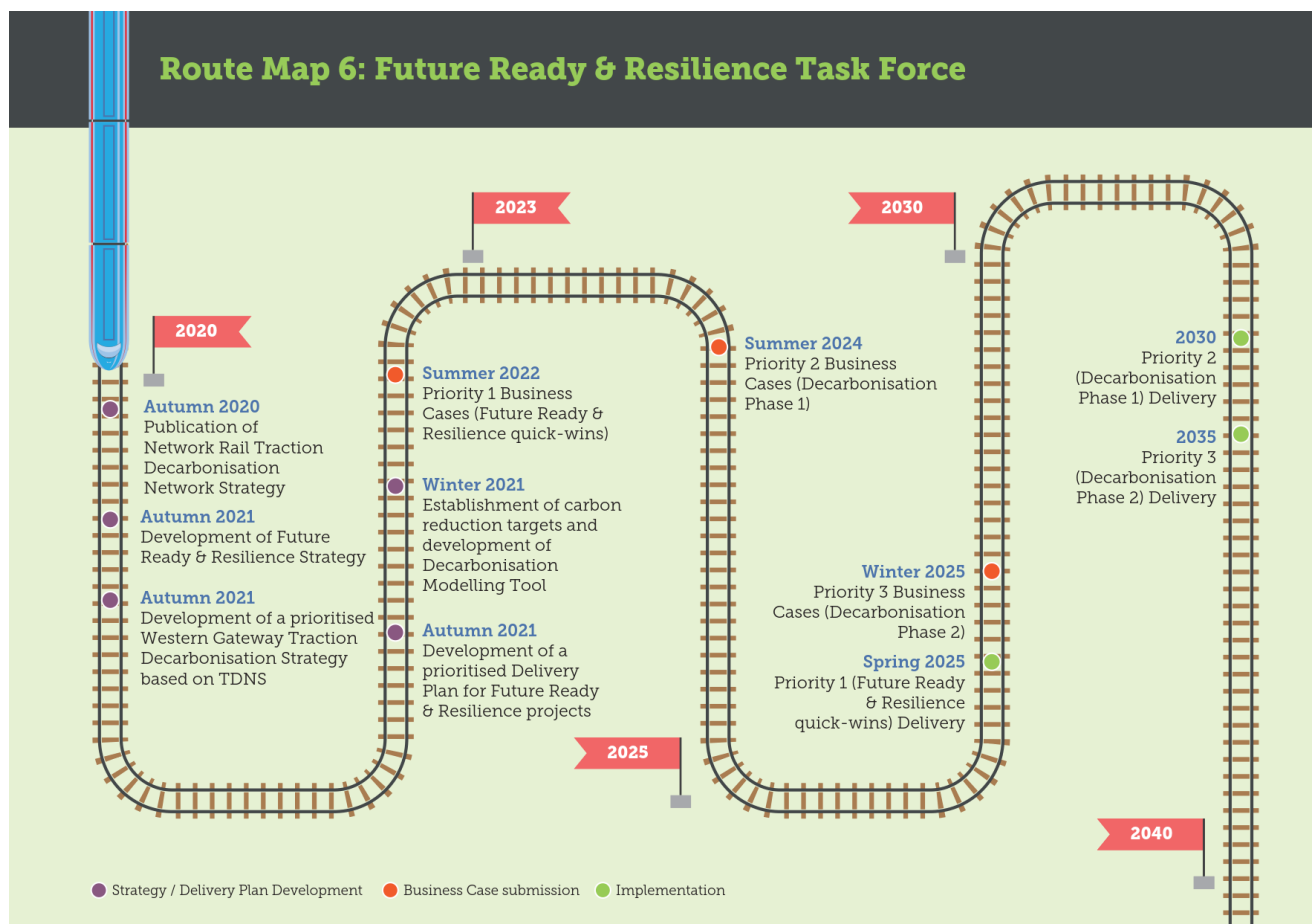


Table 7-7 - Future Ready & Resilience Taskforce CO Monitoring & Evaluation

CO	How will success be measured?	Outcomes and Impacts
C3 Performance	<ul style="list-style-type: none"> Improvement in Right Time Arrivals; and Improvement in NRPS Punctuality / Reliability scores. 	<p>Higher % Modal Share linked to passenger confidence in reliability</p> <p>Reduced industry compensation costs / events</p>
C4 Extended Timetable	Earlier / later trains at evenings and weekends	<p>Higher % Modal Share, particularly for discretionary travel</p> <p>Improved journey opportunities leading to social equality</p> <p>Economic Growth (GVA uplift) from improved connectivity</p>
D1 Carbon Emissions	<p>Gradual decarbonisation of the Western Gateway rail network through the transition away from diesel rolling stock and non-renewable energy sources for other network assets</p> <p>A decarbonisation calculator tool is recommended</p>	Reduced carbon emissions and improved air quality
P2 On-Board Productivity	<p>Rolling stock to be fit for purpose for journey requirements, including:</p> <ul style="list-style-type: none"> Availability of seats; Proportion of table seats and charging points; Availability of WiFi; and Luggage Space. 	<p>Higher % Modal Share</p> <p>Economic Growth (GVA Uplift) from improved connectivity and productivity</p>
G3 Network Resilience	<ul style="list-style-type: none"> Delay minutes from service affecting failures, highlighting attribution to the type of severe weather event, so that severe weather trends from climate change can be tracked over time; and 	<p>Higher % Modal Share linked to passenger confidence in reliability</p> <p>Reduced industry compensation costs / events</p>

CO	How will success be measured?	Outcomes and Impacts
	<ul style="list-style-type: none"> ■ Capturing the specific travel arrangement changes required for customer journeys, or the conditions for Do Not Travel alerts, also highlighting attribution to the severe weather events, to refine solutions over time. 	

7.6 SUMMARY AND NEXT STEPS

This report has presented detailed analysis of the 23 Conditional Outputs identified as part of the Western Gateway Rail Strategy and developed delivery plans for 5 Taskforces sitting within a Western Gateway governance structure led by the Board.

The Rail Strategy presents an ambitious yet deliverable vision for making rail a vital part of a sustainable transport network both within Western Gateway and across to its neighbouring authorities which has the support of all stakeholders who have been involved in its production.

A clear next step following the endorsement of both this report and the parallel published strategy by the Western Gateway Board is the establishment of the 5 identified cross-industry Taskforces and allocation of funding to those Taskforces to proceed with the next stages of development. The next stage, to be specified and led by these Taskforces, is focussed upon more detailed collation of evidence and identification and prioritisation of a long list of schemes based on this evidence. This will lead to the submission of a programme level Strategic Outline Business Case to government by early 2022.



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WESTERN GATEWAY RAIL STRATEGY

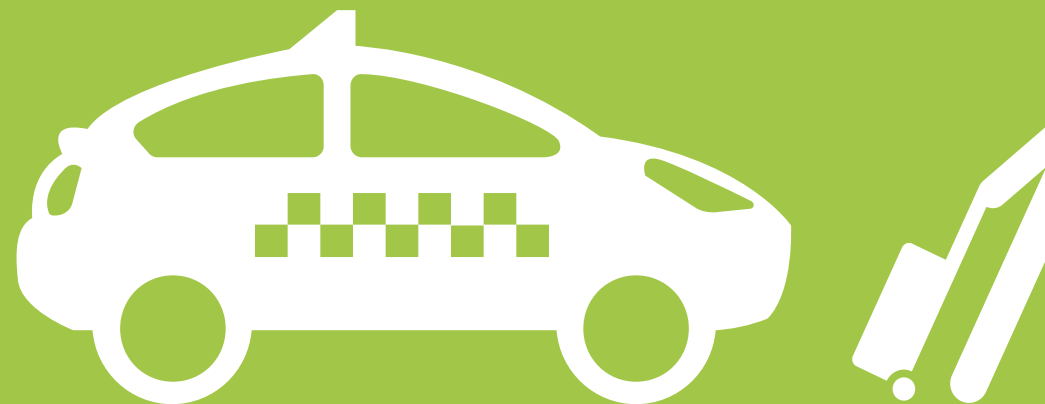
Western Gateway
Sub-national Transport Body



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Foreword

Part of our STB's overall Strategic Transport Plan is to develop a mode specific Rail Strategy which outlines how rail will help to deliver the overall vision and objectives for transport in the Western Gateway area.

Our Rail Strategy sets out the need for change based on a review of policy, challenges and trends. It explores the region's vision, objectives and priorities, and develops a series of Conditional Outputs which will support the delivery of these objectives.

Our Rail Strategy includes a clear vision, with five themes supported by focussed objectives and priorities and also sets out clear outcomes that the Western Gateway STB wants from the rail network.

I believe the need for change is clearly explained in this document and the base line conditions of existing services are equally well defined. I am very grateful for the support provided by Network Rail in developing this strategy and their commitment to continue close partnership working as we take the strategy forward.

I'm very pleased that despite current difficulties, we have developed our Rail Strategy with significant input from industry stakeholders by holding workshops

across the Western Gateway area as well as through e-consultation with our constituent authorities, Network Rail, Train Operating Companies and Freight Operating Companies.

The delivery of the Rail Strategy has been structured into five 'route maps' in order to focus and align actions and interventions to relevant bodies and themes. These five route maps include: **Strategy, Governance and Collaboration, Digital Solutions, Stations & Access to Rail, Freight, and Future Ready & Resilience.**

The publication of this Rail Strategy marks an important step in the development of our STB, and is the result of a truly collaborative effort from Western Gateway and its stakeholders.



CLLR BRIDGET WAYMAN

Chair - Western Gateway Sub-national Transport Body (STB)



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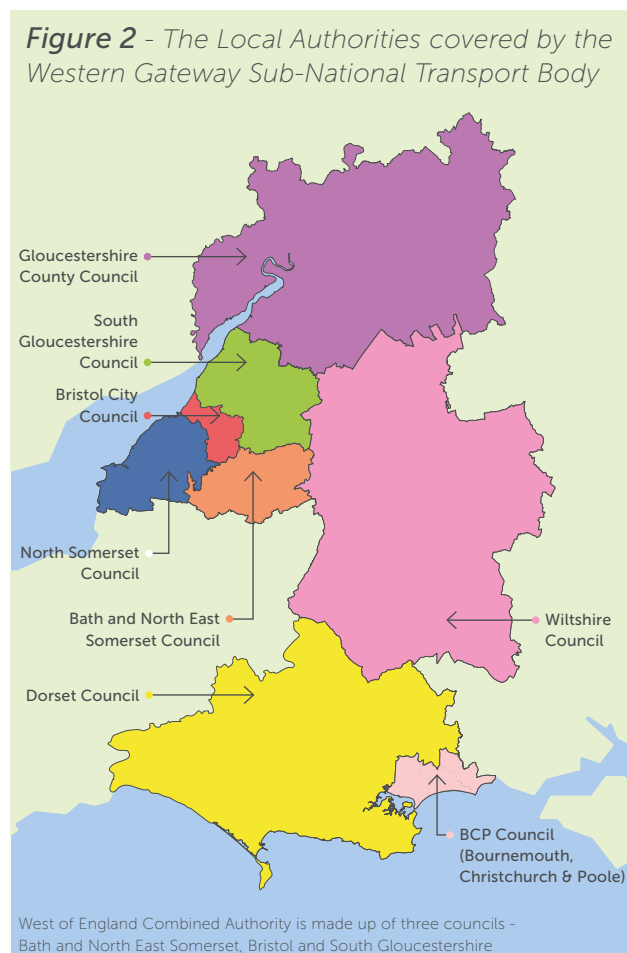
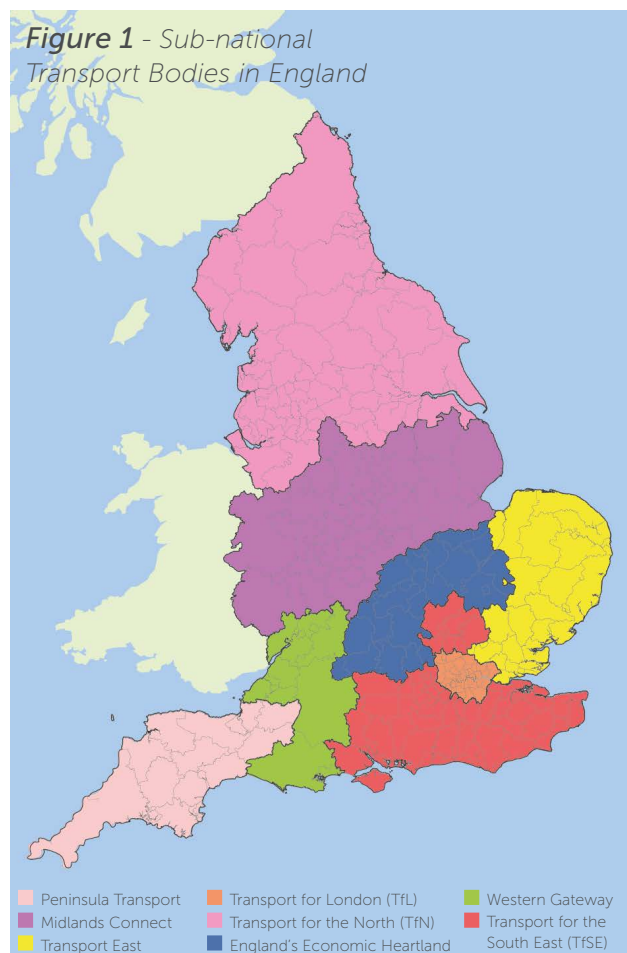
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Introduction



1.1 | Introduction

Western Gateway is one of 7 Sub-National Transport (STB) bodies across England and is formed of the 9 local authorities that sit within Gloucestershire, Bristol, parts of Somerset, Wiltshire and Dorset. It aims to be a region that is **sustainably connected and provides high quality and value for money travel opportunities for all its businesses, residents and visitors.**



The Western Gateway STB is home to over 3 million people, and although there are pockets of deprivation in the larger towns and cities, it is generally considered to be a reasonably affluent region of the country. The region is largely rural in nature, including several world-renowned locations such as Stonehenge, Cheddar Gorge and the Dorset Coast, making Tourism a key industry sector alongside Advanced Manufacturing, Aerospace, Financial and Professional Services and Military.

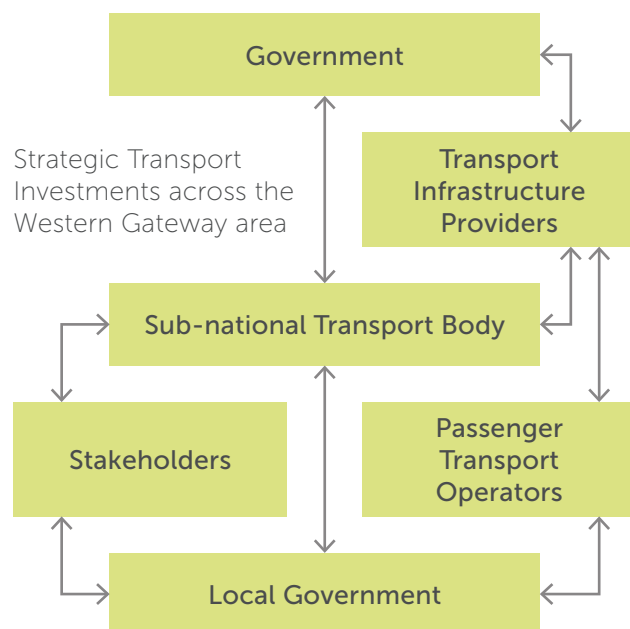
It has ambitious targets to deliver over 300,000 new homes and over 190,000 new jobs by 2036. To achieve this vision, the alliance is predominantly focused on maximising capacity and resilience of the transport network, prioritising transport investment that will improve connectivity at a local, national and international geographical scale. By investing in strategic level corridors, the Western Gateway will connect:

- **Local centres** through ambitious public transport networks such as Metrobus and MetroWest;
- **National markets** through strategic crossroads of highway and railway links; and
- **International markets** through Airports and Deep-Sea Ports.

1.2 | Western Gateway Sub-National Transport Body

Western Gateway STB was established in 2018 to respond to the government's devolution agenda, and with objectives to work together to drive innovation, maximise sustainable economic growth, improve industrial productivity by strengthening travel connections to local, national and international markets and support social mobility by enhancing strategic travel connectivity across South West England.

Figure 3 - The role of the Western Gateway STB in the decision-making process



The Western Gateway STB Board, comprised of elected members from each constituent local authority, as well as representatives from DfT, Highways England, Network Rail, Peninsula Transport STB and Western Gateway Transport & Business Forum, is committed to working together to provide a single voice to government on strategic transport matters affecting the region. The Board is established to provide strategic leadership and direction to the material advantage of the Western Gateway region.

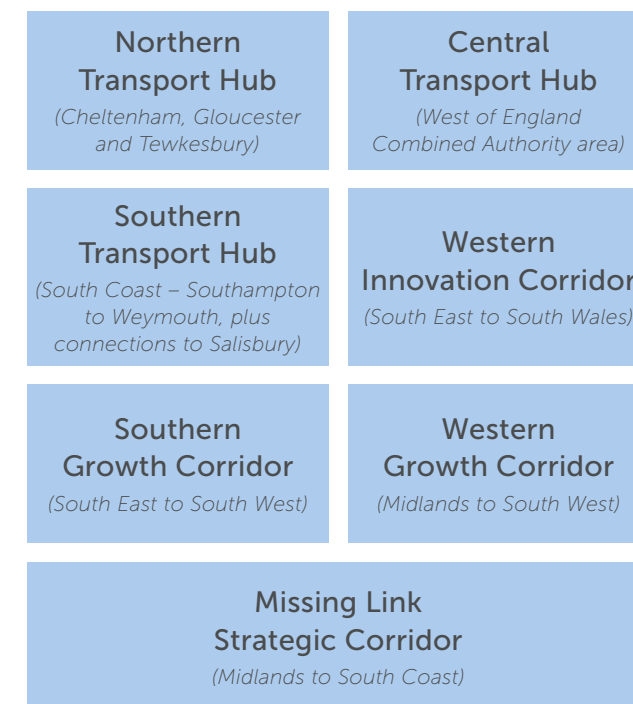
This strategic leadership role will include:

- Representing its members in discussions with Government, Strategic Infrastructure Providers and neighbouring STBs (including Transport for Wales);
- Agreeing strategic investment priorities for road, rail and cycling; and
- Leading on significant matters that require strategic solutions, including decarbonisation, digital connectivity and multi-modal ticketing.

In June 2020, Western Gateway issued a draft Strategic Transport Plan for consultation. The Strategic Transport Plan focuses on short-term delivery to 2025 and includes an approach to developing a Long-Term

Strategic Plan (2025-2045). This Rail Strategy forms an integral part of that Transport Plan, embracing the same principles and priorities for change and growth, although our horizons extend towards 2045, aligning with the recognised Long-Term Planning Process (LTPP) adopted by the rail industry.

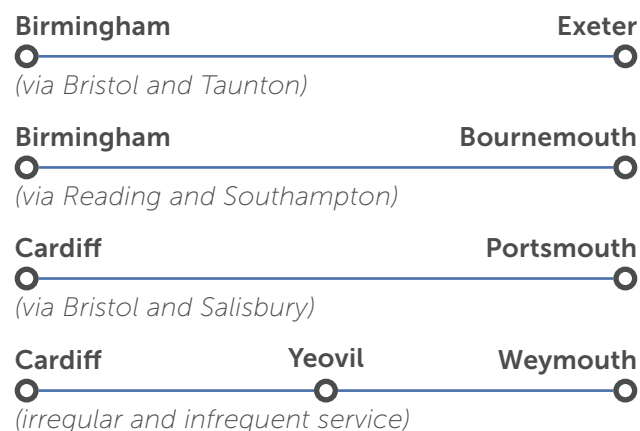
The Strategic Transport Plan identifies 3 hubs and 4 corridors, that are recognised within the Rail Strategy. These are:



1.3 | Western Gateway Existing Rail Network

The rail network in Western Gateway, like many other parts of the national rail network, was developed piece by piece by my multiple private companies in the 19th and early 20th centuries. This was dominated by the parallel Great Western and London & South Western Railway companies providing the east-west connectivity to the region from London. The railway was nationalised under British Rail in 1948, and decline in passenger numbers due to competition with the private car led to widespread closures in the 1960's and 70's.

This history has led to the shape of the network today, retaining the strong east-west, London-centric connectivity, with much poorer provision on local routes and in the north-south axis. The main routes that provide north-south connectivity are:



The region spans 2 Network Rail (NR) Routes and includes 4 Train Operating Companies (TOCs) as shown on the map on the next page. Western Route predominantly aligns with Great Western Railway operated services, while Wessex Route aligns with South Western Railway operated services. Transport for Wales operates a handful of services between Cardiff and Bristol / Cheltenham, and as described above, CrossCountry operates the North & Midlands to South West services.

Frequency and quality of services is variable across the route, ranging from a turn-up-and-go service level on the Great Western route between Swindon, Bath and Bristol, and to some extent between Southampton and Bournemouth, to infrequent and irregular service patterns, in particular between Weymouth, Yeovil and Bristol.

Direct connectivity and journey speeds are also poor across much of the region. The direct services matrix on Page 10 shows which of the key stations can be reached directly and what average speed this can be achieved in. Later in the strategy, we discuss the use of journey speed instead of journey time to highlight particularly uncompetitive connections or routes along the network.



Direct Services Matrix

(N) National
 (R) Regional
 ↓ Within WG boundary
 ↑ Outside WG boundary

			↑	↑	↓	↑	↑	↑	↓	↓	↓	↑	↓	↓	↑	↓	↑	↑	↓	↓	↓	↓	↓	↑	↑	↑	↑
			N	N	N	N	N	N	N	N	R	N	R	R	N	R	R	R	R	R	R	R	R	N	R	R	R
			XBH	RDG	BRI	OXF	SOU	BSK	BTH	BPW	CNM	SWI	BMH	SAL	DID	GCR	EXD	XWT	POO	CPM	WSB	WEY	WSM	CDF	TAU	YVJ	YVP
↑	N	Birmingham New Street	XBH																								
↑	N	Reading	RDG	60																							
↓	N	Bristol Temple Meads	BRI	64	71																						
↑	N	Oxford	OXF	58	66																						
↑	N	Southampton Central	SOU	55	48	40	48																				
↑	N	Basingstoke	BSK	52	42	46	45	53																			
↓	N	Bath Spa	BTH		76	53		39	46																		
↓	N	Bristol Parkway	BPW	68	93	36				27																	
↓	R	Cheltenham Spa	CNM	62	54	69				46	78																
↑	N	Swindon	SWI		89	62				71	94	41															
↓	R	Bournemouth	BMH	53	47		53	49	52																		
↓	R	Salisbury	SAL			42		43	55	41																	
↑	N	Didcot Parkway	DID		69	67	42			75	68	50	97														
↓	R	Gloucester	GCR	52	55	40		43		34	42	43	40		34	42											
↑	R	Exeter St Davids	EXD	66	70	70			48	55	63	66			47												
↑	R	Worcester Foregate	XWT	34	49	37	45			33	36	44				35	26										
↓	R	Poole	POO					38	45					35													
↓	R	Chippenham	CPM		81	61				70			77			82											
↓	R	Westbury	WSB		47	38		48	37	35	29	41	35		50		35	45	35		22						
↓	R	Weymouth	WEY			29		41	43	27	28			38			31			40		27					
↓	R	Weston-Super-Mare	WSM		53	37				34	30		44			48		51			36						
↑	N	Cardiff Central	CDF	53	77	39		44		38	59	50	70		44	64	50					39		37			
↑	R	Taunton	TAU	65	74	66				46	59	64	53			58		74			49	38		55	46		
↑	R	Yeovil Junction	YVJ			26			48	24					47			48				42					
↑	R	Yeovil Pen Mill	YVP			33			31	31	33				29		37					48	34			3	

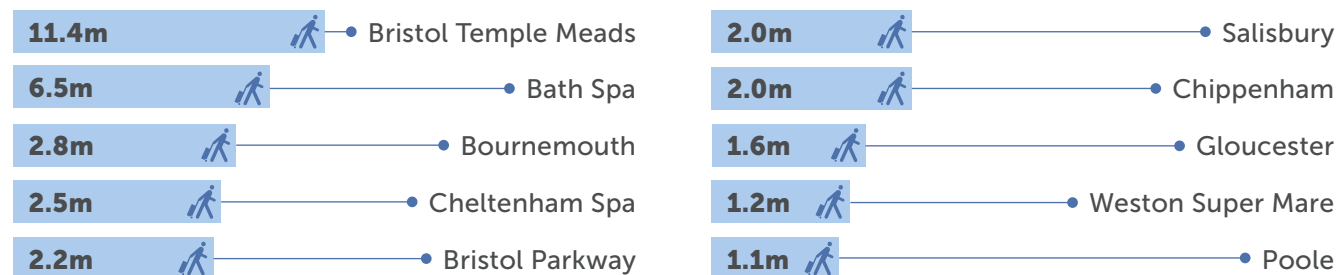
Figures in cells indicate average point to point journey speed in miles per hour between each hub pair.

1.4 | Stations

There are 70 stations on the National Rail Network in Western Gateway. Using DfT's Stations Classification system, these can be broken down as follows:

Station Category	# Number of Stations	* Western Gateway Examples
A National Hub	1	Bristol Temple Meads
B Regional Interchange	1	Bristol Parkway
C Important Feeder	9	Bournemouth, Cheltenham Spa
D Medium Staffed	10	Stroud, Kemble, Pewsey
E Small Staffed	11	Pokesdown, Yatton, Moreton-in-Marsh
F1 Large Unstaffed	12	Keynsham, Lydney, Patchway
F2 Small Unstaffed	26	Clifton Down, Weston Milton, Chetnole

The 10 most-used stations (according to ORR Station Usage data from 2018-19) are:



The least-used stations are Pilning and St Andrews Road (WECA) and Chetnole, Thornford and Yetminster (Dorset). All 3 Dorset stations and Pilning suffer from an infrequent service. St Andrews Road, whilst served regularly, is a request stop.

Based on facilities detailed on the National Rail Enquiries website, only 21 of the 70 stations are classified as fully accessible (with accessible ticket purchasing, customer assistance and compliant step-free access between station entrance and boarding the train).

1.5 | Traction Power

Although there are sections of route that are currently electrified – generally 750V DC Third Rail in Wessex Route and 25kV AC Overhead Line in Western, there are significant lengths of railway that still rely on diesel traction power.



In September 2020 Network Rail published their Traction Decarbonisation Network Strategy (TDNS), which identifies which non-electrified routes across the UK are most suitable to be decarbonised via electrification or the use of battery or hydrogen rolling stock. The relevant routes in the Western Gateway are discussed later in this strategy.

1.6 | Freight

Nationally, in recent years, the nature of rail freight has changed – away from ‘heavy haul’ goods such as coal (to power stations) to intermodal containers containing a wide range of goods from automotive to biomass, being transported from ports to container terminals for onward transport. Intermodal containers require a larger gauge – W10 minimum, and ideally W12, than the more traditional heavy haul wagons which can operate on W7 and W8 gauge.

Other metrics that are objectives of the Trans-European Transport Network (TEN-T) include the length of trains that can operate, with European standards requiring 740m for a route to be considered ‘interoperable’, and ‘Route Availability’, which is an assessment of the total weight of trains that can operate (22.5 tonne axle load = RA8). Electrification (as above) and linespeeds (previous page) are also considerations.

The map on the right shows the current freight routes in the Western Gateway by gauge and route availability.



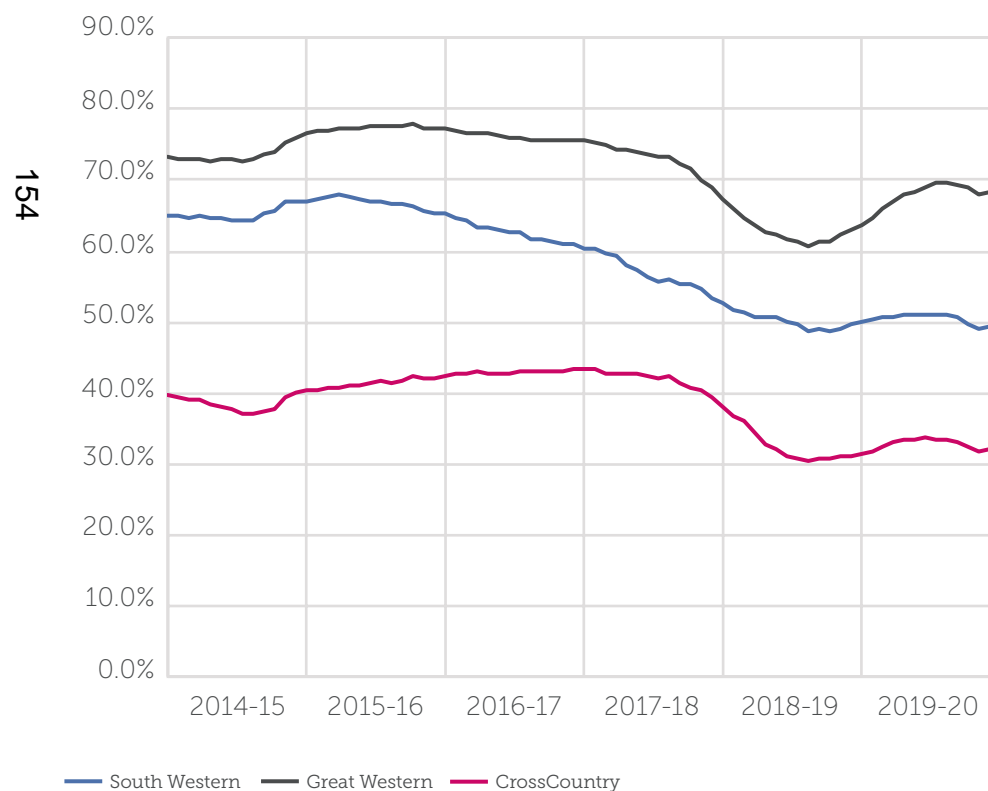
Freight origins, destinations and commodities

Freight Origin	Freight Destination Examples	Commodities / Markets
Southampton Ports (Eastern Docks, Western Docks, Millbrook, Marchwood, Fawley, Totton)	Beyond Western Gateway	Automotive, Intermodal Containers
Marchwood MOD (Southampton), Bovington/Lulworth MOD	Bicester MOD, Wool MOD, Ludgershall MOD, Warminster MOD	Military vehicles, ramps
Southampton / Eastleigh	Whatley Quarry	Aggregates
Hamworthy (Port of Poole)	Westbury Down	Unknown
Merehead / Whatley (Mendips)	Various: London & SE (in particular Acton), Avonmouth	Aggregates
Avonmouth	Various: N Wales, Clitheroe, Lancs, Southampton	Aggregates
Sevenside SITA	Westbury Down, Brentford, Essex	Biomass (Energy from Waste)
Bristol Ports (incl. Portbury and Avonmouth)	Beyond Western Gateway	Automotive, Aggregates
Tytherington	Appleford, Didcot	Aggregates
Westerleigh	Immingham, Robeston (Milford Haven), Lindsey (Lincs)	Oil and Natural Gas
South Wales Ports & Power Stations, including Wentloog, Robeston (Milford Haven), Aberthaw, Cardiff and Port Talbot	Various: London & SE, Felixstowe, Southampton, Cornwall, East Midlands	Steel, Aggregates, Biomass

1.7 | Performance

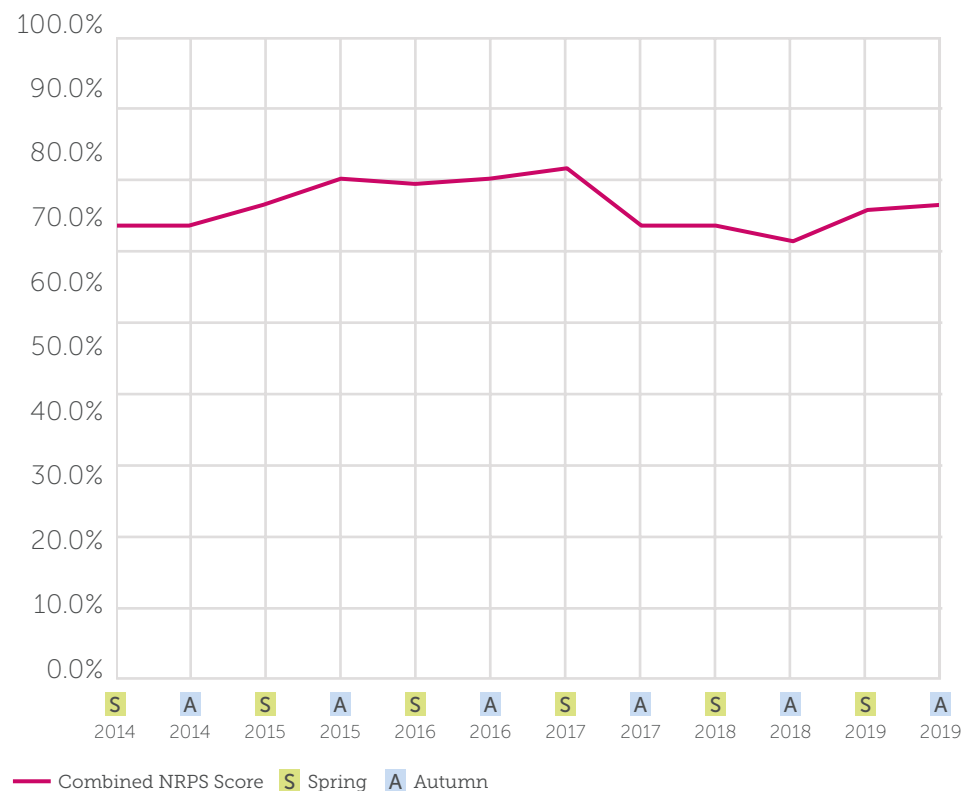
Performance is one of the most important factors in passenger choice making and the level of confidence that users have in rail as a mode. With the industry moving away from the Public Performance Measure (PPM) due to its end-station nature, Right Time Arrivals and T-3 metrics by TOC will be used within this strategy. Customer satisfaction of punctuality and reliability (through the National Rail Passenger Surveys (NRPS)) also provides a good measure of confidence in rail's performance. Figure 4 displays the Right Time Arrival metrics as reported by the ORR for GWR, SWR and CrossCountry, indicating they have not exceeded 78%, 68% and 43% respectively since 2014/15. From a customer satisfaction point of view, Figure 5 indicates that over the past 6 years, the highest satisfaction score in any wave was 83% (in Spring 2017).

Figure 4 - Periodic right time arrivals by sub-operator (2015-2020)



Based on consultation with the respective TOCs, the sub operator groups used are "West" for GWR, "Mainline" for SWR and "South West" for CrossCountry. The report used for this was Disaggregated PPM Right Time and CaSL at sub operator level for All TOCs - Table 3.9

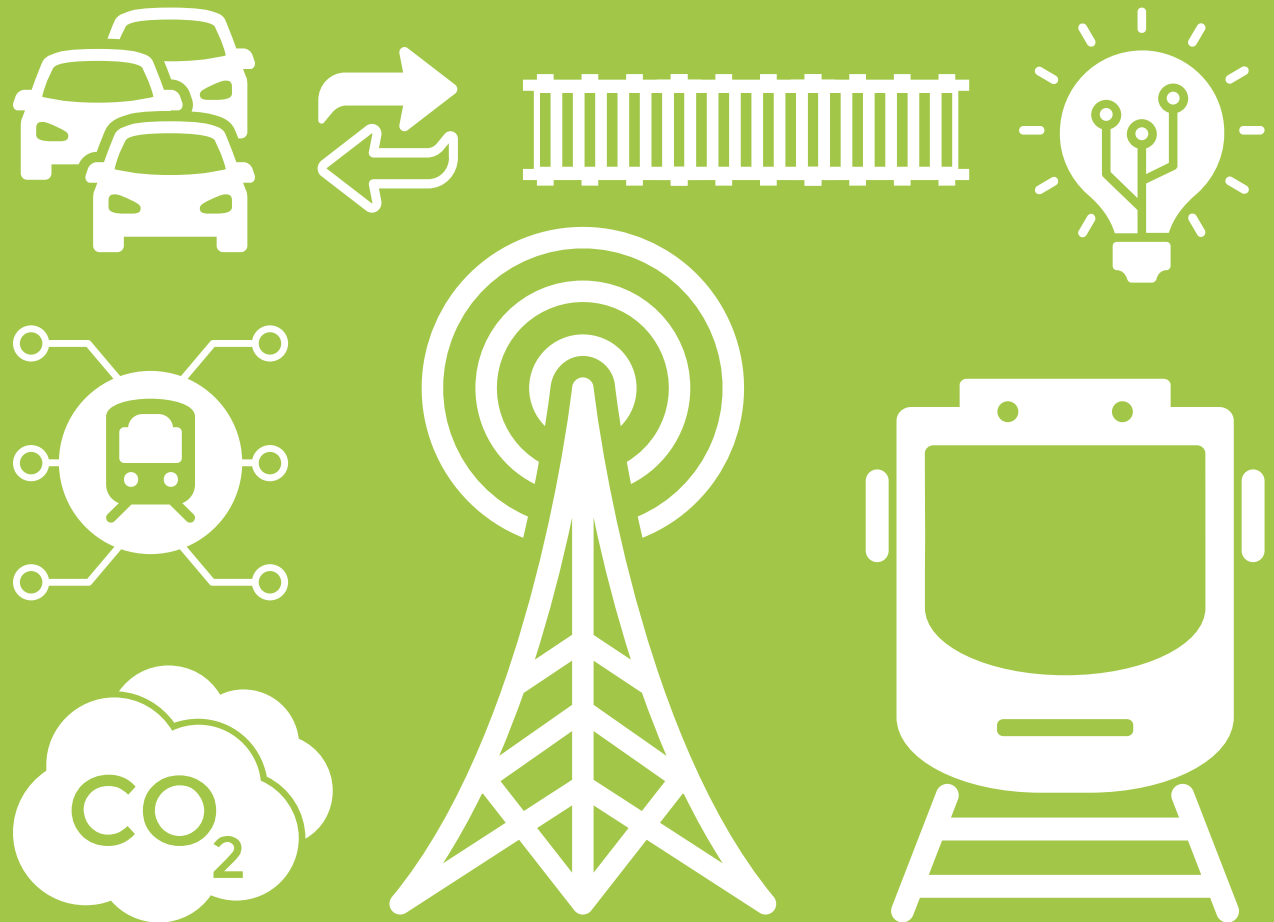
Figure 5 - NRPS Satisfaction with punctuality and reliability (2014-2019)



For this, we have combined the most applicable service grouping for the three train operators of the Western Gateway, being GWR Long Distance, SWR Long Distance and CrossCountry South.

| 2

The Case for Change



2.1 | Policy Context

For this Rail Strategy to be robust and deliverable, it is critical that it is set in the context of the current socio-economic, spatial and political environment. The last 5 years has seen unprecedented change in government policy on planning, transportation and funding for infrastructure projects, alongside a period of political uncertainty associated with Brexit. This is evolving even further with recent policy change on climate change and decarbonisation, setting the UK an ambitious carbon-neutral target of 2050

Specific policy considerations are:

- DfT's position on Sub-National Transport Body (STB) role;
- Network Rail's Traction Decarbonisation Network Strategy (TDNS);
- Williams Review of Franchising; and
- The short and long-term impacts of Covid-19.

STB Role

DfT views the role of STBs as being to:

- Provide strategic consideration of transport needs at a pan-regional level aligning with economic and industrial strategies for the region
- Provide advice to Government on prioritisation of schemes at the sub-national level
- Undertake agreed activity on behalf of Government in their region, for example connectivity studies
- Support other Departmental priorities (e.g. MRN)

To be successful STBs will need to:

- Speak with 'one voice' for partners in the region
- Base all proposals in evidence
- Operate at a strategic cross-boundary regional level, not replicating the functions of local transport authorities
- Work collaboratively across their region
- Work collaboratively across the STB community, sharing best practice and avoiding duplication
- Work openly and transparently with Government
- Be able to take and defend tough decisions

Traction Decarbonisation Network Strategy

In light of nationwide carbon net-zero targets by 2050, Network Rail has published a Traction Decarbonisation Network Strategy (TDNS) which sets out the preferred option for achieving this net-zero target for every line in the country. As well as electrification being an option, alternative technologies are being considered, including battery and hydrogen-powered rolling stock.

Williams Review of Franchising

At the time of writing, the outcomes of the ongoing Williams Review of Franchising had still not yet been published. The review, designed to look at the structure of the whole rail industry and the way passenger rail services are delivered, will provide a series of recommendations to UK Government about how to proceed with the mechanisms of rail franchising. While a competitive process is likely to remain, it is understood that an element of devolution may occur, married with an ongoing fares reform which is designed to enable local government to have more control of their service provision. Western Gateway should be aware and ready to adopt the outcomes of these reviews to help meet its long term goals.

Covid-19

Work on this strategy started before the Covid-19 pandemic. The short-term effects of lockdown on rail patronage are well documented; at the time of writing, passenger numbers on the rail network are rising – but are still considerably below pre-Covid-19 levels. It is uncertain whether changed working, shopping and travel behaviours will persist after the pandemic (and when that might be), but the focus of this strategy, on setting out aspirations for the rail network in the context of the climate emergency and making rail accessible by all, remains valid, looking ahead towards a net carbon zero future.

Wider Policy Considerations

Policy Area	Consideration for Western Gateway
The Climate Emergency	Remains at the forefront of all policies, regardless of scale, scope, or vision. The need to deliver a sustainable and resilient transport system.
An Integrated Transport Response	Emphasis on a multi-modal, sustainable transport system that is accessible by all, that will allow re-balancing of the economy and closing of the skills gap.
Interconnected UK-wide Transport Network	Maintaining cross-border relationships through strategic discussion and communication with neighbouring areas, with specific reference to an uplift in productivity.
An Evolving Railway Network	A railway network that is forward thinking and innovative, maximising the opportunities that technological advancements offer, whilst in parallel considering the future of mobility and needs of different types of passenger (See Section 3.6 below).
A Strategic Transport Network	Maximising capacity, connectivity and journey opportunities to keep up with the growing demand for rail, in line with the UK's decarbonisation targets and Clean Growth Challenge.
A Customer Focused Network	A system that consistently and transparently puts the needs of its customers (passengers and freight) first and makes best use of tax-payers' and customers' money to optimise the network.
Sustainable Growth	Aligning planning and transportation policy to ensure that future residential and commercial developments have sustainable transport at their hearts.

2.2 | Challenges and Opportunities

STRENGTHS

- Good urban and intercity journey times, notably the new services as part of the December 2019 Great Western Railway timetable change (eg. Swinton and Bristol Parkway)
- Good mix/balance of journeys including urban, sub-urban and intercity (eg. along the South Coast but also in and around Bristol)
- Good bulk passenger movement
- High quality station hubs and new rolling stock (GWR)
- London connectivity is strong on both Wessex and Western routes.
- Reasonable price point for non-London journeys
- Bus interchange is strong combined with good station access
- Strong cross boundary links and geographic spread, notably into Peninsular Transport (Taunton and Exeter), Wales (Cardiff and Swansea) and Midlands Connect (Birmingham).
- Efficient local connections and exits
- Network aligns well with jobs/housing development

OPPORTUNITIES

- Fares and ticketing offering including multi-modal integration
- Maximising capacity, understanding and unlocking demand, and not only in the off-peak
- Modal integration potential - increase use within urban areas
- Working with neighbouring areas
- Re-thinking rail and its perception
- Review of Local Plans of each authority
- Refocussing priorities given the climate emergency (technology, renewals, signalling, future mobility)
- The current timing given the development of other STBs
- Rolling stock renewal
- Sustainable tourism
- Harnessing current changes to franchising
- Aligning decision making (jobs/housing) with rail
- Freight utilisation and growth (e.g. Poole docks, logistics/deliveries)

Intercity Quality

Strengths included the new rolling stock, intercity journey times, strong cross-boundary links and the quality of station hubs



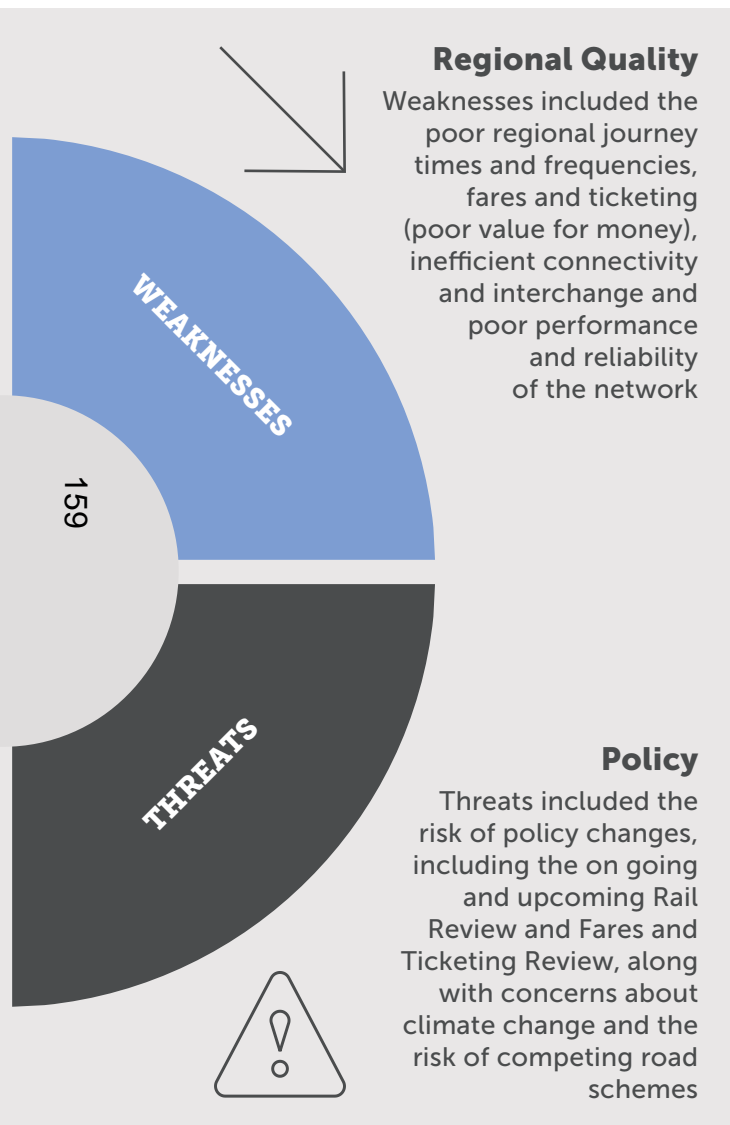
STRENGTHS

OPPORTUNITIES

Efficiencies

Opportunities included maximising capacity, efficiency of the network, enhancing the perception of rail, modal integration and new fares and ticketing offering





WEAKNESSES

- Poor regional journey times and frequencies, specifically North-South between Wessex and Western routes
- Uncompetitive journey times compared to road traffic, specifically North-South
- Fares and ticketing options are limited, particularly in urban areas
- Perception of high cost, often due to lack of fare information and integration
- Poor interchange, both in terms of wait times but also multi-modal options
- Connections with buses, airport and freight services are all weak
- Regional stations low quality, including attractiveness, safety, facilities, accessibility
- Infrastructure capacity constraints including line speeds, resilience, single track lines, junctions
- Service reliability and performance / punctuality
- Service capacity including crowding
- Station accessibility both from the point of view of first/last mile access but also regarding reduced mobility
- Power supply issues, particularly on the South Coast

THREATS

- Policy changes, including the Williams and Fares Reviews
- Policy changes, such as electric vehicles, fuel taxes, future mobility
- The funding and promotion of road schemes undermining goals to shift journeys to rail
- Climate change and what this will mean to resilience, particularly coastal routes
- National priorities overlooking sub-national ones (political recognition, business case methodologies, rail costs, funding routes and timescales)
- London centricity continuing to reduce regional connectivity
- Safety concerns including level crossings
- Lack of public engagement
- Inertia of the industry, lack of innovation
- Removal of Severn tolls and road competition
- Conflicts in freight timetabling/capacity processes

2.3 | Themes, Objectives, Priorities and Conditional Outputs

Building on the vision for Western Gateway to be a region that is sustainably connected and provides high quality and value for money travel opportunities for all its businesses, residents and visitors, the 5 themes of **Choice, Decarbonisation, Social mobility, Productivity & Growth** emerged as those of most important to Western Gateway members, officers and stakeholders.

For each theme, an objective and three priorities were initially identified, which were subsequently used to inform and shape the Conditional Outputs (described later in this report). A conditional output (CO) establishes a target or goal for the rail network which, if realised, will help deliver one or more of the objectives and priorities developed by this strategy and address the need for change in the Western Gateway. The conditionality of COs is dependent upon interventions required to deliver them being proven to be deliverable, affordable and economically viable.

THEME	OBJECTIVE	PRIORITY 1
CHOICE	To make rail a realistic and viable option for journeys to, from and within Western Gateway	Improve frequency of services to provide more flexibility in travel options
DECARBONISATION	To enable rail to contribute more actively towards the decarbonisation of the Western Gateway	Identify ways to reduce the carbon emissions per passenger of rail journeys on diesel rolling stock
SOCIAL MOBILITY	To provide equal journey opportunities by rail for all residents of Western Gateway	Improve multi-modal interchange to rail through improving access to stations by car, bus and active modes
PRODUCTIVITY	To enable rail to contribute more actively to improvements in productivity across Western Gateway	Improve rail journey times/ speeds and Generalised Journey Time (GJT) to make rail competitive with the equivalent road journey
GROWTH	To enable rail to provide sustainable travel options for housing and job growth across Western Gateway	Align rail investment, including new stations/lines with future growth areas

PRIORITY 2**PRIORITY 3**

Make rail to rail interchange
(where direct services not
possible) as seamless as possible

Improve operational
reliability of the network to
give confidence in rail as a
mode of choice

Identify alternatives to diesel
rolling stock including priorities
for electrification

Identify ways in which more
freight can be transported
by rail rather than road, in
particular to deep-sea ports

Create new direct journey
opportunities by rail between
places that are not currently rail-
connected, particularly north –
south and rural areas

Make rail travel more
affordable through
fares management and
incentives

Provide improved rail
connectivity (passenger
and freight) to international
gateways – airports and ports

Improve strategic
connectivity with cross-
border economic hubs

Identify opportunities to
develop and invest in Transit-
Oriented Communities

Promote and maximise resilient
design principles to protect the
region against the implications
of climate change

2.4 | Hub Designation

Stations perform an important role on the rail network, and across Western Gateway, different types of station perform different functions within their communities.

To inform CO development, a Hub Designation has been established and endorsed by stakeholders. **3 levels of hub have been identified.**

National Hub



A station on the network that is regularly served by high speed, long distance services linking the station and settlement in question to other nationally significant towns and cities. In addition, the station also provides regional and local connections, hence being a station where high levels of interchange are expected. Station facilities should reflect the nature of journeys to, from and through the station.

Regional Hub



A station on the network that is served by strategic routes of regional and sub-national significance that will often, but not always, provide an interchange function – either rail to rail, or rail to another mode that provides strategic connectivity. Regional Hubs will usually be located in larger urban / economic centres and may experience more inward than outward travel (i.e. an attractor location), and / or reasonable levels of interchange.

Local Hub



A station that provides access to rail within its community in order for passengers to be able to use rail to access regional and / or national hubs as part of an end-to-end journey. Rail-to-rail interchange will be minimal at most of these stations, and station facilities reflect the volume and type of use.

Allocation to a specific designation at this stage does not fix a station in a specific category in the future. Where stations aspire to fulfilling a different role on the network in the future to better serve its population (residential, employment or leisure), key characteristics such as service frequency (and destinations), catchment or station facilities that hold it back can be identified as part of a gap analysis and a case put forward to change the role of the station on the network.

There are a handful of Regional and National Hubs outside the WG boundary ("out-boundary") that facilitate cross-border connectivity for stations within the WG boundary ("in-boundary").



2.5 | Service Designation

Linked to the hub designation, a service designation has been developed to inform the designation of services and flows between hubs with regards to relevant COs. This will ensure that the specific nature of services is taken into consideration to target interventions in locations where current services are demonstrated to be inadequate to achieve the objectives, priorities and COs. Allocations of routes into one the four service categories below will depend on origin/destination, corridor catchment type, usage patterns and train service specification. The designation has achieved cross-authority and cross-operator consensus at this stage of strategy development.

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Intercity Long distance, limited-stop services between National-National Hubs. This includes services which connect two out-boundary National Hubs and serve an in-boundary Regional Hub

Regional Limited-stop services between Regional-Regional Hubs intended to provide longer-distance connectivity where at least one Hub is in-boundary

Urban Metro-style services which connect local stations in a conurbation around an in-boundary Regional or National Hub

Local Services between Regional-Local Hubs or Local-Local Hubs where at least one of these Hubs is in-boundary.

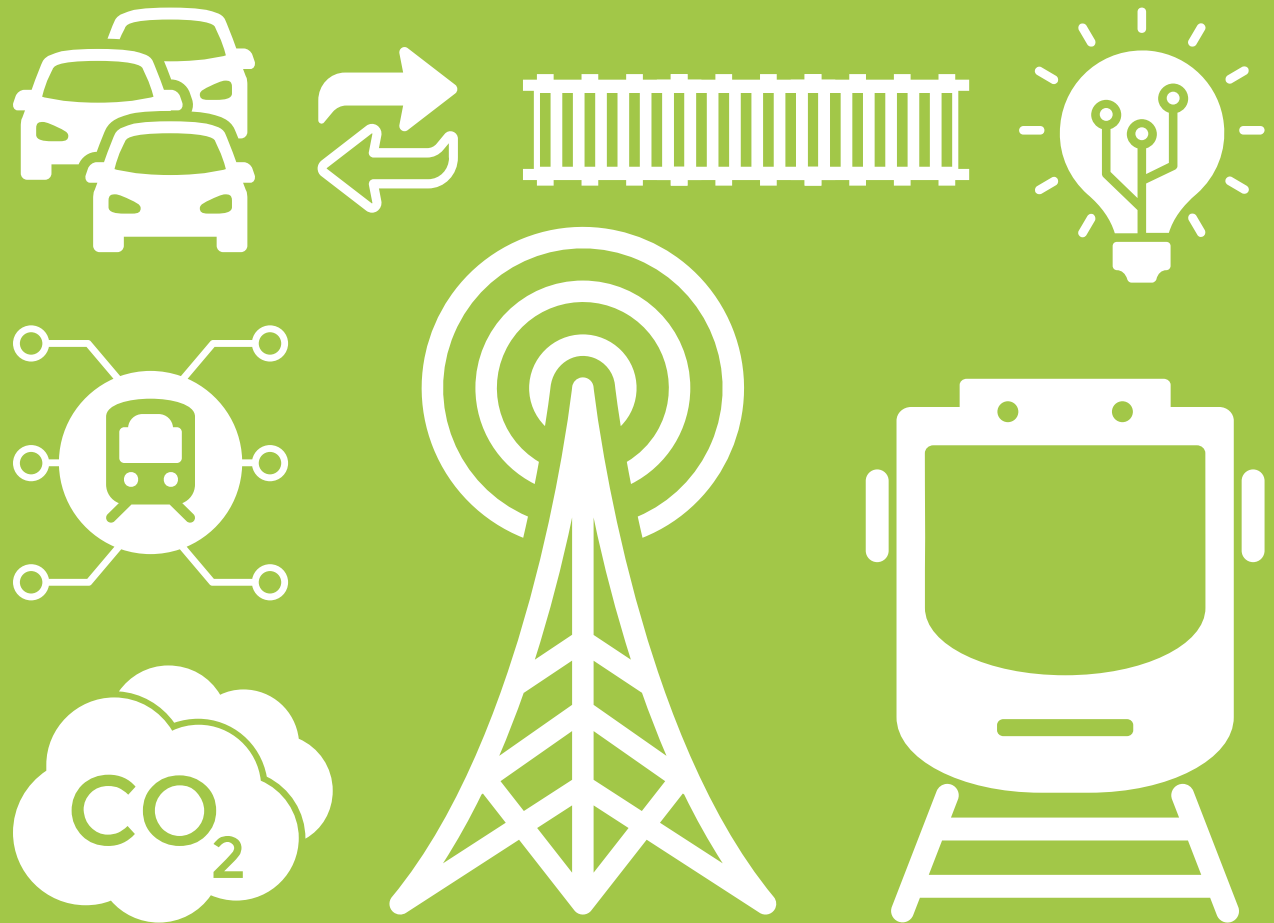


It is recognised that the designation of a service can change en route, for example some intercity trains have a more regional nature further away from London or Birmingham as stopping patterns adapt to the specific route requirements. A specific example would be the London – Weymouth service (which becomes Regional beyond Bournemouth). Again, here, this designation is not fixed and is closely linked to any given timetable and is designed to be a tool to support decision-making. The basis of this designation has been the December 2019 off-peak standard hour timetable.



| 3

Conditional Outputs



Theme 1 | Choice

OBJECTIVE

To make rail a realistic and viable option for journeys to, from and within the Western Gateway

The **Choice** theme seeks to make rail the mode of choice across the Western Gateway. Although in some parts of the region (e.g. in the Greater Bristol area), rail is competitive with car, for the vast majority of people, aspects such as infrequency of services, on-train journey times and the need to interchange, push them to choose their cars. Coupled with the association that rail is unreliable and expensive, there is a real need to improve both the reality and the perception of rail travel.

PRIORITY	DESCRIPTION
Improve frequency of services to provide more flexibility in travel options	<p>A clear criticism of the current rail network from stakeholders was the frequency of services in WG, particularly in the N-S access. This applies as much to evening and weekend travel (discretionary journeys) as to peak time travel. This priority is addressed by CO C1 and C4.</p> <p>As part of uplifting frequency, it is essential to consider freight frequency, to ensure rail is a viable option for the movement of goods. This is addressed by CO C6.</p>
Make rail to rail interchange (where direct services not possible) as seamless as possible	The lack of direct journeys and extended interchange times compounds the concern of stakeholders regarding frequency. Both of these aspects contribute to the reasons why people currently do not choose rail. This priority is addressed by CO C2 and C5.
Improve operational reliability of the network to give confidence in rail as a mode of choice	Part of rail's poor perception stems from poor reliability of the network. This priority is addressed by CO C3.

CONDITIONAL OUTPUT

C1 – Frequency

Increase the frequency of services to aspirational target levels appropriate for service type

C2 – Interchange

Min and max interchange time at stations on hub-to-hub routes

C3 – Performance

A percentage uplift in Right Time arrivals, an increase in customer satisfaction regarding performance

C4 – Extended Timetable

Improved evening, morning and weekend service times and frequencies

C5 – Direct Services

Increased number of direct passenger services through Hub stations

C6 – Freight

Enabling sufficient capacity and access to the network for freight services to allow existing and new markets to develop

CO C1 Frequency

What?

Increase the frequency of services to minimum off-peak aspirations appropriate for service type

Why?

Frequency is a key driver behind service quality and mode share, and an increase in frequency will enable rail to become the mode of choice in the Western Gateway. While the development and issuing of a Train Service Specification (TSS) is typically the responsibility of a service specifier (the Department for Transport) in close consultation with Network Rail and other stakeholders, we have developed minimum off-peak aspirations based on views captured by stakeholders.

Governance / Delivery

Strategic Planning Taskforce alongside Service Specifiers (DfT) and Train Operating Companies (TOCs)

Minimum Aspirational Frequency

INTERCITY	2 TPH	URBAN	4-6 TPH
REGIONAL	1+ TPH	LOCAL	1 TPH

Intercity Routes have been defined as direct services between National-National hubs. This includes services which connect two out-boundary National Hubs and serve an in-boundary Regional hub. We have distinctly avoided the use of London in this conditional output: stakeholder feedback indicates that the focus on London journey times has been a significant contributing factor to the erosion of regional connectivity in the area. Decoupling from London will allow the region's strategic attention to be focussed on routes and corridors in the Gateway (even though it is clear that many services originate from or terminate there).

INTERCITY MINIMUM ASPIRATIONAL FREQUENCY – 2 TPH	CURRENT FREQUENCY	GAP
Weston-Super-Mare — Bristol — Swindon — Reading	2 indirect, selected direct	2
Exeter — Westbury — Reading	0.5 direct + 0.5 indirect	1.5
Cardiff — Gloucester — Cheltenham — Birmingham	1 direct + 2 indirect	1
Cardiff — Bristol Parkway — Swindon — Reading	1 direct + 1 indirect	1
Cardiff — Bristol — Bath — Westbury — Salisbury — Southampton	1	1
Bournemouth — Southampton — Birmingham*	1	1
Exeter — Yeovil — Salisbury — Basingstoke	1	1
Exeter — Taunton — Bristol — Cheltenham — Birmingham	1	1
Bristol — Bath — Chippenham — Swindon — Reading	2	0
Bristol — Bristol Parkway — Swindon — Reading	2	0
Bristol — Cheltenham — Birmingham	2	0

*2tph to Southampton in the short term with a longer-term aspiration to extend to Bournemouth.

Regional Routes have been defined as direct services between Regional-Regional hubs where at least one hub is inside the Western Gateway boundary. It has been noted in the table below that some of these routes have a minimum aspirational frequency of 2tph and some of these routes should have their timetabling irregularities resolved. It is considered that a barrier to modal shift is the inconsistent service pattern and a more clock-face design would support modal shift.

REGIONAL MINIMUM ASPIRATIONAL FREQUENCY – 1+ TPH	CURRENT FREQUENCY	GAP
Exeter — Weston-Super-Mare	1 indirect	1
Westbury — Chippenham	0.5	0.5
Westbury — Taunton	0.5 irregular	0.5
Westbury — Reading	0.5 irregular	0.5
Weymouth — Yeovil — Westbury — Bath — Bristol	0.5 irregular	0.5
Gloucester — Cheltenham — Worcester Shrub Hill	0.5 + 1 indirect	0.5
Bristol — Weston-Super-Mare (semi-fast, not Intercity)	1	0
Weymouth — Poole — Bournemouth — Southampton*	2	0
Salisbury — Southampton	1	0
Cheltenham/Gloucester — Swindon — Reading <i>Aspirational frequency of 2tph by way of a second direct hourly service</i>	1 direct + 1 indirect	0
Bristol — Gloucester <i>Aspirational frequency of 2tph by way of a second direct hourly service</i>	1 direct + 1 indirect	0
Westbury — Salisbury <i>Timetable irregularity to be prioritised in next timetable planning process</i>	2 irregular	0

*This represents the fast/semi-fast services and this route is complemented by the Urban services across the Dorset and BCP route as described below. While no gap has been identified here, the Dorset CMSP is considering whether an increase to this service frequency is viable.

Urban Routes have been defined as metro-style services which connect local stations in urban and peri-urban areas around a regional or national hub inside the Western Gateway boundary. The aspirational frequency is across the core metro area and the detailed stopping patterns are subject to feasibility analysis by NR and their CMSP process according to infrastructure constraints and timetable planning rules. The table below provides frequencies of disaggregated lines in the Bristol area based on MetroWest aspirations (which cumulate in the core line) and an aggregated aspirational frequency for the Dorset area.

URBAN MINIMUM ASPIRATIONAL FREQUENCY: 4-6 TPH	CURRENT FREQUENCY	GAP
Wareham ⇌ Brockenhurst (<i>Dorset Metro</i>) <i>Aspirational frequency 6tph across route (at most stations)</i>	1-3 Lower at local hubs	min 3
Bristol ⇌ Portishead (<i>MetroWest Phase 1</i>) <i>Aspirational frequency 2tph</i>	0	2
Bristol ⇌ Severn Beach (<i>MetroWest Phase 1</i>) <i>Aspirational frequency 1tph to Severn Beach</i> <i>Aspirational frequency 2tph to Avonmouth</i>	0.5 to Severn Beach 1.5 to Avonmouth	0.5 0.5
Bristol ⇌ Weston-Super-Mare Stopper Service* <i>Aspirational frequency 2tph</i>	1	1
Bristol ⇌ Weston Super Mare Stopper Service (<i>MetroWest Phase 1</i>) <i>Aspirational frequency 2tph</i>	1	1
Bristol ⇌ Yate ⇌ Gloucester (<i>MetroWest Phase 2</i>) <i>Aspirational frequency 2tph</i>	1	1
Bristol ⇌ Henbury (<i>MetroWest Phase 2</i>) <i>Aspirational frequency 1tph</i>	0	1

*Bristol to Weston Super Mare is already 2tph when including the fast services.

Local Routes have been defined as direct services between Regional-Local hubs or Local-Local hubs where at least one hub is inside the Western Gateway boundary, but the route falls outside the metro areas described above. Many of the local connectivity concerns are based on timetabling irregularities as a barrier to modal shift and priority should be given to restoring timetable consistency.

LOCAL MINIMUM ASPIRATIONAL FREQUENCY – 1 TPH	CURRENT FREQUENCY	GAP
Swanage ⇌ Wareham ⇌ Bournemouth	0	1 (long term aspiration 2)
Salisbury ⇌ Romsey calling at all stations	1	0
Castle Cary ⇌ Westbury	2-hour gaps and 2 in an hour	0 but timetabling consistency

CO C2 Interchange

What?

Minimum and maximum interchange time at stations on hub-to-hub routes

Why?

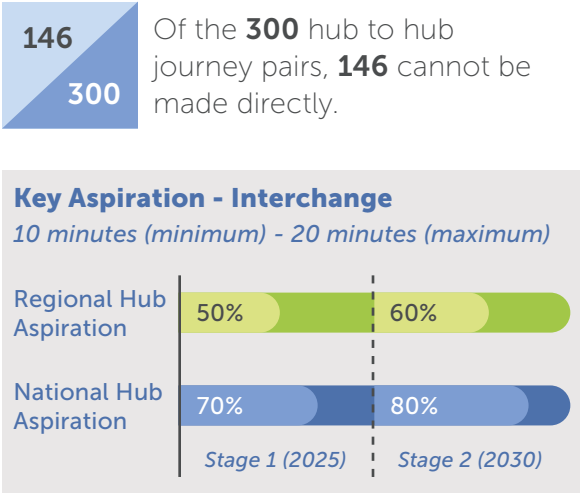
A key stakeholder concern involves long wait times at some interchange stations where direct journeys are not available, and passengers are required to change trains. In general, an optimum connection time appears to be no less than 10 minutes and no more than 20 minutes to allow achievable connections without an impact on journey times (recognising the large weighting applied to wait time by passengers in business case development).

Governance / Delivery

Collaboration between Operational Solutions Taskforce and the Stations & Access to Strategic Planning Taskforce

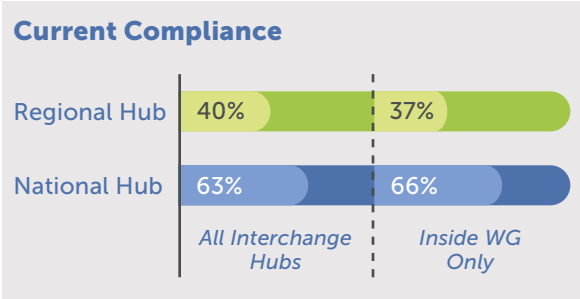
This conditional output will be supported by an increase in Frequency, an improvement in Performance and the development of new direct services

Targets



Gap Analysis

Many journeys within and across the Western Gateway require interchange at hubs outside the Gateway (especially Reading, Didcot, Swindon, Yeovil, Southampton Central).



CO C3 Performance

What?

An improvement in Right Time arrivals and an increase in customer satisfaction regarding performance

Why?

Performance is one of the most important factors in passenger choice making and the level of confidence that users have in rail as a mode. Traditionally, performance monitoring and management has been isolated to rail industry bodies however there exists an opportunity for local authorities to be more closely aligned to the process (even if the delivery remains largely with those bodies). The emphasis in this output will be performance at every stop of every service, not simply at the destination, which mirrors the industry's recent move away from the Public Performance Measure (PPM) towards Right Time, T-3 and T-5 metrics. This also then facilitates interchange (rather than just measuring punctuality at service destination).

Governance / Delivery

Future Ready & Resilience Taskforce

Performance is variable across the Western Gateway area across the three main TOCs: the inconsistency instills distrust in the network and therefore is a barrier to mode choice. The charts on **Page 14** indicate current Performance levels.

Targets

The monitoring of performance will be part of the responsibilities of a Future Ready & Resilience Taskforce, through which nominated representatives from Western Gateway can work collaboratively with rail industry partners to influence performance improvement measures. Through engagement during the strategy development process, the setting of quantifiable performance targets was deemed unsuitable and risks conflicting with existing industry metrics and contracted benchmarks: the productive way forward is the monitor and influence performance measures where possible based on observed delay causes and the subsequent recovery process.

An initial action within this Taskforce would be the development of an action plan which includes dates and aspirations, for example commissioning a study to further identify possible infrastructure interventions or establishing a detailed analysis of delay causes and their hotspots on a recurring basis.



CO C4

Extended Timetable

What?

Improved evening, morning and weekend service times and frequencies

Why?

Travel habits have changed, and there is an ever-growing demand for evening and weekend discretionary travel for leisure purposes, as well as serving the wider-ranging and more flexible working hours.

Stakeholders have expressed the need for both earlier and later running of services, and improved frequencies at weekends. The purpose of this CO is to make train services available at times when passengers wish to travel, and to support the evening and weekend economy by improving train services at these times.

Governance / Delivery

Future Ready & Resilience Taskforce

Gap Analysis

Service Type	Latest first service arrival at Hub station	Earliest last service departure from Hub station
Time at Hub	07:00 (09:00 on Sundays)	23:00

Current	Weekday + Saturday	Sunday
Latest Arrival	33% ¹	21%
Earliest Departure	31%	20%

¹For clarity: on 33% of all National to National hub or Regional to National hub flows where at least one of these hubs is within the Western Gateway, you can reach the destination hub by 07:00 on a weekday and Saturday.

Targets

The main barrier to extending a timetable is its impact on essential engineering works which Network Rail perform during the evening and weekend hours. The extension of a timetable runs the risk of further squeezing an already constrained window to deliver an ambitious pipeline of improvements. Furthermore, constraining engineering time can impact the delivery of some of the other interventions and associated improvements identified in the conditional outputs as part of this strategy. We appreciate that this would necessitate a review of the Engineering Access Statement (EAS) between the TOCs and Network Rail. Beyond engineering access, fleet maintenance cycles and traincrew diagramming will be impacted by an expanded timetable and the increase in cost that this will entail.

As such, we recommend that delivery of this CO is in part included in the remit of the Future Ready & Resilience Taskforce. This will facilitate discussions regarding the correct balance between provision of services for passengers and the essential maintenance and renewal work required to retain resilience of the network.

CO C5

Direct Services

What?

Increased number of direct passenger services through Hub stations

Why?

Direct, inter-regional connectivity is at the essence of this strategy. The improvement that this CO will drive is linked to supporting the delivery of C2 Interchange because increasing direct services will reduce the requirement for passengers to change trains. The purpose of the CO is to improve the attractiveness of rail by reducing the number of interchanges required to make a journey, increasing the range of destinations available without changing train, or by changing train only once.

Governance / Delivery

Strategic Planning Taskforce alongside Service Specifiers (DfT) and Train Operating Companies (TOCs)

This conditional output is closely linked with C1 Frequency (where this was calculated based on existing direct services) and C2 Interchange (as the increase in direct services reduces the disbenefit experienced by having to change trains). Based on the 25 National, Regional and Other Hubs we are considering in this strategy, there are 131 Origin-Destination (O-D) pairs (excluding Out-to-Out boundary links) that have direct services, and 99 O-D pairs where at least one interchange is required: [see Direct Service Matrix on Page 10]. We have set a threshold of a minimum of 4 services a day for it to be classed as a direct service. We have considered the two Yeovil stations separately in this analysis.

Targets

Category	Suggested routes to investigate
Category A1 <i>(New direct services that connect at least one National Hub)</i>	Bath Spa — Taunton — Exeter Salisbury — Reading Bristol Temple Meads — Chippenham — Swindon — Oxford Southampton — Salisbury — Westbury — Swindon — Oxford Bath Spa — Birmingham (Cardiff/Malvern) — Bristol — Portsmouth — Brighton
Category A2 <i>(New direct services that connect Regional hubs)</i>	Chippenham — Gloucester/Cheltenham Spa Chippenham — Salisbury Chippenham — Castle Cary — Yeovil — Taunton Weston-super-Mare — Bath Spa — Westbury/Chippenham Weston-super-Mare — Gloucester Gloucester — Taunton
Category B <i>(Direct service options which could also be achieved through interchange improvements)</i>	Poole — Bournemouth — Salisbury <i>(interchange improvements at Southampton Central, will require working together with TfSE and NR Wessex)</i> Bournemouth — Poole — Yeovil — Castle Cary/Westbury — Bath — Bristol <i>(interchange at Weymouth paired with regularised Heart of Wessex Line service)</i> Weymouth — Salisbury <i>(interchange improvements at Southampton Central, will require working together with TfSE and NR Wessex)</i> Salisbury — Birmingham <i>(service and interchange improvements at Reading or Basingstoke, will require working together with TfSE and NR)</i> Westbury — Birmingham <i>(service and interchange improvements at Reading, Swindon or Bristol, could be part of Salisbury – Birmingham service or extension of Chippenham – Cheltenham listed above)</i>
Category C <i>(Direct service options which will require infrastructure investment)</i>	Bournemouth — Poole — Yeovil — Exeter <i>May be better achieved through interchange improvements at Weymouth to a regularised Heart of Wessex Line service (but would also require infrastructure interventions)</i> Weymouth — Exeter <i>May be better achieved through a regularised Heart of Wessex Line service (but would also require the infrastructure interventions)</i>

CO C6 Freight Capacity

What?

Enabling sufficient capacity and access to the network for freight services to allow existing and new markets to develop.

Why?

Enabling sufficient capacity and access to the network for freight services to allow existing and new markets to develop. Rail freight is often de-prioritised in capacity planning, and this detracts from the benefits that rail freight can offer to freight customers over road-haulage. By making sufficient capacity on the rail network available, this will increase the attractiveness of rail to freight customers, thereby enabling a transfer of goods from road to rail. The purpose is to increase choice for freight shippers by making rail a viable alternative for more journeys.

Governance / Delivery

Freight Taskforce

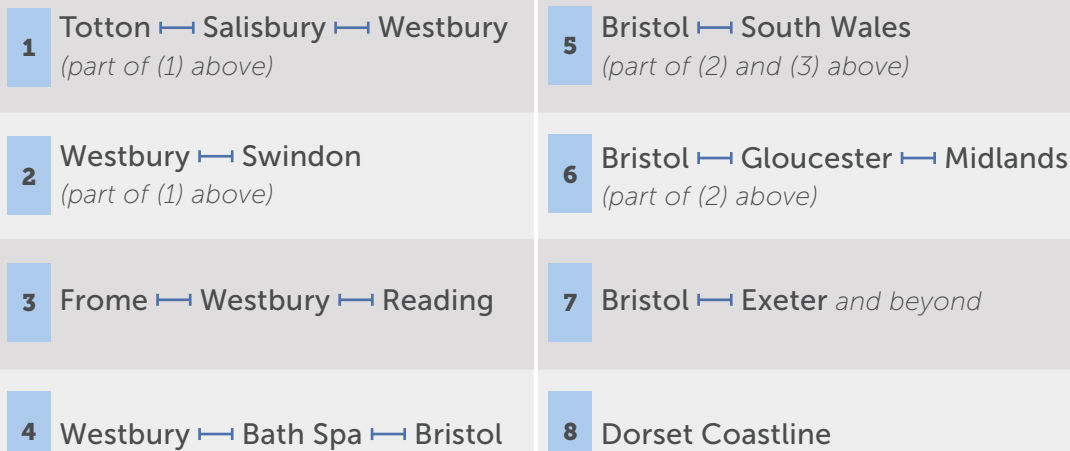
Targets

Conditional Output C6 will be measured against an aspirational service pattern on 8 key routes serving freight transport in Western Gateway, some of which are part of the three national strategic freight routes. These are listed to the right and shown on the map on the next page.

Three national strategic freight routes:



Key routes in Western Gateway:



We have divided these 8 routes into Primary and Secondary routes based on their importance to the Western Gateway freight market which is driven by Aggregates from the Mendips quarries (near Frome) and activity around the Bristol and Avonmouth ports. Less of an emphasis has been placed on the Southampton to West Midlands strategic freight route as this does not play as large a contribution in serving Western Gateway specifically, and improvements to it are being considered by NR and others.

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Route Grading	Routes Included	Frequency
Primary	3 4 5 6	16 paths per day
Secondary	1 2 7 8	4 or 5 paths per day

In order to better understand the freight market and build collaborative relationships with customers and operators, we recommend the establishment of a Freight Taskforce to take this aspect of the strategy forward. A key first action for this group is to commission and deliver a freight market study. For this CO, it will need to include the detailed gap analysis as described above.



Theme 2 | Decarbonisation

OBJECTIVE

To enable rail to contribute more actively towards the decarbonisation of the Western Gateway

The **Decarbonisation** theme acknowledges that rail will be a positive contributor to the Climate Change Emergency, Net Zero targets and the national decarbonisation agenda. This theme is important in the Western Gateway because most transport in the area uses combustion engine road vehicles. Successful delivery of this objective will reduce emissions and improve air quality, while also reducing railway operational costs.

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PRIORITY	DESCRIPTION
Identify ways to reduce the carbon emissions per passenger of rail journeys on diesel rolling stock	The contribution that burning diesel fuel makes to climate change is now recognised, and as such this priority focuses on how to reduce the carbon footprint of rail – in this instance by better utilising each litre of diesel burnt (where diesel is the only choice of fuel available). This is addressed with COs D1 and D2.
Identify alternatives to diesel rolling stock including priorities for electrification	Accepting that it will not be possible to electrify every line and / or replace every diesel train with a net-zero alternative, electrification remains the best way to decarbonise the rail network. This can be supported by proactively pursuing other fuel choices, where hydrogen and battery-powered are all becoming viable options. This is addressed by CO D1.
Identify ways in which more freight can be transported by rail rather than road, in particular to deep sea ports	Road freight transport has a significant carbon footprint, and rail can make a major contribution to reducing that. Understanding the future freight market – both existing and potential, will allow this contribution to be unlocked. This is addressed by COs D3 and D4.

CONDITIONAL OUTPUT

D1 – Carbon Emissions

Reduce “at source” carbon emissions to zero

D2 – Carbon Footprint

Reduce carbon footprint by increasing load factor of underutilised services

D3 – Freight Growth

An increase in rail freight in existing markets

D4 – Freight Capture

An increase in rail freight by development of new markets

CO D1 Carbon Emissions

What?

Reduce “at source” carbon emissions to zero

Why?

The rail sector must meet Net Zero ambitions, and rolling stock, infrastructure and technology choices will dictate the majority of the direct emissions from railway operations.

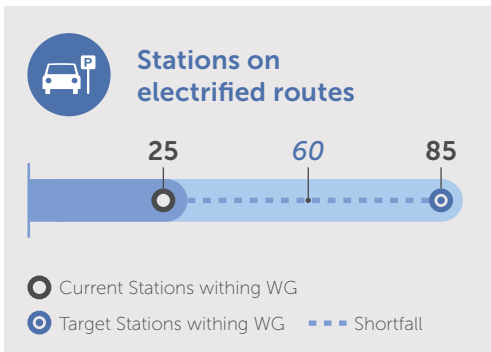
Governance / Delivery

Future Ready & Resilience Task Force

Targets

Type of Provision	How provided / measured?
Decarbonise rail infrastructure	100% of WG stations to be electrified and/or zero-emissions routes; delivery timing in line with the Network Rail Traction Decarbonisation Network Strategy. NR strategy and TOC strategies for local power generation/storage, i.e. solar and wind, as well as purchasing and supply agreements with utility providers, for station and office buildings.
Decarbonise fleets	Plans for fleet and plant trains to transition to zero-emissions-at-source technology, such as overhead line/third rail supply, hydrogen, battery, etc. Convert maintenance vehicles to electric vehicle technology
Decarbonise processes	Target embedded carbon across processes, procurement, projects and waste management
Decarbonise supply chain	Set and measure carbon targets within franchises and procurements; co-develop emissions reduction innovations in-life with suppliers, with shared incentives

Gap Analysis



Traction Decarbonisation Network Strategy (TDNS)

Network Rail published their TDNS in September 2020 which has identified for all lines across the UK where electrification, battery or hydrogen power could be used. A significant number of routes throughout the Western Gateway are non-electrified and TDNS has identified widescale electrification of these lines, with some lines identified for battery-powered trains. These can be seen on the map on the next page. This will support Western Gateway in identifying interventions to pursue alongside Network Rail and CMSP processes across the region.

Network Rail classified routes as being either **single** option or **multiple** option based on the characteristics of the route and the capabilities of the traction options (for example suitability of route length for battery or hydrogen).

*Future traction options based on
Network Rail Traction Decarbonisation
Network Strategy (TDNS)*



CO D2 Carbon Footprint

What?

Reduce carbon footprint by increasing load factor of underutilised services

Why?

CO D1 partially reduces the carbon footprint per passenger from a supply perspective, whereas this CO addresses the demand aspects of the carbon footprint of the rail network.

Patterns (and cost) of peak and off-peak flows, and some service routes, mean that some trains on the network operate at low capacity at certain times of day, whilst others are overcrowded. By balancing out this distribution of passengers or filling empty passenger services with other things that need to be transported round the network, the overall carbon footprint per passenger could be reduced. This needs to be balanced alongside future demand projections established through the CMSP process.

Governance / Delivery

Freight Taskforce and the Future Ready & Resilience Task Force

Targets

More even distribution of load factor on-board trains across the day

Increased revenue for passenger operators from new sources where space on trains is taken up by high value, low density goods being transported to towns and city centres

Reduction in road-based delivery traffic servicing city centre locations, to be replaced by innovative First Mile / Last Mile delivery services and centrally-based parcel pick-up locations (e.g. Amazon Lockers).

Gap Analysis

From a passenger perspective, many TOCs have applied fare incentives to distribute loads more evenly, with reduced off-peak advance fares. This has seen variable levels of success, including examples where some off-peak services on the West Coast mainline are the most overcrowded.

In terms of freight, there are several pilot schemes in operation at the present time, including:

- April 2020: GB Railfreight used 200kg parcel cages on Class 319 trains to deliver NHS supplies into Euston Station;
- The Rail Operating Group is developing the Orion service to use converted passenger rolling stock and integrated first mile/last mile logistics services for freight deliveries which are emissions-free at point of use;
- InterCity RailFreight are currently operating some micro-freight consolidation projects and freight goods on passenger trains on East Midlands Railway and Great Western Railway; and
- iPort Rail is innovating the logistics and first mile/last mile arrangements to fill unused spaces on existing freight trains; this helps new customers with small volumes to achieve modal shift.

All of these pilot schemes are established on the concept of re-purposing passenger trains for freight use, allowing freight services to behave like passenger trains for timetable planning purposes.

CO D3 Freight Growth

What?

An increase in rail freight in existing markets

Why?

Building on CO C6 (Freight Capacity), this CO needs to consider additional aspects to enable more freight from existing markets to be transported by rail. It needs to identify and remove other barriers to the growth of rail freight, thus reducing the carbon footprint of freight.

Governance / Delivery

Freight Taskforce

Targets

Increased proportion of total freight transported to, from and within Western Gateway by rail

Increased volumes of key commodities transported by rail to, from and within Western Gateway; and

Increased usage of freight paths on the rail network.

Gap Analysis

The baseline for freight will need to be determined by a Freight Market Study which should include improving the understanding of what goods are currently transported by rail to and from WG, and what the potential to grow these markets is. This study should seek to complement Network Rail's Freight Market Study and Network Rail's and Highway England's Freight Strategy and targets, by developing a better understanding of the components of the freight market specific to WG. This would include land use considerations to support rail freight viability and consideration of specific sites across WG that have rail freight potential.



CO D4 Freight Capture

What?

An increase in rail freight through development of new markets

Why?

In addition to the markets traditionally served by rail ('heavy haul' such as coal, aggregates and steel, container goods such as automotive), there is opportunity to expand rail freight into new markets. Some specific examples where rail has the potential to play a greater role is in long distance movement of bulk retail goods between freight distribution centres, and also better penetration into large urban centres for high value, low density goods (e.g. parcel deliveries) that can then take advantage of a more sustainable First Mile / Last Mile choice.

Governance / Delivery

Freight Taskforce

Targets

Proposed target measures for this new initiative include:

- Net increase in the number of different commodity sectors transported by rail by 2030
- Improved collaboration between potential freight customers to allow shared freight services / paths across different commodity types / customers
- Increased use of rail distribution centres and warehouses
- Reduction in road-based delivery traffic servicing city centre locations, to be replaced by innovative First Mile / Last Mile delivery services and centrally-based parcel pick-up locations (e.g. Doddle / Amazon Lockers).

Gap Analysis

The Freight Market Study will need to capture the extent of freight movements within the Western Gateway. Significant existing road freight flows that have potential for modal shift include:

- Urban/local movements (First Mile / Last Mile) servicing towns and cities within the area, for both commercial (B2B) customers and for consumers (B2C).
- Regional movements within the area and also into South Wales for Newport/Cardiff and beyond, serviced from distribution centres in Western Gateway.
- Strategic national/international movements, including trips generated within the area as origin/destination and those which travel through the area on longer distance movements to/from other regions, including further South West into the Peninsula area, as well as those heading to the Midlands, North and beyond.
- Flows to/from London and to/from South Wales and onwards via ferry into the Republic of Ireland (RoI) as the M4 corridor acts as a landbridge for RoI traffic to/from continental Europe).

This CO links directly to CO D2, and should consider the re-purposing of passenger trains to provide freight capacity on off-peak commuter services, right into the heart of the area's towns and cities, reducing the local and regional reliance on road freight trips within urban areas.



Theme 3 | Social Mobility

OBJECTIVE

To provide equal journey opportunities by rail for all Western Gateway residents

The **Social Mobility** theme focusses specifically on addressing the needs of the remote, less connected and/or deprived parts of the Western Gateway, with the priorities set to unlock access to rail in its widest sense – physical, social and financial. The target is to make rail an integral part of connecting those remote and often deprived communities. Successful delivery of this objective will lead to a rebalancing of the regional economy, providing equal opportunities to all Western Gateway residents.

PRIORITY	DESCRIPTION
Improve multi-modal interchange to rail through improving access to stations by car, bus and active modes	For rail to be successful, it needs to be part of a sustainable transport network. Stakeholders told us that in some parts of WG, particularly where access to rail is dependent upon good bus links, this connectivity is poor or absent at present. This is addressed by CO M1 and M2.
The question of accessibility within stations for all users is addressed through CO M6, in order that barriers (perceived or real) are removed.	There are large parts of WG that are rural and remote, and/or without access to rail. These parts of WG are also often the more deprived areas that are in need of the economic growth that rail connectivity can bring. As well as addressing this priority through CO M1 and M2, we have also included M3 which will consider penetration of rail to a wider geography.
Make rail travel more affordable through fares management and incentives	The perception of rail is that fares are too expensive and unfair as it is difficult to find discounted fares. Ticket prices, particularly at peak make rail uncompetitive with car travel, and also unaffordable to the deprived parts of society. We address fares and ticketing solutions through COs M4 and M5.

CONDITIONAL OUTPUT

M1 – Station Access

Improvements to car and active modes access to stations, including safety, routing, signposting and parking

M2 – Modal Integration

Integration of sustainable modes through alignment of bus and rail timetables / maximise bus to rail interchange

M3 – Regional Catchment

Uplift in % population within rail catchment

M4 – Fares Influence

Transparent, flexible and affordable fares structure or other financial incentives (push / pull)

M5 – Ticketing Solutions

Multi-modal ticketing that encourages sustainable end-to-end journeys, including Mobility as a Service (MaaS)

M6 – Accessibility

All stations in Western Gateway fully accessible

CO M1 Station Access

What?

Improvements to car and active modes access to stations, including safety, routing, signposting and parking.

Why?

To drive modal shift and promote rail as an integral part of a sustainable transport network, passengers need to feel that they are able to get to their local stations quickly and safely, and be confident that when they get there, space will be available for car or cycle parking.

Governance / Delivery

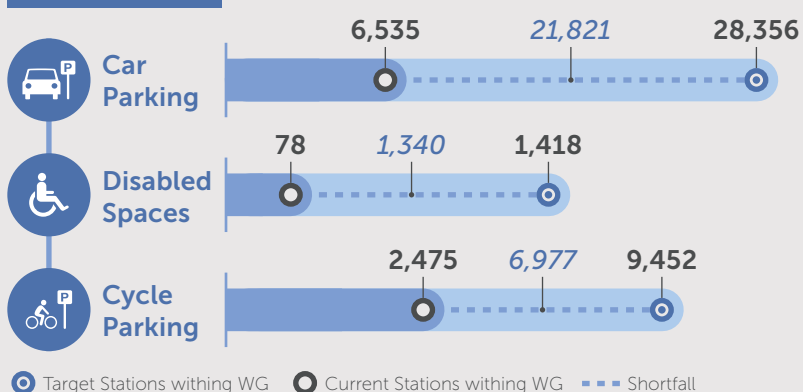
Stations & Access to Rail Taskforce

Targets

TYPE OF PROVISION	% DAILY STATION USERS PROVIDED FOR		
	National Hubs	Regional Hubs	Local Hubs
Car Parking	5%	15%	10%
Cycle Parking	7.5%	7.5%	7.5%
Disabled Parking (including Wide Spaces)	10% of total car parking provision (as specified in DfT Design Standards for Accessible Railway Stations – A Code of Practice)		
EV Charging Points	5% of total car parking provision, but can be linked with disabled spaces		

TYPE OF PROVISION	HOW PROVIDED / MEASURE?
Access and Signposting	100% compliance with DfT Design Standards for Accessible Railway Stations – A Code of Practice
Wayfinding	All stations have a physical and digital wayfinding strategy as part of a wider Station Travel Plan
Safety	A reduction in road traffic collisions close on station approaches
Security	A reduction in reported crimes on station approaches

Gap Analysis



CO M2 Modal Integration**What?**

Integration of sustainable modes through alignment of bus and rail timetables / maximise bus to rail interchange

Why?

To drive modal shift and promote rail as an integral part of a sustainable transport network, passengers using local bus services to connect to rail need to be confident that the interchange between the two modes (in both directions) will be comfortable and tolerable. This needs to include consideration of proximity of bus stops to the rail station, as well as mode to mode wait time.

Governance / Delivery

Stations & Access to Rail Taskforce

Targets

Type of Provision	Measures
Local bus services connecting Regional Hub Local Hub stations to non-rail connected places	Bus services timetabled to allow train-to-bus and bus-to-train with wait for second service of 15 to 20 minutes, Monday-Saturday daytime, every 30 minutes at other times
Bus stops for local bus services close to station	Bus services timetabled to allow train-to-bus and bus-to-train with wait for second service of 15 to 20 minutes, Monday-Saturday daytime, every 30 minutes at other times Bus stops with local services are within 200m of station entrance and on a step-free route
Connectivity by sustainable transport modes	End-to-end journey times by sustainable modes (bus+rail) from towns without stations to key regional destinations are competitive with private car

Gap Analysis

Experience of multi-modal integration in Western Gateway is mixed. There are some exemplar bus services that connect well with rail, but equally a range of bus and rail services without integrated timetables and where bus stops are currently located too far away from stations, or where buses to key destinations do not call at bus stops which are located close to rail stations.

CO M3 Regional Catchment**What?**

Uplift in % population within rail catchment

Why?

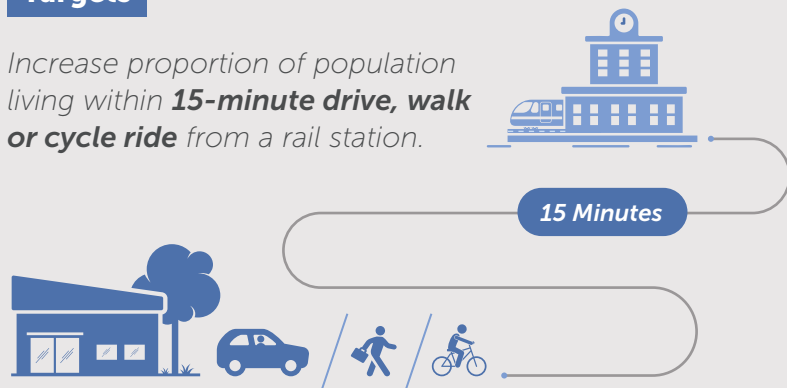
Increasing the proportion of the population living within the catchment of a rail station (e.g. within 15 minutes travel time by their chosen mode) is likely to be a contributory factor in whether that population will choose to use rail as part of their end-to-end journey. There are two obvious ways to achieve this CO – by shortening journey times to the station or creating new stations with new catchments.

Governance / Delivery

Stations & Access to Rail Taskforce

Targets

Increase proportion of population living within **15-minute drive, walk or cycle ride** from a rail station.

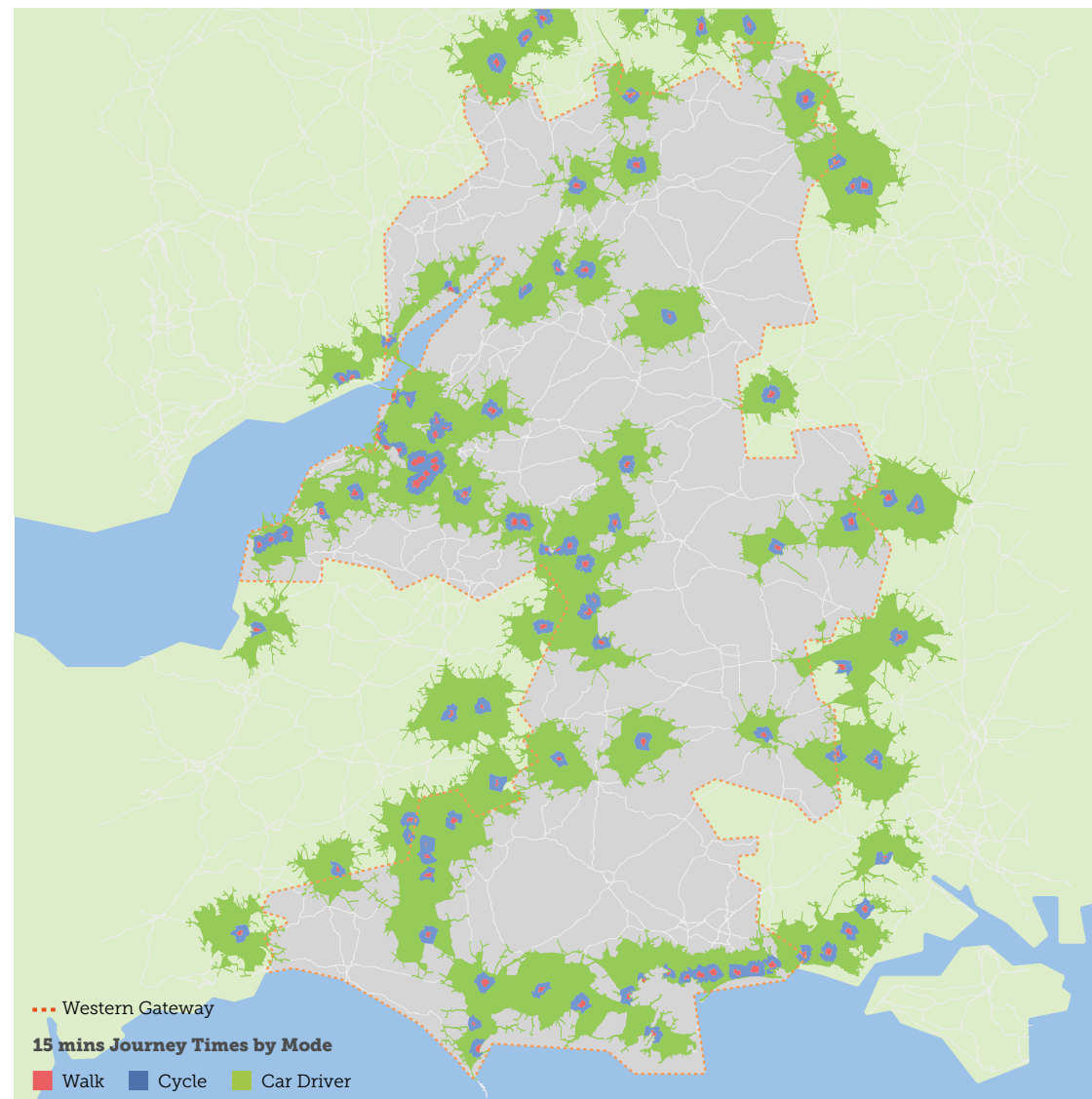


Gap Analysis

There are large centres of population in Western Gateway without easy access to rail, although the relationship between proximity to a station and rail usage is not a simple linear one.

The DfT's Restoring Your Railway Fund is recognition of the importance that rural rail connectivity plays in Social Mobility, and a number of Western Gateway 'Ideas' have been put forward to better connect places including Devises, Shepton Mallet, Radstock, Cirencester, Swanage and Wootton Bassett by rail.

The map on the right shows the 15 minute walk, cycle and car drive times from each station on the network, highlighting the significant gaps in coverage.



CO M4 Fares Influence

What?

Transparent, flexible and affordable fares structure or other financial incentives (push / pull)

Why?

The fares structure of the UK Rail Industry is notoriously complex and is full of restrictions and regulations. Changes to fares and pricing primarily occurs during franchise competitions and rarely in-life of a franchise with the exception of promotional (often Advance) fares, and the interaction is typically between TOC, DfT and ORR. There is an opportunity to bring the Local Authority on board with fares discussions and leverage as much influence that can be afforded. This primarily involves multimodality, and looking beyond the rail network in isolation but integrating it to enable rail to be used as part of a wider journey.

Feedback from Passenger Focus suggests that many passengers do not feel that they get Value for Money from the fares they pay. With changing travel habits, season tickets in their traditional form no longer offer a better value alternative. As a consequence, potential passengers will choose car travel in preference. Furthermore, a specific issue in Western Gateway is that season tickets to London are disproportionately cheap compared to a peak return fare, which drives a bias towards London rather than regionally-based businesses.

Governance / Delivery

Digital Solutions Taskforce

Targets

Alongside the ongoing industry-wide Fares Reform, the role of Western Gateway is to influence decisions regarding both the affordability of fares and a framework within which multi-modal ticketing can be facilitated as part of a value for money offer. The fitness-for-purpose of fares will only be achieved if Western Gateway, TOCs (with the Rail Delivery Group), Local Authorities, the DfT and the ORR work together to identify where fares are the barrier to rail being the main mode of choice. This includes looking for multi-modal integration, notably with the regional and urban bus networks, but also first-mile last-mile integration such as car or bike sharing solutions.

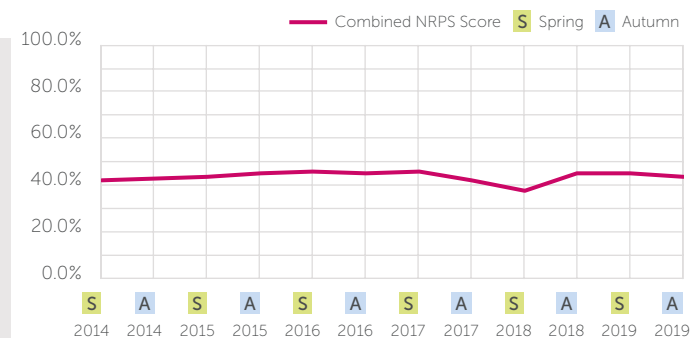
The best way of measuring progress against this CO is using NRPS data:

By 2050 50% Satisfaction

By 2030 60% Satisfaction

Gap Analysis

National Rail Passenger Survey (NRPS) results for the Value for money of price of ticket metric for the last 6 years (2014-2019) indicates that the highest satisfaction score in any wave was 45%.



For this, we have combined the most applicable service grouping for the three train operators of the Western Gateway, being GWR Long Distance, SWR Long Distance and CrossCountry South.

CO M5 Ticketing Solutions

What?

Multi-modal ticketing that encourages sustainable end-to-end journeys, including Mobility as a Service (MaaS)

Why?

In addition to challenges about fares as previously described, members of the public are not incentivised to link different modes together with multi-modal tickets. Journey planning has to be done by mode, making it all too easy to take the most convenient option, which in Western Gateway will, more often than not, be road vehicle (private car or taxi). End-to-end journey planning and ticketing (including future mobility considerations such as Bike Hire or Car Sharing) has the potential to change habits.

Governance / Delivery

Digital Solutions Taskforce

Targets

The following factors are a key consideration to drive the desirable standards below:

- Introduction of end-to-end journey planning
- Smart Ticketing schemes, e.g. in Greater Bristol and BCP
- E-ticket capability
- Through ticketing capability across modes
- Contactless pay-as-you-go capabilities across modes
- Uplift in sustainable mode usage and offerings at/near stations

The desirable standards for this conditional output are based on low barriers for both the journey planning and ticketing experiences - One Ticket One App maximum - being:

CRITERIA / MEASURE

PROPOSED TARGET

Tickets required for door-to-door journey

Up to one ticket required for journey (ticketless journey also possible)

Sources of information required for journey planning

Up to one app/service required for journey planning

Gap Analysis

Ticketing solutions currently struggle to achieve full potential in attracting increased demand due to the wide range of alternatives that are available throughout the UK without a definitive solution. Customers are no longer happy with resigning themselves to a range of average services and want an app tailored personally to their requirements.

This conditional output will need to be met with a range of aspirations which are yet to deliver a solution to provide a simple yet intuitive, user friendly resolution to provide combined tickets across a range of multi-modal transport. The barrier to achieving the target of a shift of customers to One Ticket One App is in part due to the large numbers of operators – both rail and other modes, each of which has its own commercial model and ticketing process.

There are a handful of ticketing schemes already in development within Western Gateway. These include PlusBus in a number of towns and cities, and the Freedom Travel Pass in Swindon and Wiltshire. An early action will be to gather information on all such schemes and assess their success. Longer-term, applying Mobility as a Service Solutions and multi-modal Digital Ticketing across WG will be the objective.

CO M6 Accessibility

What?

All stations in Western Gateway fully accessible, in line with the definition of Accessibility

Why?

There are still a number of stations on the Western Gateway rail network that are non-compliant with national and European Accessibility standards and present a challenging and sometimes threatening environment to those with physical and / or hidden disabilities. These individuals are disadvantaged and will often choose a different mode of travel (or not to travel at all, leading to isolation).

Governance / Delivery

Stations & Access to Rail Taskforce

Targets

This CO will be measured by the number of stations made accessible over the next 10 years, with a target of **100% compliance by 2030**. Each station should hold a record of rail registered disabled passengers which should increase over time once the stations become compliant with national and European Accessibility standards.

CRITERIA / MEASURE

Accessible stations – step-free access, appropriate ramps, audio-visual information, accessible ticket windows etc

Accessible stations

PROPOSED TARGET

100% compliance with DfT Design Standards for Accessible Railway Stations – A Code of Practice

Increase in rail use by people with registered disabilities above general increase in passenger numbers

Gap Analysis

Using data from National Rail Enquiries (extracted May 2020) there is a shortfall of accessible facilities at a number of stations, with only 21 of the 70 stations meeting all the criteria required to be classified as accessible. This includes:



Stations with step-free access to platforms | 62¹



Customer Help Points | 69



Stations with platform-to-train access ramps | 45



Staff Assistance available | 28



Stations with accessible ticket facility (adjustable height counter/window or TVM) | 44

¹Out of which only 16 are fully compliant with standards

It is equally as important to cater for individuals who have hidden disabilities. Sunflower branded lanyards have been introduced on many parts of the rail network as a means of identifying passengers with hidden disabilities, including by Western Gateway TOCs.

Theme 4 | Productivity

OBJECTIVE

To enable rail to contribute more actively to improvements in productivity across the Western Gateway

Productivity was found to be a key policy consideration and the core message from the Industrial Strategy. Statistics have strongly suggested that the Western Gateway area is much less productive in comparison to most regions outside of London and the South East, which is in part driven by poor transport connectivity.

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PRIORITY	DESCRIPTION
Improve rail journey times / speeds to make rail competitive with the equivalent road journey	Extended journey times between economic hubs is a detractor from productivity. There are several examples of slow speeds and long generalised journey times across WG, as detailed in P1 below.
Provide improved rail connectivity (passenger and freight) to international gateways – airports and ports	There are limited international gateways within WG, and those that do exist are poorly connected by rail, whether this is direct services for passengers (P3), or route capability for freight (P4). International gateways unlock both international trade and tourism, both of which are important to economic growth and productivity in WG.
Improve strategic connectivity with cross-border economic hubs	Aside from Bristol, the economic hubs in WG would not be considered to have status nationally. As such, the ability for WG businesses and residents to be connected with nationally significant hubs such as London, Birmingham and Southampton is important for productivity uplift. As well as journey time being an important part of this (P1), the ability to use time productively during a journey to cross-border hubs is important (P2).

CONDITIONAL OUTPUT

P1 – Journey Speed

Journey speeds appropriate for each corridor / catchment type and usage patterns

P2 – On-Board Productivity

On-board capacity and facilities to enable productivity and match demand into economic centres and employment hubs (including cross-border)

P3 – International Gateways

Improving passenger connectivity to International Gateways within and close to Western Gateway

P4 – Freight Capability

Freight capability to ports and rail freight terminals increased

CO P1 Journey Speed

What?

Journey speeds appropriate for each corridor / catchment type and usage patterns

Why?

Speed is a contributing factor to journey time and an increase in speed will improve the attractiveness and competitiveness of rail by reducing journey times. This will further enable modal shift from road (relating to conditional outputs in the Choice theme) and thus also support commuters and business travellers to be more productive by working on the train (relating to other conditional outputs in these theme).

Governance / Delivery

Future Ready & Resilience Taskforce

The use of **speed** as a metric was discussed in length across the strategy development process particularly given journey time measures such as generalised journey time (GJT) are more commonly used in demand forecasting exercises and economic analyses.

Based on positive feedback from Midlands Connect and the fact that journey speed has been one of the more valuable conditional outputs for driving change in their STB, we have retained this metric as it (along with other conditional outputs in this strategy) decouples GJT into its constituents (speed/ time, frequency and interchange) so that the components can be investigated in isolation and the level of which they are considered a barrier to rail. In this manner, WG, in conjunction with Network Rail (NR) CMSP teams, can identify where the network underperforms for the types of services it carries (e.g. the extent to which the speed of a line carrying Intercity services is suboptimal and impacts economic productivity because the journey time does not promote business to business collaboration).

We have analysed journey speed on point to point direct flows in WG based on target levels similar to those used by Midlands Connect. These are indicated in the Direct Services Matrix on **Page 10**. The gaps in this conditional output are significant in WG: on one hand this positively highlights the shortcomings of journey speeds, especially because many of the regional hub to hub flows are across the North-South axis of the geography which has been identified as a

known barrier, but on the other hand this may raise concern about the applicability of the Midlands Connect targets that may not be fit for purpose in WG.

Targets by Service Type

Intercity	61+ mph
Regional	51 – 60 mph
Local	41 – 50 mph
Urban	31 – 40 mph

A gap analysis has been undertaken on National and Regional Hub pairs (including the cross-border hubs identified earlier in the report) representing Intercity, Regional and Urban journeys where speed is the main contributing factor to rail as a mode of choice. Results from the analysis show that Intercity and Regional services are below target with only 16.2% and 7.8% respectively of hub flows meeting the targets set out above.

Service Type	% point to point hub flows which meet the targets above
Intercity	16.2
Regional	7.8
Urban	75.0



CO P2 On-Board Productivity

What?

On-board capacity and facilities to enable productivity and match demand into economic centres and employment hubs (including cross-border)

Why?

Building further on the productivity gains achieved by delivering competitive journey times by rail, a further aspect of productivity is the ability to maximise use of available time. One incentive that rail travel has over car travel is that (subject to space availability), time can be used productively. However, on certain services and routes across Western Gateway and onwards to neighbouring economic hubs (e.g. London, Birmingham), on-board capacity is so constrained that time on the train cannot be productive. On other routes (e.g. Cardiff – Portsmouth), rolling stock is inappropriate for the type of journeys being made (i.e. high-density commuter seating with no tables) and also drives unproductivity. Finally, on-board facilities such as Wi-Fi and charging points are important to drive productivity.

Governance / Delivery

Collaboration between Digital Solutions Taskforce & the Future Ready + Resilience Taskforce

Targets

In order to measure the ability of a train service to provide a productive environment for passengers, a number of factors should be taken into consideration. These are:

Length and nature of journeys taken	Overall seating capacity against peak demand	Proportion of seats with tables and charging points for laptops/ mobile devices	Availability and reliability of Wi-Fi
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Service Designation	Measure	Target
Intercity	Seating Capacity Utilisation into National / Regional Hub at peak times	No greater than 75%
	Proportion of seats at tables with charging points	40% (Standard Class)
	Free Wi-Fi	100%
Regional (End-to-end > 60mins)	Seating Capacity Utilisation into National / Regional Hub at peak times	No greater than 80%
	Proportion of seats at tables with charging points	30% (Standard Class)
	Free Wi-Fi	100%
Regional (End-to-end 30-59mins)	Seating Capacity Utilisation into National / Regional Hub at peak times	No greater than 85%
	Proportion of seats at tables with charging points	25% (Standard Class)
	Free Wi-Fi	100%

CO P3 International Gateways

What?

Improving passenger connectivity to International Gateways within and close to Western Gateway

Why?

International Gateways such as airports and ports are pivotal to agglomeration and productivity, as they are able to provide competitive journey times to a wider range of customers. Similarly, for a region such as Western Gateway that has a large visitor economy, the ability for 'customers' to arrive in the region and make onward travel arrangements is pivotal in their decision to choose this destination in the first place.

Governance / Delivery

Stations & Access to Rail Taskforce

Gap Analysis

We propose two key measures for this CO:

- 1 | Increase in rail travel to and from International Gateways (IGs), measured as proportion of passengers arriving to the gateway by train from cross-border gateways, or arriving in Western Gateway by air or sea and continuing their journey by train, using CAA Passenger Survey and similar data for port/cruise passengers, in line with individual IGs' surface access strategies.
- 2 | Increase in proportion of inward tourism visits made by train, using data from Visit Britain/Visit England Inbound Transport Research and ONS International Passenger Survey.

Important factors include:

Ongoing development of the rail network and services, to improve connections between IGs and key visitor destinations in the Western Gateway, as well as connections for WG residents to access IGs for their trips outside the UK.

Marketing of rail options (to international visitors and to local residents)

Joined-up ticketing and fares offer, including ease of purchase and use

Wayfinding at airports, ports and international hub stations, including multi-lingual provision, and real-time information, including disruption alerts and journey re-planning

Step-free access routes from airport/port to train, adequate space for luggage on trains and shuttle buses

Airports

	Access to rail network	% of passengers arriving/ leaving by train	Surface Access Strategy in place	target % of passengers arriving/ leaving by train
Birmingham	Birmingham International Station (directly connected)	19% by train (CAA Passenger Survey 2018)	Yes (2018-2023)	26% by 2023
Bournemouth	Bournemouth Station (via infrequent bus link, 40mins)	2% by bus (CAA Passenger Survey 2005)	Unclear	Unclear
Bristol	Bristol Temple Meads Station (via frequent Airport Flyer Express bus link, 24/7, 30mins; integrated ticketing)	23% by public transport (CAA Passenger Survey 2015)	New strategic plan currently in development	15% by public transport when airport has 10 million passengers p.a. Recognises potential for significant role for rail by 2040 if light rail is developed
Cardiff	Rhoose Cardiff International Airport Station (via shuttle bus, 10mins)	16% public transport (CAA Passenger Survey 2015)	In development	TBC
Exeter	Exeter St Davids Station (by frequent bus; 35 mins) or Cranbrook station (by taxi)	5% public transport (CAA Passenger Survey 2012)	Part of Airport Master Plan	TBC
Gatwick	Gatwick Airport Station (directly connected)	39%	Yes (May 2018)	45% by 2030
Heathrow	Heathrow Stations (directly connected, national rail and underground)	9% national rail (plus 11% Underground) 33% of travel to/from Heathrow to/from the West of England is by public transport (train, coach)	Yes	22% by 2030 25% by 2025 (national rail including Crossrail / Elizabeth Line) plus 18% / 20% Underground)
Southampton	Southampton Airport Parkway Station (directly connected)	17% (2016 Q1)	Yes (for 2017-2021)	18% (2021), 21% (2031), 22% (2037)

Ports

Data for ports is more difficult to access. Ports and ferry terminals tend not to have surface access strategies in the same way as airports do.

Access to rail network	
Avonmouth (Bristol Cruise Terminal)	Avonmouth station is 3 miles from the Terminal and walking inside the dock estate is not permitted. Pre-book taxi (8 minutes)
Port of Poole	Poole station (30-minute walk)
Portsmouth Ferry Terminal	Portsmouth & Southsea station (via local bus services, taxi, 10-minute cycle ride or 25-minute walk)
Southampton Cruise Terminals	Southampton Central station (generally via free bus + walk, or taxi, depending on terminal)
Weymouth	Weymouth station (20-minute walk)
Portland	Weymouth Station (via local bus services, 25-minute cycle ride or >1-hour walk)



CO P4

Freight Capability

What?

Freight capability to ports and rail freight terminals increased

Why?

In order for rail to become a truly viable mode for freight transport, not only does there need to be capacity on the network (see CO C6), but the network needs to be capable of accommodating the length, weight, width and height (gauge) of trains required. In recent years, the nature of rail freight has changed – away from ‘heavy haul’ goods such as coal (to power stations) to intermodal containers containing a wide range of goods from automotive to biomass, being transported from ports to container terminals for onward transport. Intermodal containers require a larger gauge – W10 minimum, and ideally W12, than the more traditional heavy haul wagons which can operate on W7 and W8 gauge.

Other metrics that are objectives of the Trans-European Transport Network (TEN-T) include the length of trains that can operate, with European standards requiring 740m for a route to be considered ‘interoperable’, and ‘Route Availability’, which is an assessment of the total weight of trains that can operate (22.5 tonne axle load = RA8). Electrification and linespeeds are also considerations.

Network Rail identified a Strategic Freight Network (SFN) with an objective to make the whole SFN interoperable by 2030. This CO assesses progress towards that within Western Gateway, as well as examining other key freight routes that are not part of the SFN.

Governance / Delivery

Freight Taskforce

Routes and Hubs

The freight routes considered within this strategy were described and classified in CO C6 Freight Capacity. These connected key hubs including:

- Southampton Ports: Intermodal Freight
- Smaller South Coast Ports at Bournemouth and Poole
- Multiple MOD sites including Bovington/Lulworth, Ludgershall and Wootton Bassett
- Mendips Quarries (Merehead and Whatley): Aggregates
- Bristol and Avonmouth Ports: Mixed Goods including Intermodal, Aggregates and Biomass
- Tytherington and Westerleigh: Aggregates
- South Wales Ports and Power Stations: Steel, Aggregates and Biomass

How Measured?

The key metrics and targets are set out in the table below -

Route Grading	Primary	Secondary
Route Availability	RA10 by 2030	RA8 by 2025
Gauge	W12 by 2030	W10 by 2030
Train Length	775m by 2030	740m by 2030
Linespeed & Traction Power	90mph by 2030 (Electrified)	60mph by 2030 (Non-electrified)

Information about gauge and route availability is provided in Section 1.6 on Page 12.

Gap Analysis

In the table below we set out the current route capability of the 8 routes identified above, as well as additional connections to the hubs where they are not immediately accessed from the routes. Targets for connections will need to be the same as the grade of route they are connecting to.

Route	Route Availability	Gauge	Train Length	Linespeed Non-Electrified unless stated otherwise
Totton to Salisbury & Westbury	RA8	W12 to Salisbury W8 to Westbury	Not cleared for 775m	85mph
Westbury to Swindon	RA8	W8 to Thingley Jn W12 to Swindon	Not cleared for 775m	40-75mph to Thingley Jn 110-125mph to Swindon
Frome and Westbury to Reading	RA8	W7 to Westbury W8 to Reading	Not cleared for 775m	80-105mph to Heywood Road Jn 110-125mph to Reading
Westbury to Bath Spa and Bristol	RA8	W8 to Bradford Jn W6 to Bathampton Jn W8 to Bristol	Not cleared for 775m	40-75mph to Bathampton Jn 80-105mph to Bristol
Bristol to South Wales	RA8	W10	Not cleared for 775m	90-125mph
Bristol to Gloucester and the Midlands	RA8	W8	Not cleared for 775m	80-100mph
Bristol to Exeter and beyond	RA8	W8	Not cleared for 775m	80-110mph
Dorset Coast from Southampton to Bournemouth and Poole	RA8	W6	Not cleared for 775m	90mph (DC Electrification)
Frome to Whatley Quarry	RA6	W6	Not cleared for 775m	35mph
East Somerset Jn to Merehead Quarry	RA8	W6	Not cleared for 775m	30mph
Severn Beach Branch (to Avonmouth and Bristol Bulk Handling Terminal)	RA7	W6	Not cleared for 775m	15-50mph
Bristol Parkway / Filton to Bristol Bulk Handling Terminal	RA8	W8	Not cleared for 775m	10-60mph
Parson Street to Portbury	RA8	W9	Not cleared for 775m	20-30mph
Yate to Tytherington	RA8	W6	Not cleared for 775m	20mph
Yate to Westerleigh	RA8	W8	Not cleared for 775m	20mph



SW
R

A FirstGroup and MTR Company

Theme 5 | Growth

OBJECTIVE

To enable rail to provide sustainable travel options for housing and job growth across Western Gateway

The **Growth** theme picks up the importance of the link between housing and industrial growth as identified in Local Plans, and transport policy. It is directly linked to all 4 other themes due to its alignment with land use and planning policy and practice and aims to provide sustainable travel options for population and employment across the Western Gateway, aligning rail investment, including in new stations and lines, with future growth areas – and influence the selection of those growth areas towards locations which can be served by rail, where appropriate. The rail network must also be resilient to climate change so that economic growth is sustainable.

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PRIORITY	DESCRIPTION
Align rail investment, including new stations / lines with future growth areas	This priority recognises the importance of considering transport and planning policy alongside each other, and making sure, as far as possible, that large developments give consideration to sustainable transport. This priority is specifically addressed by CO G1.
Identify opportunities to develop and invest in Transit Oriented Communities	As with priority 1, this emphasises the importance of building communities around transit hubs, and the social and economic benefits this brings. This is addressed by COs G1 and G2.
Promote and maximise resilient design principles to protect the region against the implications of climate change	In the current climate emergency, all growth, whether it is housing development or new / increased capacity transit links, must be both sustainable and resilient to shock events which might be climate or health related (such as Covid-19). This priority, and the associated CO G3 focuses on making Western Gateway's rail network as resilient as possible.

CONDITIONAL OUTPUT

G1 – Transit Oriented Growth

Planning and transport policies aligned: rail as a transport option for all major new developments

G2 – Mobility Hubs

Stations providing for customers' wider needs (e.g. retail, medical, childcare) to place stations at heart of communities

G3 – Network Resilience

Network resilience to disruption and severe weather events, to reduce delays and cancellations.

CO G1 Transit Oriented Growth**What?**

Planning and transport policies aligned: rail as a transport option for all major new developments

Why?

Historically, the link between Planning Policy and Transport Policy has been disjointed, and many developments have progressed through the Planning process with little consideration given to wider transport and connectivity issues the development might face in the future. With the decarbonisation agenda, it is becoming more critical that new developments can be served by a sustainable transport network, including rail where appropriate. Without this deeper connection, developments are likely to be designed – implicitly or explicitly – with a primary focus on road access, generating higher traffic volumes with associated greenhouse gas emissions, air quality problems, public health consequences and congestion.

Governance / Delivery

Stations & Access to Rail Taskforce

Targets

If this Conditional Output is met:

- Land use planning and transport planning will be aligned in Local Plans in the Western Gateway, with an emphasis on sustainable transport. Where relevant in the specific geography, rail is identified as a key sustainable transport mode within the region's transport networks;
- The land use planning process takes account of the proximity of sites to rail access points, where this is relevant to the local geography and appropriate to the sites and developments under consideration; and
- Planning policies recommend that masterplans for new strategic developments have sustainable transport at their heart, which includes access to rail where relevant and appropriate.

Gap Analysis

The Western Gateway is covered by Local Plans for:

- Four unitary authorities: Bath and North East Somerset (B&NES), Bristol, North Somerset, South Gloucestershire. B&NES, Bristol and South Gloucestershire working together as the West of England Combined Authority (WECA), and coordinating planning work with North Somerset;
- The six constituent local councils in Gloucestershire County (Cheltenham, Cotswold, Forest of Dean, Gloucester, Stroud, Tewkesbury)
- Wiltshire Council working with Swindon Borough Council
- Bournemouth, Christchurch and Poole (three separate Local Plans) while the unified BCP Local Plan is developed (with adoption planned for 2024)
- East Dorset and Christchurch (part); North Dorset; Purbeck; West Dorset, Weymouth and Portland (four separate Local Plans) while the unified Dorset Council Local Plan is developed (with adoption planned for 2023)

Many of these Local Plans are in development or currently subject to review.

Two Western Gateway ‘best practice’ exemplars are:

- The Brewery Square mixed-use development, adjacent to Dorchester South station, is held up as a case study of masterplanning to take advantage of proximity to a transport hub;
- Emerging plans for Tewkesbury Garden Town show a new settlement of 10,000 homes, centred on Ashchurch for Tewkesbury station with an emphasis on sustainable transport.

However, some stakeholders identified barriers to aligning land use and transport planning, and to bringing forward transit oriented development, including:

- The typical timescales for planning and constructing new rail stations and services are perceived by some as a barrier to the successful integration of rail services into land use planning;
- Some franchise agreements specify levels of car parking which train operating companies must provide at stations, which are sometimes in tension with local authorities’ policies and aspirations;
- Inconsistent policies on securing and using developer contributions across Western Gateway local authorities; and
- Inconsistent approaches to travel plan requirements and monitoring arrangements.

CO G2

Mobility Hubs

What?

More stations to provide for wider needs of today’s passengers (e.g. retail, medical, childcare) to place stations at heart of communities.

Why?

Beyond the principal of Transit-Oriented Growth described at G1, the principle of Mobility Hubs is to place the rail station at the heart of the community it serves, and allow it to perform a wider, outward-looking function beyond boarding and alighting trains. New or expanding stations could be redeveloped with these purposes in mind. The aim is to eliminate the need for additional trips, allowing customers to satisfy all or most of their daily or periodic needs within or near the station, so as to encourage modal shift and sustainable lifestyles.

Governance / Delivery

Any stations identified for redevelopment where its location is suited to performing a wider function.

A Mobility Hub is a centrally located community asset, based around a transit node or hub (in this case a rail station) that provides a wider range of community services alongside the core transport purpose of the station. These services or facilities can be mapped to the individual and community needs – such as employment, education, health care, childcare, retail, leisure, tourism, and social interaction. This enables the rail station (as a Mobility Hub) to efficiently integrate into the fabric of public life and the future mobility landscape, to increase its customer and community value and play an active role in modal shift to reduce overall transport emissions.

The Mobility Hub concept includes a number of “*components*” which satisfy these complementary economic, social and community utility functions. When these components are integrated into hubs, they:

- Support wider customer needs, adding to the utility, efficiency and value of rail journeys;
- Support community needs, providing new, enhanced, or localised essential functions;
- Eliminate additional trips, reducing emissions and the use of private vehicles;
- Support mobility capabilities, including micromobility and active travel, in line with local, regional and national transport, environmental and health ambitions.

Gap Analysis

As a relatively new concept, it is neither relevant nor appropriate to measure the current state of the Western Gateway rail network against a Mobility Hub specification. However, there are some stations that already, to some degree, act as Mobility Hubs with ancillary facilities such as supermarkets, community space and cycle hubs within the station curtilage or in close proximity.

Targets

The long-term vision is that every station in Western Gateway performs a wider community function as well as simply providing access to the rail network. This will lead to:

- Increased footfall through and around redeveloped stations;
- Increased retail revenue from additional services provided;
- Increased patronage of rail, shared mobility and bus services at hubs; and
- Achievement of business plan targets at individual stations.

Initially, a Mobility Hub Blueprint will need to be developed to establish how the concept can be realised at each of the 70 stations on the network.

CO G3 Network Resilience

What?

Network resilience to severe weather events (to reduce delays and cancellations).

Why?

This conditional output supports modal choice, building and keeping customer confidence about rail's ability to deliver their journey needs in the face of climate change and the increasing number of environmental effects and severe weather events which it will engender.

It encompasses both route resilience, the ability to keep open particular routes in the face of major disruptive events, and operational resilience, which is the ability to provide the travel capability even when the railway is disrupted.

Incorporating a network resilience strategy will ensure that the railway has dynamic flexibility to maintain network functionality to the greatest possible extent, and to continue to grow, despite the impacts of climate change.

Governance / Delivery

Future Ready & Resilience Taskforce

Targets

The success of the Conditional Output will be measured by:

- Delay minutes from service affecting failures, highlighting attribution to the type of severe weather event, so that severe weather trends from climate change can be tracked over time
- Capturing the specific travel arrangement changes required for customer journeys, or the conditions for Do Not Travel alerts, also highlighting attribution to the severe weather events, to refine solutions over time

Future Ready Trends affecting the railway

Climate change will increase the frequency and severity of extreme weather events and climate conditions which affect the railway in the Western Gateway, especially as more overhead line infrastructure is installed across the routes.

Developing a Network Resilience Strategy across the Western Gateway is essential to ensure that the railway has dynamic flexibility to maintain network functionality to the greatest possible extent, and to continue to grow, despite the impacts of climate change. Western Gateway has a key co-ordination role to play in this, to make sure that the procedures and processes put in place for a wide variety of scenarios are right for its residents, businesses and visitors. This will facilitate confidence in rail as a climate-resilient mode of transport.

Examples of climate-related 'Shock Events' and the railway's response –

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FUTURE READY TREND	ACTION NEEDED
<p>Heavier rainfall could cause local surface water and river flooding:</p> <ul style="list-style-type: none"> • 5-10% heavier from 1990 by 2010-39 • 20% heavier by 2040-59 • 20-40% heavier by 2060-2115 	Assess route infrastructure against flood risk map, upgrade or build in preventative measures as needed, or develop alternative routes
Drier summers could cause droughts and ground shrinkage.	Could impact, inter alia: rail stress; switch detection; earth resistance; tunnel deformation; risk of lineside fires; increasing rail wear (and noise) on curves
Global sea levels could be between 12 and 76 cm higher than today by the end of the century.	Assets near to the coast could experience changes in: scour; drainage/flooding; corrosion; insulation/creepage from saline atmosphere
Peak temperatures in towns and cities could be up to 6°C hotter than today by 2050, with fewer very cold days	Impact on rail stress free temperature and electrical conductor properties (including movement range); increasing reliance on forced ventilation and cooling on trains or in stations Impacts on passenger and employee comfort, health and safety
Peak wind speed gusts could be stronger	Could impact: OLE structure spacing; OLE structure design; rolling stock (and pantograph) sway; passenger safety; radio mast design; station design vis-à-vis OSD; noise barrier design

Examples of Resource Trends and Challenges and the railway's response –

FUTURE READY TREND	ACTION NEEDED
Grid energy prices are forecast by DECC to be 40% higher than 2014 (in real terms) by 2030 [and may become subject to variable pricing]	Investigate opportunities to reduce power demand (e.g. lighter trains, lower speed, coupled trains), reduce system losses, recover waste energy (e.g. regenerative braking, heat recovery from tunnels); consider opportunities for Demand Side Response to minimise peak demand using, for example, energy storage
Renewable energy prices could decline rapidly. In the medium- to long-term, every flat surface becomes an opportunity for solar panels.	Investigate opportunities for energy storage, which is becoming cheaper, performing better and enables effective use of renewable energy, which could include assets on railway owned land; increased use of natural resources, e.g. cooling systems using ground water; power purchase agreements that maximise renewable energy
UK summer river flows could be 50-80% lower by 2050, while the Water Framework Directive restricts river and groundwater abstraction	Maximise the use of recycled water, e.g. for train washing; rainwater harvesting at stations and depots
The circular economy could become mainstream: products designed for re-use; landfill waste becomes much less common (and much more expensive)	Investigate opportunities to refurbish rather than renew, use of recyclable materials, such as steel and (some) plastic rather than concrete

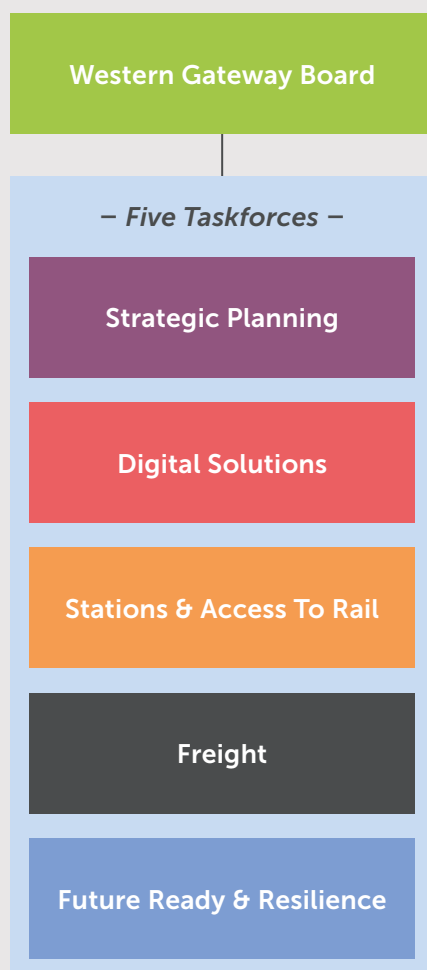
| 4

Delivery



4.1 | Delivery of the Strategy

Delivery of this strategy will require collaboration between all interested stakeholders, and a governance structure has been recommended within which this collaboration can be framed and successful delivery achieved.

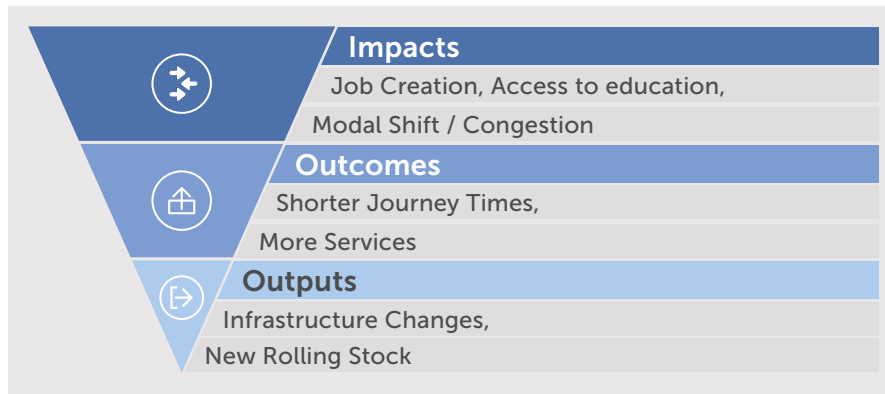


All stakeholders will hold a shared vision in sustainable public transport delivering social and economic benefits to all residents, visitors and businesses in Western Gateway.

*To be a region that is **sustainably connected** and provides **high quality and value for money** travel opportunities for all its businesses, residents and visitors*

Although Western Gateway is not being encouraged by DfT to apply for statutory status, it is expected to develop its own Strategic Transport Plan, of which this Rail Strategy is an integral part. This is a key part of its role to oversee and influence transport investment across the region, along with liaising with DfT regarding funding opportunities, so far specifically in relation to major road network plans. This will allow the establishment and growth of a Western Gateway 'identity' which, given the disparate nature of the STB geography, has been more of a challenge than other regions have experienced.

At this stage of strategy development, it has not been possible to identify specific infrastructure interventions to deliver the COs, which describe the desired **outcomes**. The next stages of strategy development will develop the **outputs**.

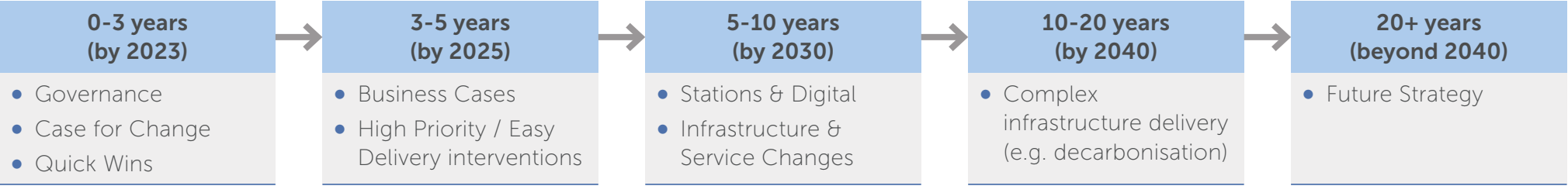


This process aligns with both HMT Green Book and the Rail Network Enhancements Pipeline, where the next stage of strategy development (0-3 years) will establish a more detailed Case for Change for each CO through the compilation of additional evidence, and identify outputs in the form of specific interventions that deliver the CO outcomes in a value for money way.



4.2 | Phased Delivery

In order for progress to be effectively monitored, the delivery of the strategy is proposed to be phased across 4 time periods.



COs are allocated to one of the 5 Taskforces identified in the governance structure.

Strategic Planning	Digital Solutions	Stations & Access to Rail	Freight	Future Ready & Resilience
C1 Frequency	M4 Fares Influence	M1 Station Access	C6 Freight Capacity	C3 Performance
C2 Interchange	M5 Ticketing Solutions	M2 Modal Integration	D2 Carbon Footprint	C4 Extended Timetable
C4 Extended Timetable	P2 On-Board Productivity	M3 Regional Catchment	D3 Freight Growth	D1 Carbon Emissions
C5 Direct Services	M1 Station Access	M6 Accessibility	D4 Freight Capture	P2 On-Board Productivity
P1 Journey Speed	M2 Modal Integration	P3 International Gateways	P4 Freight Capability	G3 Network Resilience
P3 International Gateways		G1 Transit Oriented Growth		
M3 Regional Catchment		G2 Mobility Hubs		
D2 Carbon Footprint				

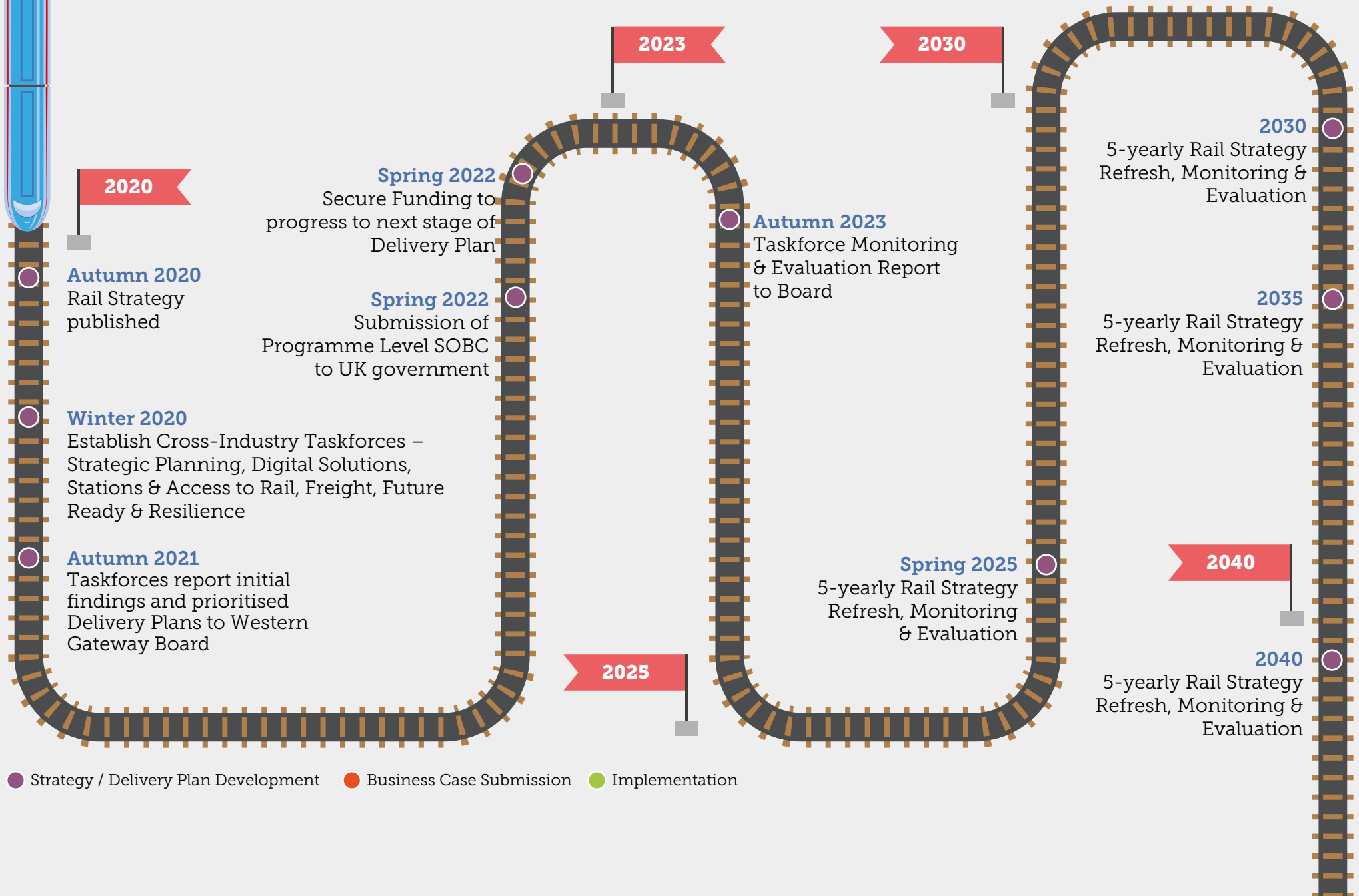
Note: italics indicate a secondary taskforce

The outcomes and impacts, which will be quantified at the next stage of strategy development, are expected to be:

Strategic Planning	Digital Solutions	Stations & Access to Rail	Freight	Future Ready & Resilience
<ul style="list-style-type: none"> • Higher % Modal Share • Farebox Revenue • Reduced congestion and carbon emissions • Economic Growth (GVA uplift) driven by improved connectivity 	<ul style="list-style-type: none"> • Higher % Modal Share, particularly from disadvantaged parts of society • Improved ranking on Indices of Multiple Deprivation driven by higher levels of education and employment for socially disadvantaged areas 	<ul style="list-style-type: none"> • Higher % Modal Share, particularly from disadvantaged parts of society and international tourists • Reduced congestion and carbon emissions • Economic Growth (GVA uplift), especially in visitor economy driven by improved connectivity • Improved ranking on Indices of Multiple Deprivation driven by higher levels of education and employment for socially disadvantaged areas • Rail network provides equal access opportunities for all • Increased % of disabled people in employment and education • Creation of Transit Oriented Communities that are less reliant on car travel • Health and Social Wellbeing improvements 	<ul style="list-style-type: none"> • Higher % Freight Modal Share • Reduced highway congestion and carbon emissions • Economic Growth (GVA uplift) through improved logistics connectivity 	<ul style="list-style-type: none"> • Higher % Modal Share linked to passenger confidence in reliability • Improved journey opportunities leading to social equality • Reduced carbon emissions and improved air quality • Reduced industry compensation costs / events

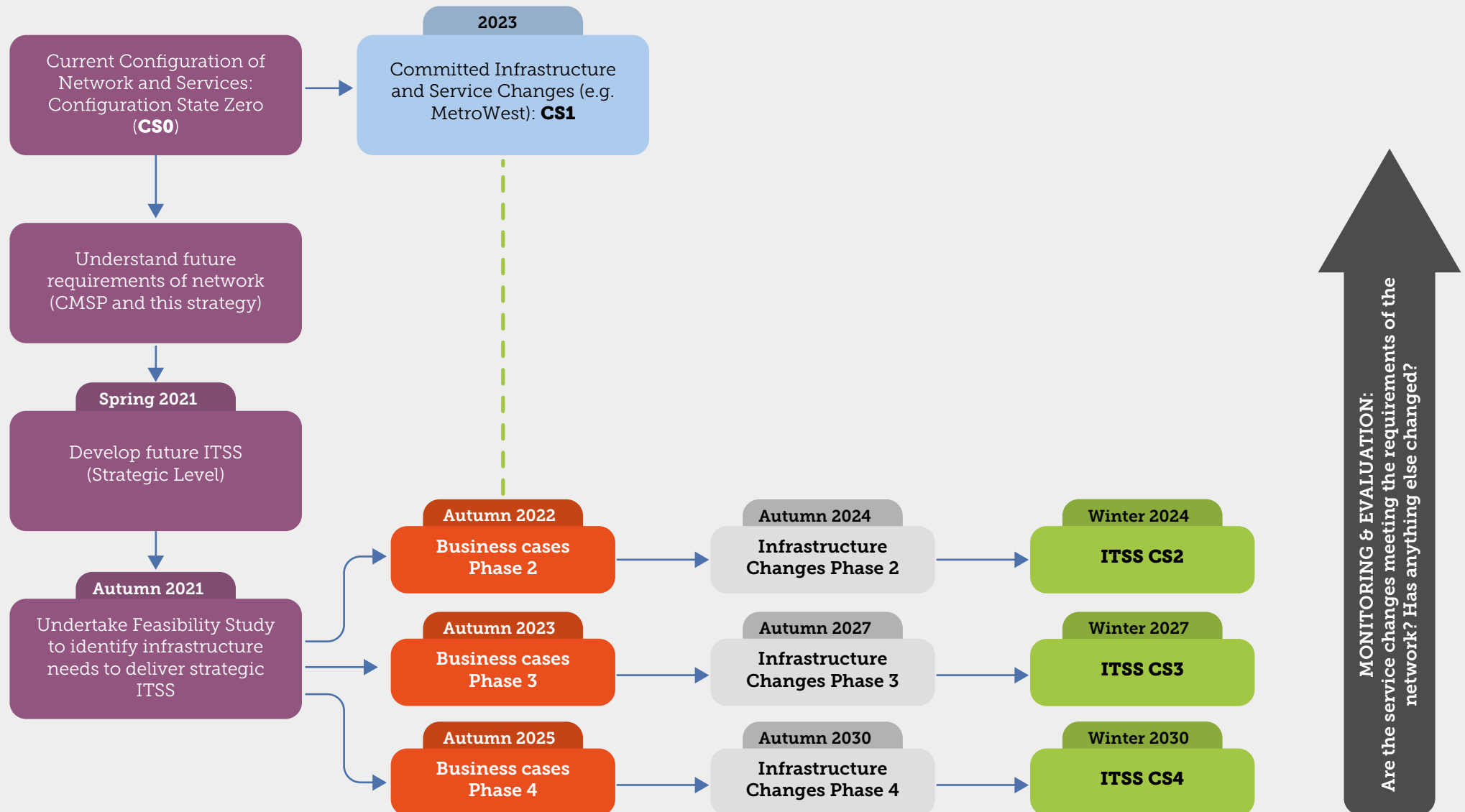
Route Map 1 | Strategy, Governance and Collaboration

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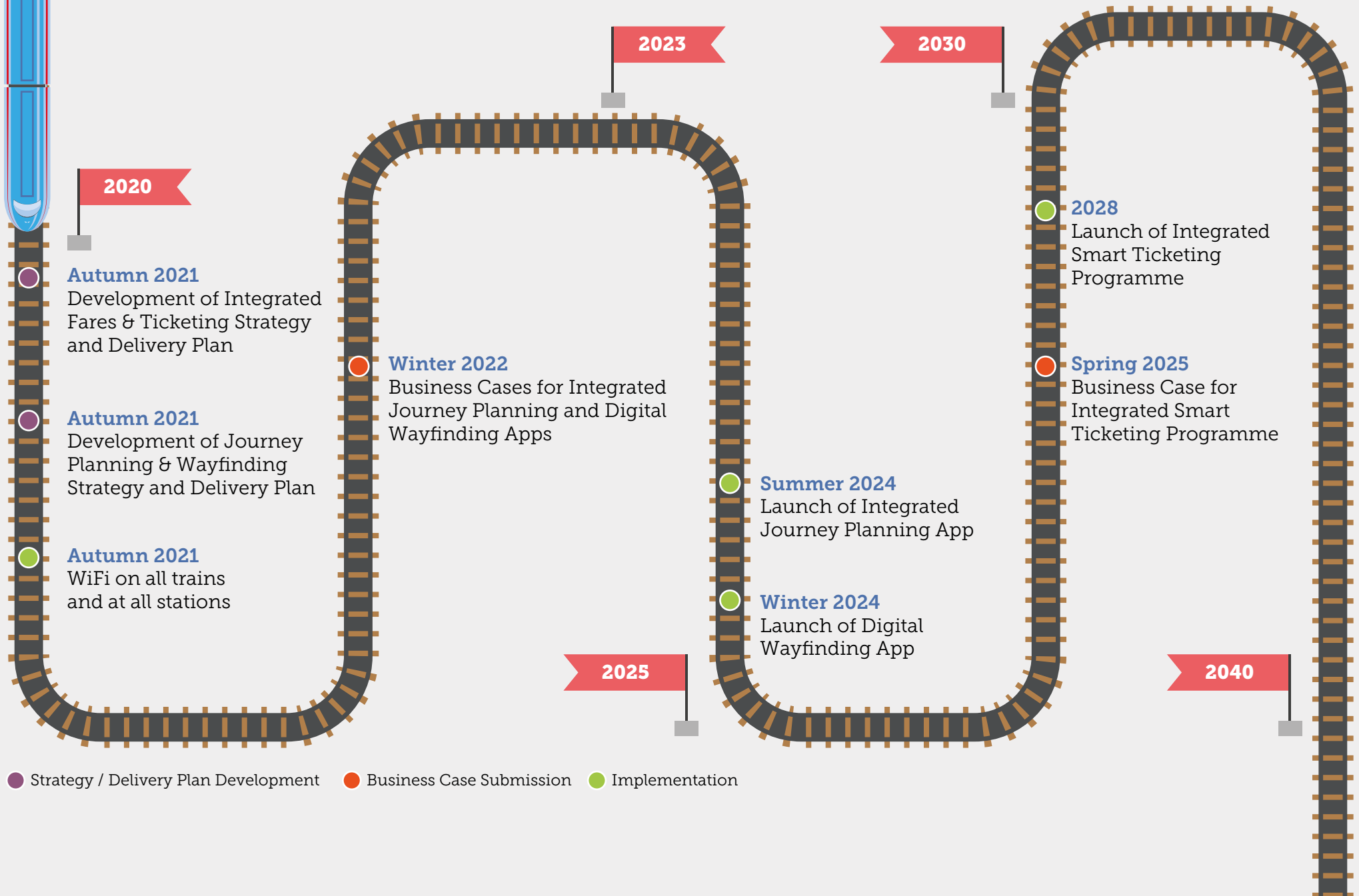
Route Map 2 | Configuration States

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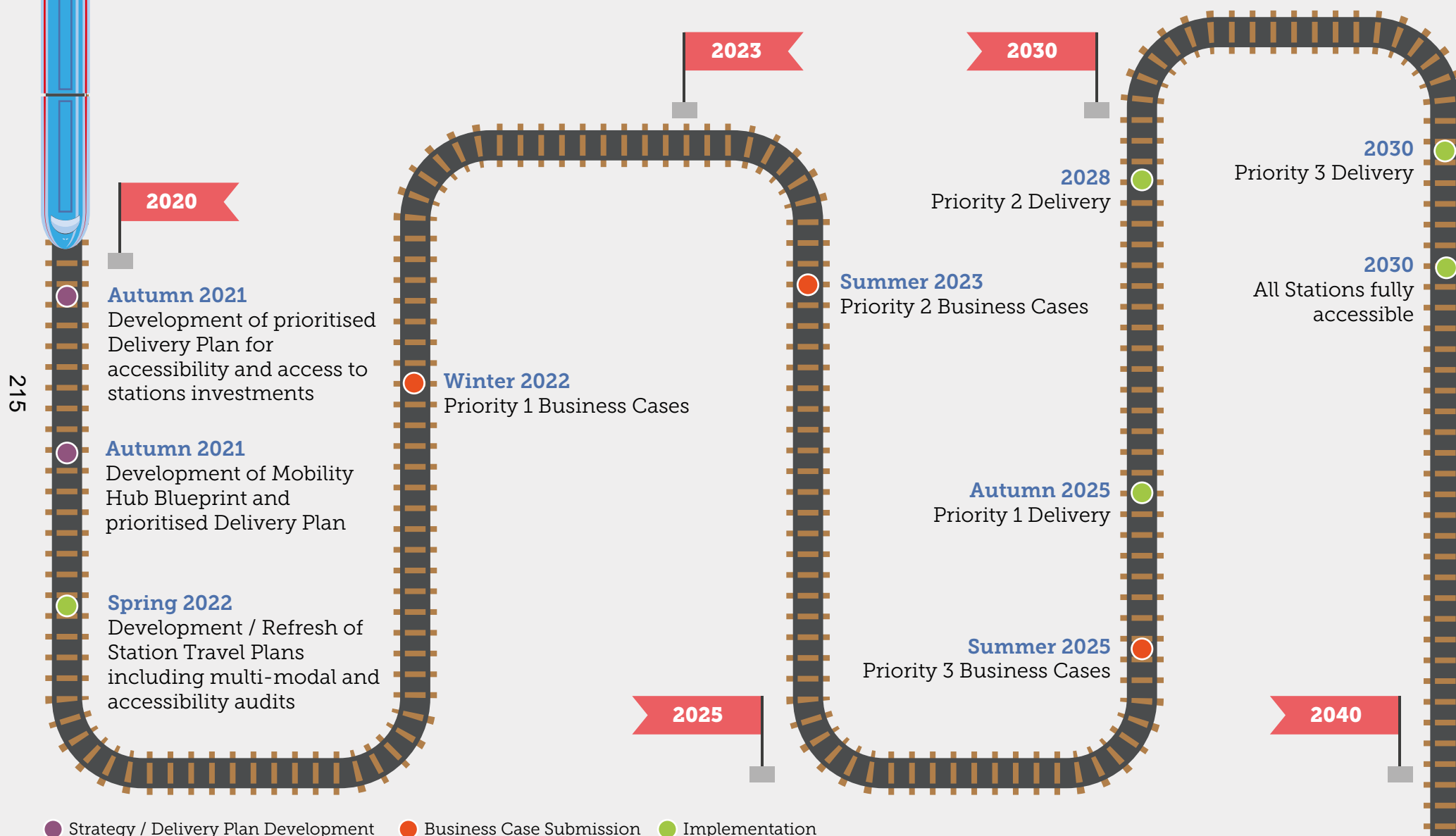


Route Map 3 | Digital Solutions Taskforce

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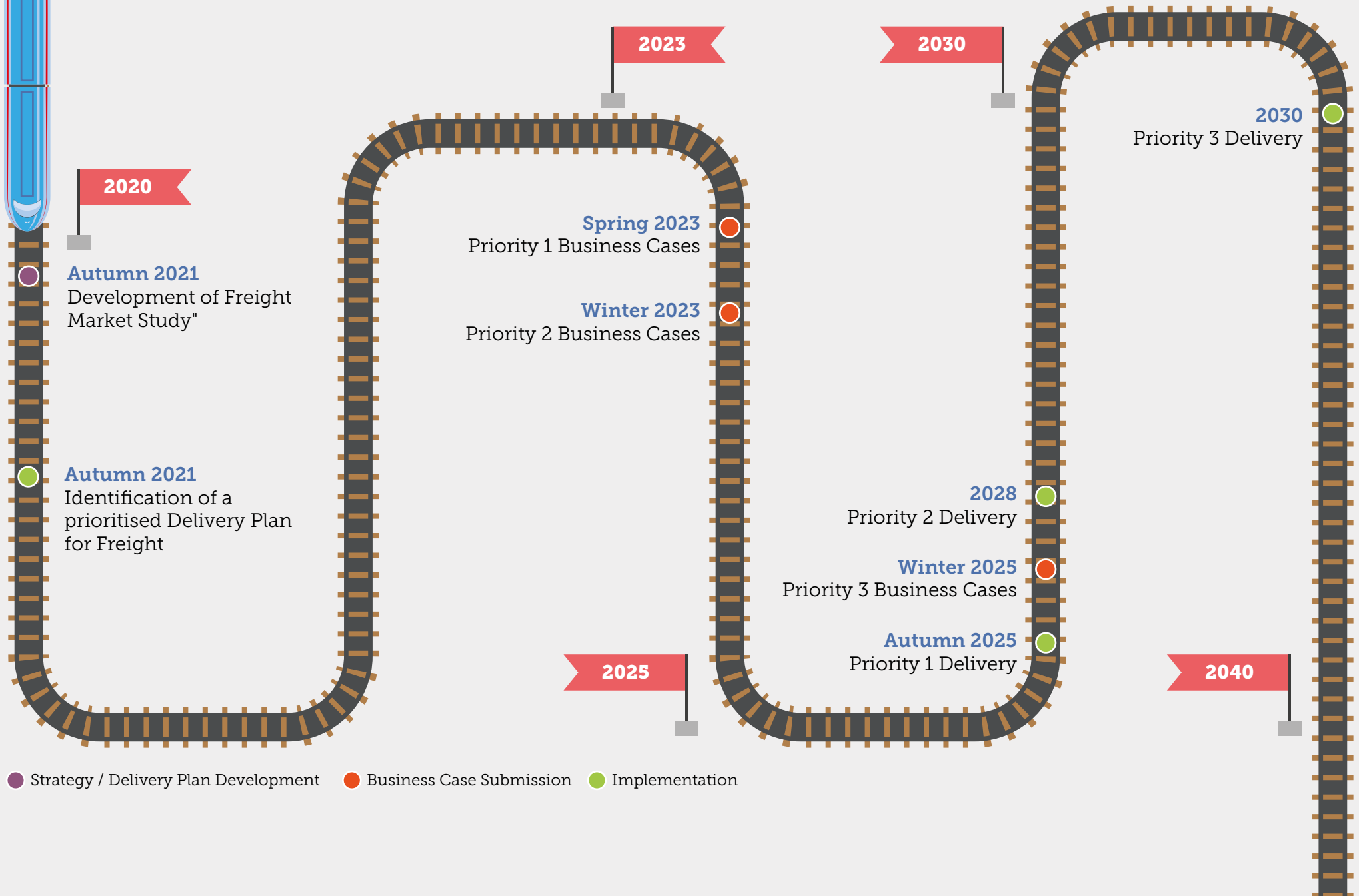


Route Map 4 | Stations & Access to Rail Task Force

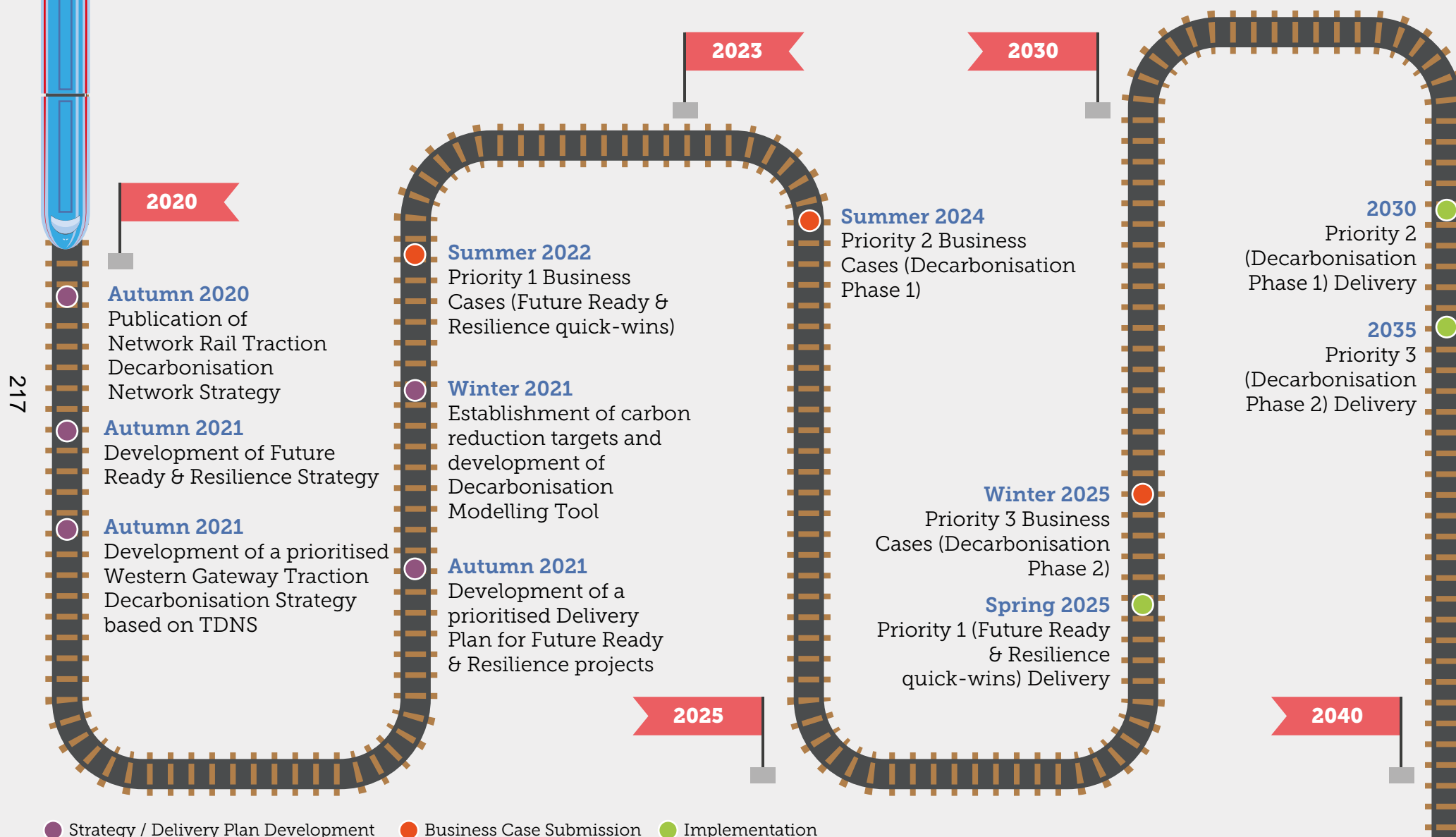


Route Map 5 | Freight Task Force

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Route Map 6 | Future Ready & Resilience Task Force











Version 1.0

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Western Gateway Sub-national Transport Body



Western Gateway
Sub-national Transport Body

Western Gateway

Sub-national Transport Body



CABINET



Report subject	Recladding of Sterte Court blocks - HRA
Meeting date	11 November 2020
Status	Public
Executive summary	<p>This report brings forward the recommendation of the award of a contract modification to the current contract with United Living in order to progress the timely removal and replacement of the cladding system at Sterte Court.</p> <p>The work will deliver the removal of the current cladding system in response to the most recent Fire Risk Assessment. It will address issues with poor workmanship and other identified fire safety issues.</p> <p>The works will replace the current cladding with a new system that is compliant with technical and legal requirements, remove the current fire risks presented by the cladding and remove the need for other ongoing mitigation actions currently in place.</p> <p>The works will importantly address our local priority to deliver the national fire safety agenda of improving fire safety standards across homes for residents in the BCP area.</p>
Recommendations	<p>It is RECOMMENDED that Cabinet and Council:</p> <ul style="list-style-type: none"> (a) Approve the award of a contract modification to United Living to the value of £3.384m in order to deliver the removal of the current cladding system and installation of a new cladding system at Sterte Court, together with a budget of £0.25m for unexpected remediation works and a 5% project contingency allowance, and delegate authority to the Director for Housing to agree the detailed terms in liaison with the Section 151 Officer and Monitoring Officer and to enter into the relevant agreements; (b) Approve the waiver of the right to charge leaseholders the cost of the works which may otherwise be recoverable for the reasons set out in Appendix B; (c) Approve the budget virement of £3.816m within the HRA in order to support the delivery of the works; (d) Approve the delegation to the Section 151 Officer to finalise the details and authorise submission of a bid to

	the Ministry of Housing, Communities and Local Government (MHCLG) seeking government grant toward the replacement of the works.
Reason for recommendations	This approach will enable the timely refitting of an appropriate cladding system to the current accommodation blocks, mitigating ongoing known fire safety and workmanship risks. This is needed to ensure the cladding system is compliant with Building Regulations. The recladding works will importantly help address the national fire safety agenda of improving fire safety standards across homes for residents in the BCP area.
Portfolio Holder(s):	Councillor Bob Lawton, Portfolio Holder for Homes
Corporate Director	Kate Ryan, Corporate Director for Environment and Community
Report Authors	Su Spence, Poole Housing Partnership, Chief Executive Lorraine Mealings, BCP Council, Director of Housing
Wards	Poole Town;
Classification	For Decision

Background

Sterte Court

1. Sterte Court refers to two 10 storey blocks of flats on the Sterte Esplanade that are owned by BCP Council (the "Council") and managed by Poole Housing Partnership (PHP) on behalf of the Council under a management agreement dated 1 April 2014 (the "Management Agreement").
2. The blocks were built in 1961 and consist of 114 one and two bedroom flats. They are identified as Seaview and Bayview.
3. Both the blocks were built with a Wimpey No-fines construction which consists of an in situ reinforced concrete frame with no fines walls with a rendered finish. This construction was widely used in the 1960s but produced poorly insulated solid walled buildings. The flats were built to space standards applicable at the time, but these are considered small compared to standards currently required.
4. The blocks provide homes primarily for use by the Council to house BCP residents and 17 flats that have been sold under the Right to Buy. These 17 flats are known as "leasehold" properties and are occupied by either owner occupiers or residents who privately rent from the owners.

Refurbishment Programme and Workmanship Issues

5. In 2015, PHP completed a major refurbishment programme designed to ensure that the blocks would remain appropriate for occupation for the next 30 years. The work replaced the old concrete balconies with winter gardens to improve

space standards, replaced the windows and over clad the rendered concrete with a cladding system.

6. The 'cladding system' referred to in this report relates to the external Trespa panels, the insulation material and the associated fixtures and fittings.
7. PHP put in place measures after installation to manage the health and safety and fire risk emerging from some workmanship issues, including fortnightly checks on the cladding system, an evening security visit to ensure that no flammable materials were placed against the outside of the building or blocking exit routes and increased caretaker presence. Between 2019-2020, ongoing discussions took place between all parties concerned with a view to ensure safety of the tenants, undertake further investigatory works and conclude how to move forwards with the cladding system as a whole.
8. In June 2017, the Grenfell tragedy occurred involving a fire in a 24-storey block of flats in London tragically killing many people and injuring many more. Significant developments in national building regulations and guidance have been made since this time, with many across the housing sector focussing now more than ever on fire safety within homes. This report aims to directly address this fire safety improvement agenda to keep our tenants safe.
9. In January 2020 new guidelines were issued by MHCLG (*"Advice for Building Owners of Multi-Storey, Multi-Occupied Residential Buildings"*) recommending that remedial action should be considered in respect of any cladding system that contains High Pressure Laminate (HPL) (e.g. Trespa panels) and combustible insulation materials.
10. During early 2020 MHCLG released details of funding that could be used to support replacement cladding on high rise buildings. PHP are in the process of submitting a bid for the funding on behalf of BCP Council which has challenging timescales to meet for a bid to be successful, including a start on site by 31 March 2021. Registration for the fund has been submitted and a full bid will be made to help fund the recladding costs.
11. The full bid will be submitted as information is confirmed with the proposed contractor and as MHCLG work through the information being received. There is a requirement to have submitted full cost information by 31 December 2020, with an outcome on the bid expected in early 2021.

Current Position

12. In April 2020, the Council became aware of technical information that prompted a review of the suitability of the cladding.
13. In addition to the poor workmanship issues, the Council considers that the insulation material is not compliant with Building Regulations in respect of fire safety and that there are fire stopping issues.
14. The Council has since worked closely with PHP and prompted a revised Fire Risk Assessment (FRA) completed in July 2020 which considered the additional technical detail. The FRA concluded that further urgent action was required in order to mitigate the fire risks.
15. PHP and the Council have worked to put urgent mitigations in place. These include onsite 'waking watch' staff to assist with evacuating people safely should a fire occur, a change from the "stay put" to a "simultaneous evacuation" policy

where all occupants in the block need to evacuate the building in the event of a fire, communications with tenants and installing alarms in each individual flat to alert all tenants should a fire start. A sprinkler system is also being installed, as previously approved.

16. The current key outstanding priority action resulting from the FRA is to remove the cladding system and replace with one that meets all building and safety regulations. This report requests related funding in order to progress the works.
17. A replacement cladding system will address our local priority to fully meet the national fire safety agenda and further improve fire safety standards across homes in the BCP area.
18. As a standalone issue, the nature of the insulation material means that it must be removed from the building. The nature of the insulation material, compounded by the workmanship and fire stopping issues, means that the cladding removal needs to be urgently actioned.
19. The Fire Service has been kept fully involved with the approach, is comfortable with the measures that have been put in place to date and is supportive of the conclusion that the cladding system needs removing.
20. The Regulator for Social Housing which oversees social housing has been alerted to the risks and the current plans for mitigation, with detailed information having been provided to them. In September, the Regulator noted the current and ongoing actions being taken to address the issues and, on that basis, did not consider that it would be proportionate to find a breach of the Home Standard or take further regulatory action relating to the Consumer Standards.
21. The Council's Corporate Fire Safety team and Private Sector Enforcement team have been involved in the most recent discussions to ensure that the Council provides a robust response to the issues at Sterte Court. It is important that this is consistent with our enforcement approach in relation to cladding systems on private sector blocks, irrespective of Sterte Court blocks being Council-owned.
22. The fire safety issues at Sterte Court are subject to a Council Internal Audit investigation which is currently underway to establish lessons learned. PHP have similarly commenced their own internal audit to help understand the sequencing of events and identify any lessons learned.

Delivery Options

23. Two feasible options have been identified for delivery of the works at Sterte Court, they are :-
 - a. Remove the current cladding system and pause while an open procurement exercise is undertaken for replacement with a new cladding system
 - b. Remove the current cladding system and replace it with a new cladding system as soon as possible
24. Further options have also been considered but discounted. These include: to do nothing, demolishing the blocks completely for redevelopment and removing the cladding without any replacement. The reasons for discounting these are detailed later in the report.

25. The Council and PHP have established, with professional input, that due to the integral nature of the cladding system, no one element of the cladding system can be removed and replaced in isolation. The integrated nature and particular requirements of a cladding system means that none of the material that makes up the current cladding system could be re-used on the building as part of a new cladding system. The whole cladding system therefore needs to be replaced.

Option A – Remove the current cladding system and pause while an open procurement exercise is undertaken for replacement with a new cladding system

26. This option seeks to deliver the removal of the current cladding system in order to mitigate the current fire risks within the quickest possible time in light of the urgency and then pause while an open procurement process is undertaken for a replacement cladding system.
27. Current estimates suggest that following the decision to proceed the contractor will need a six week mobilisation period enabling site set up in the first week of January 2021 with scaffolding work commencing the following week. The first cladding removal work will commence from the end of February 2021 and it will take a further 11 weeks to the start of May 2021 to complete the full removal of both blocks. Some of the cladding on the upper storeys could be removed at an early stage of the removal works to help reduce the highest risk first and in advance of May 2021.
28. An open procurement process would take approximately four to five months and it is expected that a contractor would start on site during the summer of 2021 to deliver the new cladding system. This time frame is deliverable but is not expected to meet the MHCLG bid requirements of the end of March start on site, making the project most probably ineligible for funding. Option A would address the fire risks in a relatively timely way.
29. The estimated cost for the delivery of this option is shown in the table below:-

Option A	Removal (£000's)	Interim (£000's)	Replace (£000's)
Cladding system	0	0	2,354
Removal	263	0	0
Scaffold	500	400	130
Design	0	0	71
Prelim's	69	0	199
Overheads	57	0	118
Total	889	400	2,872
TOTAL			4,161

30. These costs are based on soft market testing from the current supply chain and would need to be tested within a formal procurement route but are considered to be accurate estimates of likely costs.
31. It is expected that there will be additional preliminary costs and overhead charges by splitting the work and enhanced scaffolding costs during the pause in works. This could be mitigated by leaving the scaffolding in place during the pause, however, the scaffolding contract would need to be novated to the new contractor and it is understood that the incoming contractor may not wish to use the scaffolding. There is also an issue regarding safety and insurance of the scaffolding during the 'pause' period as it is unlikely the original contractor will want to retain responsibility for the scaffolding once its works have completed.
32. Unknown costs relate to the level of remediation work required on the concrete sub structure once the cladding system is removed. There are expected to be water penetration issues over a period of time once the concrete is exposed and these would require regular (weekly) maintenance to ensure that the flats remained fit for occupation.
33. Option A is expected to take approximately nine months from commencement of removal works to commencement of replacement works. During this time residents would have to endure the removal works, any associated remedial works, as well as preparing for the resulting replacement works. This is likely to include ongoing scaffolding obscuring light into flats, reduced thermal efficiency and ongoing disruption.
34. This option however would allow the Council to follow an open procurement route and ensure that all costs incurred have been robustly tested within the market and that value for money was achieved as separate market tested contracts.

Option B – Remove the current cladding system and replace it with a new cladding system as soon as possible

35. This option seeks to remove the current cladding system in the quickest possible time as the initial outcome required, and then move straight into replacement works with the same contractor.
36. Under this option, scaffolding works would also start the first week in January 2021 with completion of the cladding system removal the start of May 2021 as per option A, but the selected contractor would also progress discussions with the supply chain and work to design the new cladding system during this time. It is expected that this would allow the replacement works to move forward alongside and immediately after removal works are complete.
37. Option B is therefore expected to meet the MHCLG requirements of being on site by March 2021 to commence replacement works which allows a bid for funding to be submitted to help support the overall costs presented here.
38. The estimated costs for the delivery of this option is shown in the table below :-

Option B	Remove and Replace
Cladding system	2,816
Scaffold	130
Design	84
Prelim's	236
Overheads	118
Total	3,384

39. These costs are estimates following soft market testing and will need to be further formalised but have been developed with United Living who are currently delivering Project Admiral on behalf of the Council and PHP and considered to be accurate estimates of likely costs.
40. Project Admiral is currently delivering the major refurbishment work of the four PHP managed high rise blocks in Poole Old Town, including delivery of a new non combustible cladding system. The overhead and preliminary costs as well as the material costs reflect those included in the Project Admiral contract award which was tested via a full OJEU compliant process in 2018 with United Living meeting all financial and quality criteria to be the preferred supplier.
41. The costs have also been benchmarked against similar work taking place for cladding replacement of blocks elsewhere across the BCP conurbation and costs are similar. Confidence can therefore be taken that they represent value for money considering price comparisons.
42. Option B presents good value for money compared with Option A and provides a more timely outcome too.
43. Option B would minimise the length of time that residents needed to live with the ongoing works as the overall delivery time would be reduced compared to Option A. The level of remediation work would also be reduced as the onsite contractor would be required to pick up emerging issues from the sub structure as part of the works on site.
44. Option B can be delivered as a direct award under Rule 72 (c) Public Contracts Regulations 2015 for a contract modification. Such a modification is deemed to be appropriate where circumstances are unforeseen or beyond control of the operating authority and with works deemed urgent where the usual tendering timescales are not appropriate. The importance of urgently reducing fire risk means that the usual tendering processes can be circumvented if appropriate in order to balance the need for delivery against achieving value for money.
45. Further information regarding the application of Rule 72 (c) is contained within Appendix A.
46. There is also an additional requirement for urgency with recladding to meet the MHCLG bid guidelines which require a start on site by March 2021 to access any government grant. This bid will hopefully be successful and reduce the costs incurred locally.

47. The modification must not exceed 50% of the contract being modified and there is a requirement to act with urgency. The modification is expected to be approximately 20% of the current Project Admiral contract so falls well within this.
48. It is therefore recommended that Option B should be taken forward to deliver the removal and replacement of the cladding system at Sterte Court. It is recommended that this option is progressed via a contract modification to the current Project Admiral contract to allow this to progress at pace.

Other Options Considered

Do nothing

49. It would be possible to leave the current provisions in place and manage the ongoing fire risks via the existing mitigations in place as noted above. This is considered to be unsatisfactory going forwards as the FRA on this basis still rates the fire risks as 'Substantial' with non compliant material installed. There are obligations on PHP as the 'Responsible Person' under the Fire Safety Order to take steps to address the FRA recommendations within a reasonable time.
50. Waking watch costs would continue to accrue over time, reducing funds which could be put to better use by funding a replacement cladding system. The costs of delivering the current waking watch service is estimated to be approximately £600k per annum and would continue indefinitely if cladding system is left in its current form.
51. The current position would mean the Council would not be complying with the requirements of the Regulator for Social Housing's Home Standard to "meet all applicable statutory requirements that provide for the health and safety of the occupants in their homes". In such circumstances the Regulator is likely to take action against the Council.
52. There is a reputational risk to the Council. The Council is taking action against privately owned blocks with similar cladding systems in place. The Council should therefore be seen to comply with its own rules and enforcement measures. There is of course the reputational risk if there was a fire in the block. The Council is likely to be subject to criticism for leaving Sterte Court as is, with a 'Substantial' fire risk rating, despite the mitigations to date.
53. Not progressing the recladding works would go against the advice note issued by MHCLG in January 2020 recommending that remedial action should be considered in respect of any cladding system that contains High Pressure Laminate (HPL) (e.g. Trespa panels) and combustible insulation materials.

Remove and Re-render

54. It may be possible to remove the current cladding system and render the external concrete on the building. This would mitigate the water penetration issues but would not address the thermal efficiency of the building. Wimpey no fines constructed buildings commonly have damp and mould issues due to water ingress and cold external walls.
55. These issues are all mitigated by thermal efficient cladding and support a more acceptable inside temperature which could not be achieved if the cladding system was not replaced. The remaining 4 high rise blocks managed by PHP are also being suitably clad to help address these issues.

56. This option would require a re-design for the current windows and the balcony structures which are currently designed to interact with a cladding system that includes a cladding panel. These costs have not yet been estimated but are considered to be in the region of £0.5m.

Redevelopment of the blocks

57. The option of complete redevelopment of the blocks has also been given some consideration as a possible option to provide a more modern living environment instead of high-rise blocks but has been discounted.
58. There would be a requirement to rehouse existing residents that would put pressure on already scarce housing stock across Poole. There would be considerable cost incurred with each resident entitled to a home loss payment of approximately £6k per tenancy along with support to move and covering reasonable costs incurred in this process, which could be a very lengthy one. There would also be buy-back issues relating to the owner occupier leaseholder properties within the blocks.
59. The building would need to be managed prior to and during any renovation and this would lead to additional costs and enhanced management issues of an empty or partially empty building. There would be rent loss over the period of time while redevelopment was planned.
60. The site is unlikely to deliver an increase in the overall number of homes available to the households on the housing register due to the density of surrounding sites. This option therefore has a high degree of disruption and cost with a risk of not increasing the overall number of new homes.
61. Despite the density of the blocks, it should be noted that there are currently no significant management issues associated with Sterte Court. The flats are not too difficult to let, turnover of residents is relatively low and anti-social behaviour is not a significant issue. There is also a thriving community group in the area, a self-funded children's play area and well used community gardens, all of which would likely be lost within a redevelopment.

2. Summary of financial implications

62. The delivery of the preferred option will require contract resources of £3.384m to be identified, plus a contingency for unidentified remediation works and project contingency.
63. Initial building surveys have identified that the sub structure will need to be managed for water penetration where it becomes exposed to the elements. This is expected to be managed by the contractor on site as part of development works and initial cost estimates for removal and replacement have included some assumptions around remediation works as the current cladding system is removed. An estimate of £0.25m has been provided to cover additional costs that may arise to ensure that the sub structure remains appropriate for occupation although there is a low risk that this cost could be higher. This estimate is based on the current surveys of the sub structure and the ongoing maintenance programme that has been in place.
64. All contracts are expected to have a contingency sum that can be accessed for unforeseen circumstances and this is proposed to be 5% in line with other

contracts of a similar nature. The 5% contingency sum in this case will be £181,700.

65. Given the above, the estimated financial costs of the total project is £3.816m.
66. It is proposed that this project will be funded from the Housing Revenue Account (Poole Neighbourhood). This will be in addition to projects agreed as part of the three year budget setting cycle and this will be funded from current HRA reserves.
67. The current 2020/21 forecast outturn shows an underspend against current agreed budgets as projects have been delayed following reduced activity from COVID. This has meant resource to be returned to unallocated reserves and it is proposed to fund this work from these unallocated reserves. If approved, these sums will be reflected in the revised three year programme for 2021/22 onwards. These reserves would otherwise be used to support the delivery of housing management and maintenance services, as well as supporting an ongoing new build programme, but had not been allocated to date.
68. PHP and BCP officers will continue to liaise with MHCLG to progress the bid for grant with approval sought for sign off of the final bid by the Section 151 Officer at the appropriate time. It is hoped that a good proportion of the total costs will be met by the MHCLG grant although the total government fund is capped and there is no guarantee that the bid will be successful.
69. PHP have approved authority through the Management Agreement with the Council for the revenue spend on the mitigation measures arising out of the FRA such as the provision of waking watch staff.

3. Summary of legal implications

70. Following in-depth discussions with the Council's procurement team it has agreed that the most appropriate solution would be for the Council to directly award a contract for the works by a contract modification to United Living in accordance with Reg 72(c) Public Contracts Regulations 2015. The contract modification would not exceed 50% of the Project Admiral contract and the urgency element required under Regulation 72(c) is met as the Council needs to mitigate fire risks promptly. There is also the aspiration to meet the MHCLG bid timescales to secure a government grant to support costs.
71. There is ongoing work to confirm the contract under which the direct award would be given. The current Project Admiral is a JCT intermediate contract (with contractors design) and it is likely that this would be varied for the additional works with enhanced design conditions to ensure that United Living has full design and construction liability for the replacement cladding system in line with the principle of a Design and Build contract. Alternatively, the issuing of a Design and Build contract as a modification would allow these conditions to be set out as an integral part of the contract with clear accountability.
72. The required approach will be confirmed by PHP with assistance from its appointed consultants, Arcus Consulting Ltd, in conjunction with discussions with United Living and agreed at pace to enable works to progress quickly. Legal Services will provide comments and input to the proposed contractual arrangement.

4. Summary of human resources implications

73. The project will be delivered by the PHP Development Team. There is good expertise within this team having delivered a number of new build and maintenance projects over the past five years. The project can be delivered within current resource planning assumptions

5. Summary of sustainability impact

74. The use of external cladding delivers thermal efficiency improvements to concrete buildings that support a more comfortable environment for all residents. The continued delivery of this approach at Sterte Court will ensure that the benefits seen by the residents over the past five years from warmer properties and reduced energy bills will continue.

6. Summary of public health implications

75. None identified

7. Summary of equality implications

76. None identified

8. Summary of risk assessment

77. The delivery of the recommended option will remove the urgent fire risks identified that are currently being partly mitigated through other measures.

Background papers

Appendix A : Procurement Advice Note

Appendix B: Confidential paper regarding leaseholder recharging

APPENDIX A

PROCUREMENT ADVICE NOTE

DN401481 - Project Admiral - Design & Build Tower Block Refurbishment

Background

This note considers the modification to the original contract that was awarded to United Living for £18,052,260.16 and the report to Cabinet on 28th October 2020: Recladding of Sterte Court blocks - HRA, seeking to modify the original contract by an additional £3.4m.

Modification of contracts during their term

It is written in the context of Regulation 72 of the Public Contracts Regulations 2015 (PCR15) and other relevant obligations in respect of the modification of a contract during their term where additional works, services or supplies by the original contractor that have become necessary and were not included in the initial procurement. (Clauses not relevant to this modification have been removed for clarity)

72.— (1) *Contracts and framework agreements may be modified without a new procurement procedure in accordance with this Part in any of the following cases: —*

(a) ...

(b) *for additional works, services or supplies by the original contractor that have become necessary and were not included in the initial procurement, where a change of contractor—*

(i) cannot be made for economic or technical reasons such as requirements of interchangeability or interoperability with existing equipment, services or installations procured under the initial procurement, and

(ii) would cause significant inconvenience or substantial duplication of costs for the contracting authority,

provided that any increase in price does not exceed 50% of the value of the original contract;

(c) *where all of the following conditions are fulfilled: —*

(i) the need for modification has been brought about by circumstances which a diligent contracting authority could not have foreseen;

(ii) the modification does not alter the overall nature of the contract;

(iii) any increase in price does not exceed 50% of the value of the original contract or framework agreement.

(d) ...

(e) where the modifications, irrespective of their value, are not substantial within the meaning of paragraph (8); or

(f) ...

(2) ...

(3) Contracting authorities which have modified a contract in either of the cases described in paragraph (1)(b) and (c) shall send a notice to that effect, in accordance with regulation 51, for publication.

(4) ... (5) ... (6) ... (7) ...

(8) A modification of a contract or a framework agreement during its term shall be considered substantial for the purposes of paragraph (1)(e) where one or more of the following conditions is met: —

(a) the modification renders the contract or the framework agreement materially different in character from the one initially concluded;

(b) the modification introduces conditions which, had they been part of the initial procurement procedure, would have—

(i) allowed for the admission of other candidates than those initially selected,

(ii) allowed for the acceptance of a tender other than that originally accepted, or

(iii) attracted additional participants in the procurement procedure;

(c) the modification changes the economic balance of the contract or the framework agreement in favour of the contractor in a manner which was not provided for in the initial contract or framework agreement;

(d) the modification extends the scope of the contract or framework agreement considerably;

(e) ...

(9) ...

Other relevant obligations

Financial Regulations Part G (33) requires consultation with the Strategic Procurement Team to modify a contract and the outcome recorded in a Procurement Decision Record.

PCR15 Regulation 51 requires us to publish a contract modification notice in the Official Journal of the European Union (OJEU).

In addition to Regulation 51 of PCR 15, the Contract Register entry in the public domain will be amended to reflect the modification.

Issue a contract modification letter (SPT to supply template) to incumbent contractor.

Conclusion

Given the evidence within the Cabinet report, the request to modify the existing contract is compliant with the tests outlined in the PCR15 Regulation 72 as follows:

- 72(1)(b)(i) and (ii) – The detrimental effect on costs alone is clear in the case of a change of contractor.
- 72(1)(c)(i) – The report outlines clearly how the need for a modification has not been bought about by us.
- 72(1)(c)(ii) – The modification is requesting more of the same work.
- 72(1)(c)(iii) - The modification represents an 18.8% uplift in contract value which is sufficiently below the 50% threshold.
- 72(1)(e) & (8) - Sterte Court was not included in the original tender requirements, however, the work is not considered to be significant within this definition.

By virtue of paragraph(s) 3 of Part 1 of Schedule 12A
of the Local Government Act 1972.

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CABINET

Report subject	Housing Allocations Policy
Meeting date	11 November 2020
Status	Public Report
Executive summary	<p>Bournemouth, Christchurch and Poole have separate legacy Housing Allocation Policies which require alignment, as per the Statutory Order from Government.</p> <p>The BCP Housing Allocation Policy seeks to harmonise each policy providing criteria used to consider applications for the BCP Council Housing Register. It sets out the eligibility, qualification and assessment criteria on which different housing circumstances of person will be prioritised.</p> <p>All nominations to social housing properties managed by BCP Council, Poole Housing Partnership (PHP) and local housing associations will be made in accordance with the policy and administered through a revised BCP HomeChoice scheme.</p> <p>Implementation for the new policy is proposed for July 2021 when the IT system is fully mobilised in line with the approved policy.</p>
Recommendations	<p>It is RECOMMENDED that:</p> <p>The proposed Policy be considered and approved.</p>
Reason for recommendations	This report is for approval of a new BCP Housing Allocations Policy which is required for alignment as per the Statutory Order agreed with Government.

Portfolio Holder(s):	Councillor Robert Lawton (Portfolio Holder for Housing)
Corporate Director	Kate Ryan – Corporate Director of Environment and Community
Contributors	Lorraine Mealings, Director of Housing Ben Tomlin, Head of Housing Options & Partnerships Sarah Smith, Principal Housing Solutions Officer
Wards	All
Classification	For consideration and approval

Background

1. There are currently 3 legacy housing allocation policies being used across BCP Council and each has slightly different qualification and allocation criteria, however they broadly follow the principle of prioritising households in greatest housing need who meet the local connection criteria.
2. A new policy has been developed which aligns the legacy policies and takes a greater person-centred approach, to meet the needs of the most vulnerable of BCP Council's residents whilst ensuring that its valuable housing resources go to those in the most need. The policy is used by the Council to administer the allocation of social housing for its own stock and accommodation managed by Registered Providers / Housing Associations.
3. This policy has been developed with specific regard to its contribution on the following corporate priorities, Fulfilled Lives, Brighter Futures and Connected Communities.
4. In particular, the policy seeks to provide access to social housing for our most vulnerable residents, including adults with complex needs, those experiencing homelessness or rough sleeping who require housing stability and additional support have been recognised as key groups.
5. Particular priority and recognition is given to strengthening our Corporate Parenting role, through the allocation of social rented homes for care experienced young people and parents and guardians at risk, including domestic abuse victims or subject to exploitation who depend on safe and secure housing to live independent lives.

6. The policy provides for people living in overcrowded, unsafe and or poor quality accommodation whilst seeking to ensure all allocations address these needs and promote safe sustainable communities.

Development of the Policy

7. Bringing together legacy allocations policies provided the opportunity to rethink the approach to housing allocation, whilst still meeting the legal framework set out in the Housing Act 1996 (as amended by the Homelessness Act 2002 and the Localism Act 2011) the Homelessness Reduction Act 2017 and associated regulations.
8. The development process began with mapping of the existing policies and identified which areas could be simply aligned and which could be reviewed to meet the priorities and aspirations set out in the Corporate Strategy.
9. A workshop with all social housing landlords was facilitated to gather feedback about their experiences of HomeChoice and the existing policies in operation, options and changes for the formation of a new policy including key resident feedback and experiences shared from a landlords perspective.
10. In developing the policy, national evidence and examples of best practice in housing allocation were considered, together with the Chartered Institute of Housing report 'Rethinking Allocations' 2019 which discusses the key national issue of how best to allocate our limited social housing stock to ensure that we meet the needs of our most vulnerable residents.
11. In addition, changes have been made to reflect updates in statutory guidance to improve access to social housing for members of the Armed Forces, veterans, and their families. The policy is fully compliant with the Armed Forces Covenant. Similarly, the policy is compliant with the housing requirements of the Domestic Abuse Bill.
12. The draft policy developed for consultation was considered by legal Counsel providing helpful assurance of its legal status.

Stakeholder and Public Consultation Findings

13. The Housing Allocations Policy consultation ran from the 17th February to the 15th July 2020 and received 209 responses. The period was extended due to the impact of Covid on people's ability to engage and additional resource was put into ensuring engagement through digital solutions rather than face to face which was originally envisaged.

14. The survey was hosted on the BCP Council Consultation Tracker page and was promoted through various channels including:

- Social media posts (Facebook, Twitter, LinkedIn) – see more details in the Communications Report below
- Emails to key stakeholders including businesses and charities
- Emails to over 6,000 Housing Register applicants through the Locata Housing System. This is used by the council to communicate with them on a day-to-day basis using email addresses provided by the applicants. 3 reminder emails were sent during the consultation period.
- Presentations were given to Registered Social Housing Providers, Bournemouth Housing Neighbourhood Team & engaged tenants, Poole Housing Partnership – Residents Group, 2 x BCP Councillors Sessions. Recorded presentations were also sent to internal staff in Adult & Children's Social Services directorates, associated groups and to the BCP Homelessness Partnership.
- BCP Council e-Newsletter

The website consultation page itself received more than 8,000 views.

15. Of the 209 responses, more than half of the respondents live in Bournemouth (56%) and the majority of respondents were also either Council or housing association tenants.

16. The proposal to 'include residency as an eligibility requirement' (87%) and the proposal to 'only restrict people who knowingly withheld / provided false information / deliberately worsen their situation to gain an advantage on the Scheme' (81%) had the highest levels of agreement

17. The proposal 'to not apply a restriction for people involved in unacceptable behaviour with housing needs which can only be met by social housing' (38%) had the lowest level of agreement

18. Respondents expressed strong feelings in their comments about:

- How applicants are prioritised
- Allocations being carried out in a fair way
- The criteria used to determine how housing is allocated
- The importance of treating applicants as unique cases and paying attention to their specific housing needs
- Prioritising applicants that meet the local connection criteria
- Not breaking families apart and, for those who do not have family connections, considering the impact on friendships and cultural connections
- Anti-social behaviour not being overlooked by the council and penalties being imposed consistently on those involved in unacceptable behaviour

- Considering the financial positions of applicants especially younger people
- The impact of inadequate housing on mental health and communal living
- Ensuring that the way housing is allocated is not abused by deception or by refusing perfectly suitable accommodation
- Not being heard by the council and/or being overlooked in favour of other applicants

Finalising the policy

19. The proposed Policy can be found at Appendix A, attention to the key points outlined below were raised as part of the consultation process.

Local Connection

20. Most people agreed with a 2 year residential criteria, with some consideration given to 3 years, it was concluded the 2 years to be the appropriate period of time aligning with Government guidance and limited merit with offering a 3 year criteria. This criteria included an important change to the Bournemouth policy, by excluding people with housing needs but no BCP connection which is in line with current legal counsels advice.

Area Preference

21. Although there was majority agreement following consultation not to apply Bournemouth, Christchurch or Poole area preferences when allocating homes, concerns were raised about the impact on Christchurch and Poole residents if an area preference was not included due an average longer accrued time on the register of Bournemouth applicants.
22. The perception being that Poole and Christchurch applicants would be disadvantaged because Bournemouth applicants appear to have been on the register for more than 10 years and also because the Bournemouth policy gives a 'time credit'.
23. Housing Register data as at the 1st September 2020 shows that the majority of applicants across BCP, applied for housing within the last 5 years and that Bournemouth applicants, during that period, more than doubled those in Christchurch and Poole combined.
24. When the legacy Poole & Christchurch Policies went live, applicants were invited to re-apply for housing and have their housing needs re-assessed. In both cases, there was a significant drop in the number of applications received and in the number of households who qualified for the register. In part this was due to the age of the data held and the fact that applicants had already moved or no longer had a need to move.

25. This is expected to be the case with the new policy and believe that this will bring a natural balance to the number of applicants across all areas, however we aim to ensure that existing applicants are not disadvantaged as a result of existing length of time on register.

Removing restrictions for unacceptable behaviour

26. This question received the most comments, all of which were negative. The majority felt it was unfair for people with a history of unacceptable behaviour to be prioritised for social housing and the proposal would be potentially rewarding people in those circumstances. The impact was felt to be restricting people who had always been good tenants if they lost out on a property because, for example, it had been given to someone who had been previously evicted for unacceptable behaviour.
27. Whilst acknowledging this is was not a popular proposal, it is noted that often the perpetrators of these behaviours are vulnerable themselves and the Council has a statutory duty to ensure advice, support and housing options exist for people in housing need to prevent recurrent homelessness and rough sleeping. By identifying those for whom social housing is the only housing solution and providing an agreed support plan for them, the aim is to break the cycle of negative behaviour and enable people to sustain a tenancy in the long term.
28. Having regard the consultation feedback, the proposed policy has been amended, stating people with a history unacceptable behaviour will be placed in the lowest band irrespective of their housing need. Alternative banding or priority, reflective of their needs, will only be considered under exceptional circumstances for this group if there is evidence they are engaged with a robust person-centred multi-agency support and housing plan.

Removing Financial restrictions & recognising Financial Hardship

29. The 3 existing policies restrict applicants who have an income which is in excess of ceiling levels set out within those policies.
30. Those levels are proposed to be removed as the policy restriction does not take in to account the financial situations of applicants and creates an automatic restriction for those who have affordability problems and whose housing needs could only be resolved by an offer of social housing.
31. Instead, an assessment will be made of household income, savings and investments, and an affordability test will be applied to establish if an applicant could meet their own housing needs in the private sector. Consideration will be given to overall financial means to either purchase or rent a property privately and whether their housing needs would prevent them from securing

suitable accommodation. An additional Financial Hardship band will be created.

Bedroom Needs Assessment – Removal of adult non-dependent children to qualify for own bedroom

32. Although 50% of those consulted agreed to this, there were concerns that by default, additional homelessness demand maybe seen if families ask their non-dependant children to leave home. Concerns were also raised that the average 18 year old wouldn't be able to afford to live on their own.
33. Based on this feedback, it is recommended that the proposed policy is retained but amended to clarify each case will be considered on its merits, particularly where it is not reasonable for the non-dependant to find an alternative home. Assessments will ensure the needs of families with younger children are balanced fairly, whilst also not inadvertently creating further pressures on homeless or social services.

Rough Sleeping & Preventing Homelessness

34. The Policy will more proactively support BCP Council's commitment to ending rough sleeping and preventing homelessness in a number of different ways including:
- Prioritising the Housing First scheme, homeless people and families in exceptional housing need with the direct offer of accommodation.
 - Supporting people to maintain their tenancies where they are at risk of repeated homelessness.
 - Providing tailored housing & support action plans to those who may have lost their home, due to unacceptable behaviour, but who are recognised as being vulnerable and requiring additional support to help them to sustain a tenancy in the future.

Policy Summary

35. Traditional housing allocation policies put local connection above housing need and create unrealistic expectations that social housing is the housing answer for most people. These policies result in applicants who have little or no realistic chance of being offered a move, sitting on waiting lists for years.
36. The proposed Policy takes an innovative approach to resolving this by putting need before local connection and offering tailored housing options advice to everyone who applies to join the list.
37. If a move isn't the only way to resolve a problem, tailored advice and support and signposting will be provided to applicants by the Housing Options service,

working with a range of partners including Community safety, private sector housing teams, Early Help, Children's & Adult services, health and voluntary and third sector services, so that people can be supported remain in their homes.

- 38. This proposed Policy will ensure that applicants with the greatest need will be identified quickly and provided with a realistic housing solution.
- 39. BCP HomeChoice will be launched with an updated website & online application process which provides applicants with improved self service capability to access wider housing options and their online housing plan and / or application. It is anticipated the website and policy will be launched in July 2021 subject to the IT mobilisation timetable.

Summary of financial implications

- 40. A number of IT software system changes are required to facilitate the new harmonised policy, including revisions to a more interactive online experience, estimated to cost in the region of £50'000. Grant income of £50'000 has been identified to cover these costs. The Council will work with its existing contracted Housing IT partner, Locata, to deliver the required changes. At a later stage the IT system will be tendered but the current provider will be engaged with to deliver this revised BCP policy.

Summary of legal implications

- 41. Local authorities are required in law to have an allocation scheme for determining priorities for the allocation of accommodation and the procedures to be followed.
- 42. This policy was required for harmonisation within 2 years of the creation of BCP Council and listed in the Statutory Orders. Whilst this deadline has been extended for a further 12 months by Government we are keen to progress as planned.
- 43. A review of the draft proposed policy was sought from Counsel. Counsel provided written advice on 21st January 2020. Counsel's view was that the draft policy was compliant with the relevant obligations regarding eligibility, qualification, reasonable and additional preference which are the statutory requirements of an Allocations Scheme. Counsel made some additional comments on the draft proposed policy which were actioned prior to the Consultation of the Allocation Policy. It is a legal requirement that any major changes to an Authority's Allocation Policy must be put out to Consultation as set out in Section 166A (13) of the Housing Act 1996. This is the Consultation period referred to in above. A Housing Allocation Policy can be subject to Legal Challenge by way of an Application to the Administrative Court. Although Counsel provided advice in relation to the draft policy it should be noted that the definitive decision as to lawfulness of the Policy would rest with the Court should such a challenge be made.

Summary of human resources implications

- 44. N/A

Summary of environmental impact

45. N/A

Summary of public health implications

46. The proposed Policy takes a person centred approach to meeting the housing needs of BCP Council's most vulnerable residents through early intervention and tailored housing options advice which aims to benefit health and wellbeing through housing.
47. We are committed to taking a multi-agency/partnership working approach to ensuring that we are able to find long term and sustainable housing solutions which support our residents to improve their independence and overall wellbeing.
48. To do this, we aim to make sure that our residents housing situations are considered whenever they come in to contact with any of BCP Council's services, and that we actively engage with our partner agencies, and draw on their expertise and knowledge, to provide as much help and support as needed, and as quickly as possible, to help them to find suitable housing.
49. Engaging in partnership working early on will enable us to make sure that our residents are able to sustain a tenancy and/or have a package of support around them to help them to do so. It will also allow us to create long term plans for those who will need social housing, in the future, for example long term hospital stays who will require complex discharge plans.

Summary of equality implications

50. An Equalities Impact Assessment has been completed and will remain relevant for the lifetime of the Policy.

Summary of risk assessment

51. N/A

Appendices

A – Proposed Housing Allocations Policy

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Housing Allocations Policy



1. Purpose Statement

- 1.1 The Housing Act 1996 requires all local authorities to have an allocation policy to determine the priorities and define the procedures that will be followed when allocating housing accommodation.
- 1.2 This policy sets out who can apply for social housing (Council housing and housing association properties) in Bournemouth, Christchurch and Poole and how we set priorities for who is housed.
- 1.3 BCP Council is committed to allocating housing in a fair and transparent manner and aims to use its scarce housing resources to meet the needs of its vulnerable residents and those in the greatest need of housing.
- 1.4 To meet these commitments the policy:
 - Takes a person-centred approach to allocating housing and prioritises those who are eligible for assistance and are in the greatest need.
 - Gives applicants choice in where they live and promotes safe and sustainable communities
 - Helps applicants to make realistic decisions about their future housing prospects by offering information on a wide range of housing options and needs tailored advice.
 - Provides an accessible, understandable and transparent scheme.
 - Helps the Council effectively manage its housing stock.
 - Recognises the need to balance local connection priorities for vulnerable residents and those with significant housing needs.
 - Aims to make sure that care leavers, families and vulnerable people with support needs are given as much help as possible to find suitable housing
 - Aims to provide help to applicants who are in crisis as early as possible
 - Prioritises providing applicants with a full range of housing options advice and realistic solutions to resolve their housing need, at the point of application.

2. Who the policy applies to

- 2.1 This policy applies to all those who wish to join the BCP Council allocation scheme for an allocation of social housing; Housing staff who are processing applications, providing housing options advice and allocating housing; Members who are acting on behalf of their constituents; and agencies supporting or acting on behalf of applicants e.g. Children and Adult Social Care.

3. This policy replaces

- 3.1 This policy replaces the three separate allocations policies in place in Bournemouth, Christchurch and Poole.

4. Approval process

- 4.1 In developing this policy, the Council has consulted with Members; housing associations who have housing in its area; the general public and local communities; and local voluntary and statutory agencies and partners including those who provide social and health care.
- 4.2 This policy requires Cabinet approval.

5. Links to Council Strategies

- 5.1 This policy supports the Housing Strategy.
- 5.2 During the preparation of this policy document due consideration has been given to the following Key Council Strategies:
- Housing Strategy
 - Homelessness Strategy
 - Tenancy Strategy
 - Stronger Community Strategy
 - Local Plan
 - Corporate Plan
 - Safeguarding Strategy
 - Adult Social Care Strategy
 - Corporate Parenting Strategy for Children In Care & Care Leavers
 - Crime & Disorder Reduction and Community Safety strategies
 - Customer Access Strategy
 - Health & Wellbeing Strategy
 - Domestic Abuse Bill 2020
 - Private Sector Housing Strategy
 - Equality & Diversity

6. The Policy

- 6.1 Legal Framework
This policy sits within a legal framework which includes the Housing Act 1996 (as amended by the Homelessness Act 2002 and the Localism Act 2011) the Homelessness Reduction Act 2017 and regulations issued by Government relating to allocations.

Appendix A – Legal Framework sets this out in more detail.

- 6.2 Qualification and Eligibility

Subject to rules relating to immigration status, Local Authorities have the discretion to decide which type of applicants can qualify for an allocation of social housing. BCP Council considers qualification based on:

- Housing Need and
- Local Connection to the BCP Council area

Allocations can also only be made to eligible persons and the Council cannot nominate to certain people from abroad with limited rights to remain in the United Kingdom or who are subject to immigration control. Persons from abroad can include British Citizens who have lived outside of the Common Travel Area and are not habitually resident in the Common Travel Area.

Applicants must also not meet any of the criteria which would prevent them from qualifying for the allocation scheme. These criteria include:

- Homeowners and those who have failed the financial test, subject to the level of housing need and following a financial assessment.
- Deliberately worsening own circumstances in order to gain advantage on the Scheme
- Providing false information or withholding information, which is a criminal offence.

Detailed information is set out in **Appendix B – Who Does Not Qualify**

Applicants will qualify to join the Scheme if they satisfy all 4 of the criteria listed below. They:

- Be over the age of 16
- Have a housing need; except for those applicants who wish to be considered for over 55 sheltered and accommodation for older people.
- Be unable to financially meet your own housing needs
- Be living or working in the BCP Council area and meet the local connection requirements OR meet one of the requirements for having an exception to local connection.

It is important to note that whilst we allow 16 and 17 year olds to join the Scheme, they cannot legally hold a tenancy in their own name until they turn 18. This means that they need to have someone who can act as a guarantor and hold their tenancy in trust for them.

The Council must give 'reasonable preference' to the following groups when it decides how to allocate housing:

- people who are homeless (within the meaning of Part 7);
- people who are owed a duty by any local housing authority under section 190(2), 193(2) or 195(2) (or under section 65(2) or 68(2) of the Housing Act 1985) or who are occupying accommodation secured by any such authority under section 192(3);
- people occupying insanitary or overcrowded housing or otherwise living in unsatisfactory housing conditions;
- people who need to move on medical or welfare grounds (including any grounds relating to a disability); and
- people who need to move to a particular locality in the district of the authority, where failure to meet that need would cause hardship (to themselves or to others)

Additional preference may be given to households in one of the reasonable preference groups listed above where they have been assessed as having urgent housing needs.

This includes those who:

- need to move urgently because of a life threatening illness or sudden disability; families in severe overcrowding which poses a serious health hazard; those who are homeless and require urgent re-housing as a result of violence or threats of violence, including intimidated witnesses, and those escaping serious anti-social behaviour or domestic violence.

Additional preference must be given to applicants who are current or previous members of the armed forces, who also has an urgent housing need, and who:

- is serving in the regular forces and is suffering from a serious injury, illness or disability which is attributable (wholly or partly) to the person's service,
- formerly served in the regular forces,
- has recently ceased, or will cease to be entitled, to reside in accommodation provided by the Ministry of Defence following the death of that person's spouse or civil partner who has served in the regular forces and whose death was attributable (wholly or partly) to that service, or
- is serving or has served in the reserve forces and is suffering from a serious injury, illness or disability which is attributable (wholly or partly) to the person's service.

Detailed information is set out in **Appendix C – Who Can Qualify**

6.3 Banding Scheme

The Council uses a banding system to prioritise applications on the Scheme. The scheme has 4 bands – Emergency, Gold, Silver and Bronze. All applicants who qualify to join the Scheme will be placed into one of these bands.

Detailed information is set out in **Appendix D – Banding Scheme**

Applicants who have been assessed as having an exceptional housing need will be awarded an Emergency Band, and will be allocated accommodation directly based on their specific housing needs (See **Appendix G – Emergency Band - Emergency Offer**)

6.4 Application and Assessment Process

BCP Council uses an online application form process, with support being made available for our most vulnerable residents and those who are unable to complete this on their own and do not have support to do so.

Following application, people will be contacted by an officer for a pre-assessment interview. The pre-assessment interview will allow us to fully:

- consider housing options and formulate individual housing plans
- identify the urgency of the need for housing
- arrange multi-agency meetings (where necessary)

A full assessment will only take place following a pre-assessment interview and once we have received all of the supporting documents and any other information we need, in order to do so.

Following assessment we will provide applicants with a full range of realistic options to resolve their housing need, and which is tailored to their circumstances.

Applicants will be required to provide documents, and evidential information, to support their applications and we will assist our vulnerable residents to do so.

Detailed information is set out in **Appendix E Application and Assessment Process**

Once assessed, applicants will be awarded the band which has been assessed as most reflects their housing need. They will have the right to request a review of this decision if they do not agree with the assessment. **See Appendix H - Administration**

6.5 Allocations and Lettings

The majority of BCP Council and housing association vacancies will be let through the choice based lettings scheme

The choice based lettings system will automatically place bids on properties which meet the applicants' needs and the area and property type preferences which were selected by them at the point of application.

Bids can be viewed and amended by the applicant at any time, prior to the bidding cycle closing, and bids can be manually placed on additional properties, up to a total of 6 bids in any one cycle.

At the end of the bidding cycle, all the bids are shortlisted and prioritised by the choice based lettings system based on band.

Unless the property is subject to additional priority preference e.g. to meet the terms of the S106 or Local Lettings Policy, the nominated applicant will be the one who is in the highest band and has the earliest effective band date, except where the property has been labelled to give priority to a particular type of applicant.

Detailed information is set out in **Appendix F Allocations & Lettings**

6.6 Allocations Made By Way of An Emergency Offer

In order to meet the needs of its most vulnerable residents, there may be occasions where it will be necessary for BCP to allocate a property outside of the normal choice based allocations process and make a direct offer to an applicant. This will only occur when a household have been assessed as having a need which can only be met by an offer of a Council or housing association property. The emergency offer option will be awarded to those who meet one, or more, of the criteria outlined below:

- there are medical or welfare needs which are so severe that the protection of vulnerable adults or children is only possible in a permanent home and where the present housing circumstances could deteriorate to such an extent as to place household members, particularly children, at risk or in need of specialist care unless permanent housing is offered.
- there is a need for extra care or supported housing accommodation and this need is supported by Social Services.

- for community safety purposes
- one, or more, members of the household have significant medical needs which can only be met through an offer of a property which meets their specific property adaptation requirements and they have been assessed by the Bespoke Housing Group as requiring such a property.
- victims of domestic violence, where there is a significant risk of violence or harm, and the victim cannot be safely accommodated in a refuge or other temporary accommodation.
- where someone cannot be discharged from hospital because their home is, and will remain, permanently impossible to live in.
- homeless people or families households whose needs are such that BCP Council would only be able to discharge its Duty with an offer of Council or social housing, as agreed by a senior officer.
- Housing First applicants
- where there is a significant threat to life or risk of serious and permanent disability
- you have been assessed as having an exceptional housing need, but do not otherwise meet the local connection criteria, and would qualify for an Emergency Band - Emergency Offer of accommodation only in the BCP area
-

These applicants will be awarded an Emergency Band.

Detailed information is set out in **Appendix G Emergency Band – Emergency Offer**

6.7 Administration

This includes:

- Information Sharing & Data Protection
- Giving false or withholding information
- Cancelling and Suspending Applications
- Confidentiality
- Right to Review
- Transfers
- Equality
- Changes to the Scheme
- Complaints
- The Local Government & Social Care / Housing Ombudsman
- Access to Personal Information
- Who to contact for further advice

Detailed information relating to the administration of the scheme is set out in **Appendix H Administration**.

7 How to use this policy

7.1 This policy is supported by appendices which detail how the policy is implemented. These are:

- Appendix A – Legal Framework
- Appendix B – Who Cannot Qualify
- Appendix C - Who Can Qualify

- Appendix D – Banding Scheme
- Appendix E – Application and Assessment Process
- Appendix F – Allocations and Lettings
- Appendix G – Emergency Band – Emergency Offer
- Appendix H - Administration

8 Roles and responsibilities

8.1 Decision Making and Changes to the Scheme

To ensure the allocation scheme is operating fairly and within the law, the Director of Housing, in consultation with the Housing Portfolio Holder, will be able to approve minor amendments to the policy and scheme providing that the amendment is not considered to be major or have a negative impact on more than five percent of applicants on the allocation scheme.

The majority of decisions will be made by the officers assessing applications. For decisions required above normal assessments these are detailed below and will be the responsibility of officers working in named positions or an officer at a higher level within the Housing Service if they are unavailable.

Decision	Responsible Person
Approval for Emergency Band.	Senior Officer
Direct Offers & Discretionary Allocations	Senior Officer
Local Lettings Plans	Senior Officer
Restrictions from Allocation scheme	Senior Officer
Sensitive Lettings	Senior Officer
Properties excluded from the letting process	Senior Officer
Suitability of offers and refusals	Officer
Reviews and appeals	Senior Officer

9 Enforcement and sanctions

- 9.1 Failure to comply with the Allocations Policy can leave the Council at risk of a charge of maladministration and judicial review.
- 9.2 Application assessment will be monitored to ensure compliance.
- 9.3 Nominations will be reviewed on a regular basis to ensure that properties have been allocated as per the terms of the policy.

APPENDIX A – LEGAL FRAMEWORK

In setting its Housing Allocation Policy, the Council has had regard to legislation, Government guidance, regulations and ministerial letters, including:

1. Statutes

- The Housing Act 1996
- The Homelessness Act 2002
- The Equality Act 2010
- The Localism Act 2011
- Homelessness Reduction Act 2017

2. Regulations

- Allocation of Housing (Procedure) Regulation 1997; SI 199/483
- Allocation of Housing (England) Regulations 2002; SI 2002/3264
- Allocation of Housing and Homelessness (Eligibility) (England) Regulations 2006, SI 2006/1294 (as amended)
- Allocation of Housing (Qualification Criteria for Armed Forces) (Armed Forces)(England) Regulations 2012; SI 2012/2989
- The Allocation of Housing and Homelessness (Review Procedures) Regulations 1999
- Allocation for Housing (Qualification Criteria for Right to Move) (England) Regulations 2015; SI 2015/967
- The Housing Act 1996 (Additional Preference for Armed Forces) (England) Regulations 2012, SI 2012/2989

3. Codes of Guidance

- Allocation of Accommodation: Guidance for Local Authorities for Local Housing Authorities in England (DCLG 2012);
- Providing Social Housing for Local People: Statutory Guidance on Social Housing Allocations for Local Authorities in England (DCLG, December 2013)
- Right to Move: Statutory Guidance on Social Housing Allocations for Local Housing Authorities in England (DCLG, March 2015)
- Improving Access to Social Housing for Victims of Domestic Abuse in Refuges or other types of Temporary Accommodation (MHCLG, November 2018)
- Homelessness Code of Guidance For Local Authorities 2018.
- <https://www.gov.uk/guidance/homelessness-code-of-guidance-for-local-authorities>

APPENDIX B - WHO DOES NOT QUALIFY

1. Immigration Status

Eligibility in respect of immigration status is set out in the Housing Act 1996:

<https://www.legislation.gov.uk/ukpga/1996/52/section/160ZA>

You will not be eligible to qualify for the allocation scheme if you are not entitled to access to public funds due to your immigration status. This includes applicants:

- who are subject to immigration status, unless he/she is of a class prescribed by the Secretary of State, or is currently a tenant of the Council or a housing association
- whose right to reside is solely derived from his or her status as a jobseeker, or as a family member of a jobseeker, or is an initial right to reside for a period not exceeding three months. As set out in Reg (4)(b)(i) and (ii) of the Eligibility Regulations
- who are not habitually resident in the UK or are exempt from the habitual residence test
- who have the right to reside in the UK, or the Common Travel Area, as a result of being the primary carer of a British citizen residing in the UK where that British citizen would be unable to continue to reside in the UK if the primary carer left.

If you are eligible for housing but your partner is not eligible, because they fall into one of the above categories, you will be able to bid for accommodation but, if you are successful in securing a tenancy, you will not be able to have a joint tenancy with your partner. In this case, the application will be in your name alone and, if you qualify for an allocation, the needs of any ineligible members of your family will be taken in to account when assessing bedroom size, priority and any other matters.

Most persons from abroad, who are not subject to immigration control (including British Citizens) must also be habitually resident in the Common Travel Area (CTA) and/or have the right to reside in the CTA in order to be eligible to join the Scheme. This is known as the 'habitual residence test'.

The Common Travel Area is:

- United Kingdom
- The Channel Islands
- The Isle of Man
- The Republic of Ireland

Habitual Residence

In order to pass the habitual residence test, the Council will need to be satisfied that a person is actually resident in the UK and has both an appreciable period of residence and a settled purpose of establishing residence. The Council will consider all the circumstances of each case and there is no set period for an appreciable period of residence.

The Council will generally make inquiries into habitual residence where applicants have not lived in the UK for the whole of the previous two years. For applicants who had previously lived in the UK, have returned to live in the UK, and have a settled purpose of remaining in the UK, the appreciable period of residence could be very short and they could be immediately habitually resident.

The Council will consider when the applicant left the UK, how long the applicant had previously lived in the UK, why he or she left the UK, how long did he or she intend to remain abroad, his or her reason for returning, whether his or her partner and/or children also left the UK, whether the applicant kept any accommodation in the UK and, if so, what were the arrangements, what links the applicant kept with the UK, whether there had been other brief absences and his or her reason for coming to the UK, and any other relevant circumstances.

For applicants who have not previously lived in the UK, the Council will consider how long the applicant has now lived in the UK, whether he or she is joining family or friends in the UK, what his or her plans are, how long he or she has now lived in the UK, how long he or she lived in another country and what ties they have with that country, and where their centre of interest is located.

Further details as to what circumstances can be considered can be found at Annex of the Homelessness Code of Guidance for Local Authorities (2018).

EEA Nationals

EEA nationals living in the UK and all people with EU rights to reside (including family members of EEA nationals and 'Zambrano carers') can apply to the EU Settlement Scheme until 30 June 2021. Successful applicants who can prove they have lived continuously in the UK for five years get 'EU Settled Status'. Those who can prove residence for shorter periods get 'EU Pre-Settled Status' and can later apply to convert this into EU Settled Status.

EU Settled Status is indefinite leave granted with no conditions attached and so people with this leave are eligible for housing and benefits. For housing and homelessness services they are in eligible class C.

EU Pre-Settled Status is limited leave and does not help a person qualify for universal credit/housing benefit, or in England and Wales obtain housing and homelessness services.

2. High Risk Offenders

People with an offending history will always require an appropriate risk assessment in the first instance, which will take MAPPA (Multi-Agency Public Protection Arrangements) guidance into account where appropriate. They will only be considered for the waiting list once a multi-agency risk assessment is carried out to consider what type of accommodation is appropriate.

3. Deliberately Worsening Own Circumstances to Qualify for the Scheme

The Council will assess whether you have deliberately worsened your housing situation in order to qualify for the Allocation Scheme and if you are found to have done so, you will be unable to join the Scheme. Deliberately worsening circumstances includes:

- giving up suitable accommodation to move into accommodation which, at the time you moved in, was unsuitable for your household's needs.
- selling a property which was affordable and met your household's needs
- giving up a tenancy which was reasonable for you to occupy, without first securing suitable alternate accommodation, and the accommodation met your household's needs
- taking deliberate or wilful action to cause the accommodation to not be suitable anymore; for example causing damage to the property or neglect
- by causing your property to become unsuitable, through overcrowding, by moving other people into your household who would not be reasonably expected to live with you

When making a decision as to whether a property had been reasonable for you and your household to continue to live in, the Council will consider guidance set out in Chapter 6 of the Homelessness Code of Guidance 2018 (as amended).

4. Providing false information or withholding information

It is a criminal offence for anyone applying for housing from a housing authority to knowingly or recklessly makes a statement which is false in a material particular or knowingly withholds information which BCP Council have reasonably required them to give in connection with the exercise of our functions (Section 171 of the Housing Act 1996).

Anyone found guilty of such an offence may be fined up to £5,000 and/or a possible prison sentence and could lose the tenancy if they have been re- housed as a result of providing false information or deliberately withholding information.

Applicants, who are found to have made fraudulent claims in this way, will be removed from the Scheme and notified in writing. This decision will be subject to review and the applicant (or their named advocate) will be informed in writing of the decision and of their right to request a review of that decision in writing.

The Council will consider taking action against a professional organisation that knowingly or recklessly provides false information or deliberately withholds information on behalf of an applicant they are representing.

5. Homeowner and/or Failed the Financial Test

The Council wishes to ensure that the limited social housing resources are allocated to those applicants who are most in need and who do not have the financial means to resolve their own housing needs.

Homeowners

If you are a homeowner you will be unable to join the Scheme unless you have been assessed as having an extra care need that can not be provided for in your own home or by your own means or you require substantial adaptations which cannot be carried out in your home and a suitable property would not be available in the private rented sector or buy. Evidence from Adult Social Care, together with an Occupational Therapy report will be required to support your application. Qualifying decisions, in these cases, are to be made by a senior officer in conjunction with Adult Social care.

Financial Assessments for all Applicants

An assessment will be made of your household income, savings and investments, and an affordability test will be applied to establish if you could meet your own housing needs in the private sector. We will consider if you have the financial means to either purchase or rent a property privately and whether your housing needs would prevent you from securing suitable accommodation. This assessment will be made taking in to account your income, capital, savings and investments and outgoings, based on the applicable amounts which have been set by the Government and which reflect the basic living needs of applicants and their family.

You can see the latest 'applicable amounts' by visiting Shelter's website (note: These amounts change in April of each year):

When making our assessment we will disregard the following:

- Any lump sum payment received by a member of the Armed Forces where it can be evidenced that this was received as compensation for an injury or disability sustained during active service
- Disability Living Allowance
- Personal Independence Payments
- Attendance Allowance

If you have sold a property within the last 3 years, and the funds you received from that sale would have allowed you to meet your long term housing needs, but you have disposed of these funds, the Council reserves the right to restrict you from the Scheme.

If you transferred the ownership of your home to a family member, within the last 5 years, and the proceeds of a sale could have allowed you to meet your long term housing needs, the Council reserves the right to restrict you from the Scheme.

6. Qualification Decisions

Where the officer assessing your application believes that you would not qualify or are not eligible, they will refer your case to a senior officer who will make the final decision.

If you have been awarded, or are owed, a homeless duty by BCP Council you will qualify for the allocation scheme even if you meet any of the criteria above. However, if that duty ends you will only qualify if you no longer meet the criteria.

Applicants who have been assessed as having an urgent housing need, which cannot be resolved with an offer of private sector housing, and who have either been awarded a Group One Medical or Welfare band or have been awarded an Emergency Band – Emergency Offer (See appendix G) will also qualify even if he or she meet the criteria set out above.

Where a decision has been made that you are not eligible, or do not qualify, you will be notified in writing and you will have the right to request a review of that decision. (See Appendix E)

You have the right to re-apply if your circumstances have changed and you would no longer meet the criteria.

APPENDIX C – WHO DOES QUALIFY

BCP Council is committed to allocating housing in a fair and transparent manner and aims to use its scarce housing resources to meet the needs of its vulnerable applicants, and those in the greatest need of housing.

In order to qualify for the Allocations Scheme you must:

- Be over the age of 16
- Have a housing need, except for those applicants who wish to be considered for over 55 sheltered and accommodation for older people.
- Be unable to financially meet your own housing needs
- Be living or working in the BCP Council area and meet the local connection requirements OR meet one of the requirements for having an exception to local connection.

It is important to note that whilst we allow 16 and 17 year olds to join the Scheme, they cannot legally hold a tenancy in their own name until they turn 18. This means that they need to have someone who can act as a guarantor and hold their tenancy in trust for them.

Housing Need

Reasonable Preference

To be considered to have a housing need you will need to meet one, or more, of the following reasonable preference criteria:

- be living in overcrowded, insanitary conditions or otherwise unsatisfactory housing conditions
- be fleeing and/or need to recover from the effects of violence or threats of violence, or physical, emotional or sexual abuse
- need to move due to a medical condition, disability or other health related reason or to access specialist medical treatment
- be a Care Leaver or someone with a high level of support needs who is also in need of accommodation
- be homeless or at risk of homelessness and have been awarded a Duty by BCP Council
- need to move to the area to give or receive care and has been recognised as having an exception to the local connection criteria
- have a welfare need to move which is not covered elsewhere in this policy, could cause significant hardship if it were not met and the welfare need will only be met by a move into a council or housing association property

Further definition of these criteria are set out further below in the document.

The Council exercises its discretion to include applicants who do not have a reasonable preference but who would qualify for inclusion on the Scheme. These are:

- BCP residents living in a Council or housing association property which is now too big for your family's needs
- BCP residents who want to be considered for older persons, over 55 and sheltered accommodation.
- BCP residents who have the right to legally succeed to a Council or housing association tenancy but the property is too big for your needs
- Residents in Council or housing association properties which have been adapted for a disabled person but that person is no longer living in the property.

- BCP or Council housing association tenants who require a permanent decant.
- Service Personnel who meet the criteria set out under [Exception to Local Connection](#).
- BCP residents who would qualify for a discretionary allocation as set out in Section 4 of **Appendix F – Allocations & Lettings**

BCP Council will monitor allocations to applicants in these groups to ensure that these do not unduly nominate those who do have a reasonable preference and against quotas set out in the Allocations Plan, which may be published and reviewed annually.

We assess housing need as follows:

1. Bedroom Needs Assessment

When assessing your bedroom need we use the table below:

Family Size	Size of Accommodation
Single person	Bedsit or one bedroom
Single person who has children who visit on a regular basis	One bedroom
Two adults living as a couple	One bedroom
Adult couple or single person, with one child	Two bedrooms
Adult couple or single person, with two children of the same sex under 16	Two bedrooms
Adult couple or single person, with two children of opposite sexes under 10	Two bedrooms
Adult couple or single person, with two children of opposite sexes over 10	Three bedrooms
Adult couple or single person with one child under 10 and one child over 10, of opposite sexes	Three bedrooms
Adult couple or single person, with three children under 16	Three bedrooms
Adult couple or single person with four or more children	Subject to the age and gender of the children.

If anyone in the household is pregnant we will recognise a bedroom need 12 weeks from the baby's due date. This does not automatically mean that you will be awarded an extra bedroom for that child as we will calculate its need based on the existing members of the household, in line with the table above.

BCP Council, or Housing Association tenants in the BCP area, who are required to be permanently decanted from their homes will be given the option to either bid for properties which have the same number of bedrooms as their current accommodation or for properties which meet their housing needs, should these two things not be the same.

When deciding how many bedrooms you need, we assess how many people you have in your household.

To be included in your household they would need to be:

- your partner, living with you in a permanent relationship
- your children who are under the age of 18
- your children who do not currently live with you but who are coming out of social services care and who are under the age of 18.
- children, under the age of 18, that you have fostered or adopted. You will need to provide evidence that this approval has been granted.
- your children, over the age of 18, for whom you have continuing caring responsibilities due to medical or disability needs.
- your children over the age of 18 who are registered as your full-time carer.
- dependant relatives who have had to join you to receive care but only if that was the only option available to the family. We will consider if it was appropriate for that person to come and live with you based on what their circumstances are. In some cases it may be more reasonable for you to move in with them, if their home is big enough for you all, or if they own their own property and have the funds available to purchase a home for you all. In this case a 'relative' means parents, grandparents, children, grandchildren, siblings, uncles, aunts, nephews and nieces, including step-relations and half-relations.
- a carer. If you require personal care both day and night and this is being provided by someone who does not form part of your household then you may be entitled to an extra room for the person. We would expect that you would be in receipt of Carer's Allowance and Disability Living Allowance with the highest care component. Your carer must be recognised, employed by, or working on behalf of Adult Social Care and we would expect them to be a named person (unless your care is provided on a rota arrangement made by Adult Social Care or an agency on their behalf) See [Extra Bedrooms](#) for more information.
- a member of your household who is due to be released from prison and lived with you before they were imprisoned.
- your children who are studying at university and living in halls of residence during term time or are serving in the Armed Forces and living in barracks, (unless they have made an application for housing in their own right).

Who is not included in your household:

- partners of your children who you have allowed to move in with you
- children who do not normally live with you but who you have a shared responsibility for. We will only consider these children if you are shown to have main parental responsibility and that your home is considered to be their main and principal home. To determine this, we will consider details set out in Court orders or legally agreed sharing agreements; receipt of benefits, addresses registered with doctors and schools; how often they stay with you.
- children over the age of 18 (excluding those set out in those who are included or where it has been confirmed by the Housing Service that they should still remain part of the household).

We will also consider what other rooms you have in your home and, if you have both a lounge and a dining room, we would consider that one of these could be used as a bedroom so will include that in to our calculations.

2. Extra Bedrooms

We recognise that there are occasions when families need extra bedrooms and will consider these requests if there is sufficient evidence to support it. We may consider the following reasons:

- sharing with another family member whose care needs or behavioural problems

severely affect your ability to sleep, which in turn negatively impacts on your employment or mental health.

- In the case of children, this may also apply to schoolchildren whose ability to study and complete homework is negatively impacted. Supporting evidence would need to be provided from an occupational health provider, a consultant psychiatrist, head teacher or principal, or other relevant professional.
- where grandparents and grandchildren would otherwise be sharing.
- you, or a member of your household (adult or child), need overnight care (and you do not have a carer in your household) and this has been confirmed as part of your housing and health needs assessment. You will need a Community Care Assessment to show that you need permanent and substantial overnight care on a regular basis. This would include assistance to turn in bed because you cannot do this yourself to reduce the risk of pressure areas, changing of incontinence aids, liquid feeds. You will be asked to provide occupational therapy and community care reports to support your request for an additional bedroom.
- you, or a member of your household (adult or child), need major medical equipment for the long term, such as home dialysis, equipment for percutaneous external gastrostomy feeding, long term large assistive equipment for example wheelchair, mobile hoists, hospital beds.
- you, or a member of your household (adult or child), need substantial psychological support due to a major psychiatric illness certified by a consultant psychiatrist (for example, progressive dementia, schizophrenia, bi-polar disorder, severe learning difficulties, severe and longstanding neurosis which is poorly controlled by medical treatments) **and** you are assessed as being incapable of living independently in the community by a medical professional.
- there is a child, up to the age of 16, in your household who has a severe or profound learning difficulty, with a presentation of behavioral or emotional difficulties who exhibits sexually exploratory behaviour or other inappropriate behaviour of a serious nature and has a limited understanding around the impact of this on others. This will need to be certified by a consultant psychiatrist.
- a member of your household is transitioning and are unable to share a bedroom with other family members who are the same gender as they identify with. This is particularly relevant if this person is undergoing gender re-assignment surgery and/or if there is medical or psychiatric evidence to support the need for their own room.

People who are in receipt of formal overnight care which is being provided by NHS continuing care nurses, visiting agency carers etc, will not be considered for an additional bedroom.

Additional bedrooms will only be considered if documentation showing that an assessment of need which supports an additional bedroom has been undertaken by the appropriate health or care professionals.

It is important to note that the award of an extra bedroom, for Allocation Scheme purposes, does not mean that you will receive the full housing benefit rate. Housing Benefit will only pay for an extra bedroom in certain circumstances e.g. where a child needs their own room and is in receipt of middle or higher rate Disability Living Allowance.

Your request for an additional bedroom will be assessed by a senior officer.

3. Overcrowding

If we have assessed you as requiring one, or more, bedrooms than you have in your current home, you will be awarded one of two overcrowding bands. These bands are:

Gold – Overcrowding

You will only be awarded this band if you have been assessed as having a Category 1 Hazard under Part 1 of the Housing Act 2004 and/or are statutorily overcrowded under Part 10 of the Housing Act 1985. This means that your property will need to be inspected before you can be considered for this band.

To allow you to bid on properties at the earliest opportunity, if you are assessed as being overcrowded you will be initially awarded the Silver band until such times as we have confirmed that you meet the Category 1 criteria.

This band does not apply if you have been awarded a homeless duty and are living in temporary accommodation.

Silver – Overcrowding

You will be awarded this band if you have been assessed as needing one, or more, bedrooms but do not meet the Gold band criteria.

4. Under Occupation

We recognise that there is limited social housing stock in the BCP Council area and that there are residents living in Council or housing association properties which are now too big for their needs, based on the housing needs assessment table set out in section 1.

We also recognise that residents who need to downsize may have a rent debt, due to housing benefit deductions related to the bedroom subsidy, and that this creates a need to move to prevent further financial hardship.

To assist these residents to move we award Gold Band – Under Occupation.

5. Insanitary Conditions

If you are living in a privately rented property which is in need of significant repairs and your landlord cannot or will not resolve these, you may be considered to have a housing need.

In every case, we would expect you to be talking to your landlord about making repairs, and you will need to provide evidence to show that you have done that but if the repairs are still not being carried out we will come out to visit you to assess the level of repairs which are needed.

If the repairs are minor, and the property otherwise meets all of your housing needs, we will liaise with your landlord to get these resolved for you.

If we feel that the repairs are of such a significant nature, we will ask a Private Sector Housing officer to visit to assess the works required. If their assessment identifies that there are significant hazards (under Part 1 of the Housing Act 2004) and that those hazards cannot be reasonably removed or reduced to a satisfactory level within a reasonable timescale (this is called a Category 1 Hazard) you will be awarded Gold Band – High Disrepair.

We will remove this band if the works are then subsequently completed or if the works could be completed but it has been found that you have refused to co-operate with your landlord to allow these works to be carried out.

If you are a Council tenant, or tenant of a housing association, we would expect these repairs to be carried out as part of your landlord's responsibilities. As such, unless you have another reason to move, you will not be able to join the Allocation Scheme but we will support you to work with your landlord to have these repairs carried out.

6. Domestic Abuse

If you are an existing social housing tenant with either a secure or assured tenancy, and the Council is satisfied that you or a member of your household has been a victim of domestic abuse, you will be granted a new lifetime tenancy if you are given an offer of accommodation.

Victims of domestic abuse who have been placed into temporary accommodation or a refuge in the BCP Council area may be granted an exception to the local connection requirement dependent upon their housing options assessment.

If there is a significant risk of violence or harm and you cannot be safely accommodated in a refuge, other temporary accommodation or rented accommodation, you may be given an Emergency Band to enable you to move dependent upon their housing options assessment.

If you are placed into temporary accommodation, or a refuge under a homeless duty, you may be awarded a Gold Band for Group One Welfare dependent upon your housing options assessment.

7. Tenancy Succession

If you have been living with a Council or housing association tenant and they have passed away, you may be entitled to succeed to their tenancy. Your landlord would be able to let you know if you do have this right.

This might include where you have no legal right of succession but the Council or partner housing provider's tenancy agreement or succession policy dictates that a discretionary succession would be reasonable and proportionate, and the applicant has a need to move to alternative accommodation.

Even if you have been given the right to succeed, if the property is too big for your needs you will need to move and to help you to do that, we will award you a Gold – Tenancy Succession band.

If you don't have the right, your landlord will need you to move out and you should contact us to discuss your housing options as you may be threatened with homelessness if you don't move.

8. Severe and/or Persistent Harassment

If there is an immediate or serious risk to your household, and the Police or another appropriate agency provides us with evidence to support that this risk exists, then we will award you a Gold High Severe and/or Persistent Harassment Band.

We would not normally award this band for Council or housing association tenants who are experiencing anti-social behaviour and/or neighbour nuisance because we would expect their landlord to be taking action to resolve the issue. However, we would consider cases where there is a risk to the household, particularly if they are giving evidence against the perpetrators in order for the landlord to take legal action against them.

9. Additional Support Needs – Care Leavers and Move-On from Supported Housing

The Council wants to make sure that care leavers and vulnerable people with support needs, who are in need of accommodation, are given as much help as possible to find suitable housing. If you have recently moved, or are about to move, from supported accommodation, a care placement, hospital or rehabilitation facilitated by the Council and you are assessed as able to sustain an independent tenancy, you may be eligible for a Gold band.

If you are a young person aged 25 or under who has been looked after, fostered or accommodated by BCP Council between the ages of 14 and 18, for a period amounting to at least 13 weeks in total, and the council has a duty of care accepted under the Children Act, you may be eligible for Gold Band – Care Leavers Move-On, if your care placement is coming to an end or has ended recently and you have been assessed as being able to manage a tenancy.

If you are a vulnerable person with support needs who is ready to move on to independent housing following a stay in hospital or a period of living in Council commissioned supported accommodation, you may be eligible for Gold Band – Supported Housing Move-On. We will take a multi-agency approach to plan, assess and review your particular needs which may include a funded support package which goes beyond your housing related support needs.

In cases where your assessment shows you are not yet ready to sustain an independent tenancy, you may be referred to supported housing or other housing for a period of time dependent on your individual needs. Your application will not be made live until an appropriate officer has assessed you as ready to move on to independent living.

To qualify we would also need evidence to show that your health and wellbeing would be significantly impacted, in a negative way, if you were to move onto any type of non-secure property, for example private rented, and that social housing is considered the only suitable option for you.

10. Quota

In certain circumstances, BCP Council will aim to let a % of available properties to applicants in specific bands, either to meet legislative requirements or to ensure that nominations to those who do not have a reasonable preference do not unduly dominate those who do meet the requirement.

The quota %, in each group, will be set out in the Allocations Plan and will be monitored and reviewed annually.

11. Medical Needs

If you are applying for housing because of health or medical issues we will assess your application based on information provided by recognised medical professionals for example your GP, a Consultant or Occupational Therapist.

We will only consider this information if it is demonstrated that:

- your medical condition is being caused by or made worse by your housing conditions **and**
- your current property cannot be improved or adapted to meet your needs at a reasonable cost **and**
- rehousing is likely to significantly improve your condition

We will not consider applications under medical grounds for the following:

- health problems that are not affected by your housing or cannot be improved by moving you
- medical issues which relate to housing defects which can be resolved by action taken by you, or your landlord
- you are homeless and have been provided with temporary accommodation by BCP Council. (This is because you have the right to seek a suitability review of the accommodation if it is impacting on your health and wellbeing)
- the medical issue relates to someone who is not part of your household
- time related medical issues, for example pregnancy, or a broken leg.

Medical banding decisions will be made following an assessment and if you are found to have a housing need, you will be awarded one of two bands – Gold – Group One Medical or Silver – Group Two Medical.

Group One

We would consider you to be in this group if your home is so unsuitable for you that it has resulted in you being completely housebound; or at risk of injury or relapse; or unable to live independently. Moving you must be the only way to resolve the problem. Examples of people who might fall within Group One include, but is not limited to, anyone who has one or more of the following conditions themselves, or whose household contains a person who has one or more of the following conditions.

You may be awarded Group One if you:

- are housebound and unable to access or exit your home due to your medical and housing conditions
- require the permanent use of substantial medical equipment at home, such as kidney dialysis equipment, mobile or ceiling track hoists, but your property, or landlord, prevents you from having this
- are a full-time wheelchair user requiring wheelchair adapted housing and your current home is not wheelchair adapted,
- have moderate to severe dementia and your property is becoming unsafe for you
- have had severe strokes or traumatic brain injuries resulting in a loss of function on one, or both, sides of the body,
- have advanced Motor Neurone Disease or Multiple Sclerosis.
- are totally unable to access essential facilities, and your property cannot be adapted to meet your needs
- live in a home which is now unsafe for you due to a change in your medical condition or mobility e.g. you have become severely sight impaired and are now at significant risk of injury due to falls.
- have developed epilepsy, are subject to regular seizures which cannot be controlled by medication and you live in a property with stairs, or which can only be accessed by stairs.
- are serving or have served in the Armed Forces and are suffering from a serious physical injury, serious mental or physical illness or disability which is attributable (wholly or partly) to that service.

Group Two

We would consider you to be in this group if your home is no longer suitable for you because you, or a member of your household, have one or more of the following circumstances:

- have significant back or knee problems and have difficulty carrying children or shopping upstairs,
- have a severe and enduring mental illness which you are no longer able to manage and where a move would substantially improve your wellbeing,
- have bilateral arthritis of the hips and knees and you use mobility equipment and you are struggling to enter or leave your home.
- have had moderate strokes with recovery of some function,
- have chronic obstructive pulmonary disease or emphysema and you are unable to get around in your home.
- have Schizophrenia or Bipolar Affective Disorder, which you are no longer able to manage because of your living conditions
- have an Autistic Spectrum disorder with behavioural problems, global developmental delay or moderate to severe learning disabilities and your home is becoming unsafe or causes an impact on other family members. If it is agreed to award an extra bedroom for you, or a member of your household, you will not receive an overcrowding band but will be able to bid for properties with one bedroom more than your needs as defined under [Bedroom Needs Assessment](#).
- a member of your household is transitioning and there is medical and psychiatric evidence to support the need for their own room whilst they are going through this transition, particularly in the case where gender re-assignment surgery is taking place. If it is agreed to an award of an extra bedroom you will not receive an overcrowding band but will be able to bid for properties with one bedroom more than your needs as defined under [Bedroom Needs Assessment](#).
- have cardiomyopathy or congestive cardiac failure or lung disease and can no longer manage the stairs into or inside your home.
- are serving or have served in the Armed and are suffering from a physical injury, mental or physical illness or disability which is attributable (wholly or partly) to that service

These are examples of medical conditions and not an exhaustive list. In all cases we will consider the impact of your accommodation on your medical conditions.

BCP Council recognises that there are some situations which are so severe that an immediate move to suitable accommodation needs to be made. These applicants will be placed on to a separate housing list and allocated properties outside of the choice based lettings scheme. This is for cases whose medical needs are so significant that they require a purposely adapted property; they need to be discharged from hospital but cannot return to their home because it is unsuitable and it would be impossible to be adapted to meet their needs; or there is a significant threat to life or a significant risk of serious and permanent disability.

See Appendix G – Emergency Band - Emergency Offer for more information.

12. Welfare

If you are applying for housing because of welfare related issues we will assess your application based on information provided by professionals for example Police; Social Services; support agencies; or a medical Consultant.

We will only consider this information if it is demonstrated that:

- there is a need which has not been covered elsewhere in this policy
- this need could cause significant hardship if it was not met AND
- your welfare need will only be met by a move into a Council of housing association property.

Welfare banding decisions will be made following an assessment and, if you are found to have a housing need, you will be awarded one of two bands – Gold – Group One Welfare or Silver – Group Two Welfare.

Group One

You may be considered for Group One if you:

- or a member of your household is severely vulnerable due to frailty or advanced age.
- or a member of your household has a learning disability and needs to move into mainstream accommodation. This decision will be based on an assessment made by the Learning Disabilities Team.
- have undergone lengthy rehabilitation in residential surroundings and are ready to attempt independent living in the community and temporary accommodation would risk undoing the work of the centre or unit.
- are a victim of domestic abuse and have been placed in to temporary accommodation or a refuge
- need to move because of significant harassment and the risk of harm.
- have been approved by Children's Services to adopt or foster a child and you do not have a bedroom for them in your current accommodation.
- living in a property where you experienced a traumatic event for example the death of a loved one or domestic abuse

Group Two

You may be considered for Group Two if you:

- are otherwise adequately housed but you, or a member of your household, has a medically diagnosed condition which means that they need access to their own secure, outside space for example those with autism; ADHD; a learning disability.
- have been assessed by an officer of the Housing Team as having difficulty meeting your housing costs and where moving would prevent significant financial hardship. (A comprehensive financial assessment will be carried out to determine this).
- are living in a property which is having a detrimental impact on your welfare and there are no remedies available to improve the conditions, for example if you are living in a building with poor sound-proofing and day to day living noises from your neighbours is impacting on your wellbeing.
- are becoming socially isolated due to public transport no longer being readily available to you, for example due to limited mobility and bus routes changing.
- are living apart from your household, not by choice, but due to the lack of suitable accommodation for you. We will assess if it would be reasonable for you to live together; if you are living apart through choice; and if your needs could be met in either of the properties you are currently living in.
- you are living with an ex-partner, have recently separated or divorced, and wish to live independently and council or social housing has been assessed as being your only suitable option.
- you are living in accommodation where you are sharing facilities with other, separate households (excluding family and friends) and it is considered inappropriate for you to continue to share these facilities, e.g. due to another resident in the building.

These are examples of welfare needs and not an exhaustive list. In all cases we will consider the impact of your accommodation on your welfare needs.

BCP Council recognises that there are welfare needs which are so severe that the protection of vulnerable adults or children is only possible with an immediate move to a permanent home, and where the present housing circumstances, or situation, could deteriorate to such an extent as to place household members, particularly children, at risk or in need of residential care. These applicants will be placed on to a separate housing list and allocated properties outside of the choice based lettings scheme.

See Appendix G – Emergency Band – Emergency Offer for more information.

13. Permanent Decant

If you are a BCP Council or housing association tenant and your landlord needs your property back, because it needs major works or has been designated for rebuilding, renovation, demolition or re-designation and you will not be able to return to it, then we will award you Gold Band – Permanent Decant to assist you to move quickly.

Should you not be successful for an offer of a property, at 6 months prior to the date that full vacant possession of the property is required, you will be moved in to the Emergency Band and will be made a direct offer for a suitable property which meets your housing need.

14. Homelessness

You will be considered as homeless, or threatened with homelessness, (as set out in Part 7 of the 1996 Housing Act, as amended by the Homelessness Act 2002 and the Homeless Reduction Act 2017) if you meet one or more of the following criteria:

- You do not have accommodation which is available for you to live in which you are considered entitled to occupy because of an interest in the property; a court order; implied license or legislation which gives you the right to remain in the property or prevents another person from taking possession of that property.
- You are unable secure entry to your property
- You occupy a moveable structure, vehicle or vessel, which is designed or adapted for human habitation, but there is no place where you are entitled or permitted to both place and live in it.
- It is not reasonable for you to continue to live in your property.
- You will be homeless within 56 days
- You have been served with a valid notice under section 21 of the housing Act 1988 and that notice will expire within 56 days.

If you are assessed as being homeless, or threatened with homelessness, you may be awarded on of the following silver bands if you have a local connection OR do not have a local connection but have been awarded a homeless duty.

Silver – Homeless Local Connection

You have been assessed as being homeless, or threatened with homelessness, and meet the local connection criteria set out in this policy or you have been awarded a Main Housing Duty by BCP Council but do not have a local connection.

You will remain in this band until you are successfully accommodated.

This also applies if we have ended your duty but you are still homeless, and those who have not made an application for homelessness assistance.

Silver – Homeless Duty No Local Connection

You will be awarded this band if you have been awarded a Prevention or Relief Duty but you do not meet the local connection criteria set out in this policy. You will remain in this band until you are successfully accommodated or we end or discharge our Duty to you.

When you place a bid for a property, whilst in this band, you will be prioritised below all other Silver Band applicants but above those in Bronze.

15. Older Persons Accommodation

If you are in a Council or housing association general needs accommodation which otherwise meets your needs, but wish to move to over 55, sheltered or housing for older persons, you will be awarded Gold Band – Efficient Use of Housing Stock.

For residents in the BCP Council are who are not in social housing but wish to move to older persons accommodation, you do not have to have a housing need and will be awarded Bronze Band – Sheltered Housing.

16. Unacceptable Behaviour – Reduced Priority

Where the officer assessing your application believes that there is evidence of unacceptable behaviour, they will refer your case to a senior officer who will make the final decision as to whether or not to apply a reduced priority. Decisions will be made within the context of a multi-agency approach, taking into consideration:

- housing need
- evidence provided to show what steps have been taken to resolve an issue or change an unacceptable behaviour
- advice from agencies who are supporting you to prevent future unacceptable behaviour
- what rehousing options are reasonably available to meet your needs

If a decision is taken that you have committed unacceptable behaviour you may be placed into Bronze band – Unacceptable Behaviour.

A multi-agency approach will be taken to assessing the support you need to resolve this behaviour and the steps you will need to take towards being able to manage and sustain a tenancy. You will receive a personal Housing Action Plan which is tailored to your own, specific needs.

This action plan will be reviewed at least every three months or if your circumstances change and you will be re-assessed in to which ever band most reflects your needs, once the multi-agency group agrees that you are fully engaging with the plan and have made significant progress towards goals which have been set for you.

17. Management Transfers

BCP Council or housing association tenants living in the BCP area may be given a Gold Band housing priority if it is agreed by all parties that there is an urgent need to transfer them and their housing need could not already be met by a priority band already outlined in the Policy.

This priority will be time limited for 6 months but this period could be extended if no suitable property has arisen during this time. . Applicants will be expected to bid for the next suitable vacancy. If a suitable property arises and the applicant is successful in bidding but refuses the offer of accommodation then the priority will be removed and the application will be reassessed.

LOCAL CONNECTION

In order to qualify for a local connection, you will have to meet one, or more, of the criteria below:

18. Residency Qualification

You currently live in the BCP Council area and have done so for the last 2 years, continuously, prior to the date of your application.

19. Employment

You are employed in the BCP Council area and have been so for the last 12 months on a permanent contract, working more than 16 hours a week. Employment meaning your actual physical place of work rather than, for example, the location of your employer's head office.

For self-employed applicants, your registered address for tax purposes must be in the BCP Council area and have been so for at least 12 months continuously, prior to the date of the application.

If you are on a zero hour contract, an assessment will be made to ensure that you have been working for an average of 16 hours per week over the past 12 months.

20. Exception to Local Connection

You have been assessed by the Council as meeting one, or more, of the following criteria for an exception to local connection:

- you are owed a Prevention, Relief or Full housing duty by BCP Council under homelessness legislation.
- you need to move to the BCP Council area to give or receive essential and critical support where failure to do so would cause significant harm and where a move to social housing in the Council area is the **only** way to meet these support needs. Applicants who meet these criteria will be awarded Silver Band – Need to Move to Give or Receive Support. No further banding award will be made.
- there are special circumstances such as health or support needs that are only available within the Council area, for example specialist medical facilities or care provisions.
- you are assessed as having an urgent (emergency) need due to imminent risk of abuse, harm or racial or homophobic harassment, extreme anti-social behaviour, vulnerable witnesses or any other significant and/or immediate need to move to more suitable alternative housing accommodation, where a move to social housing is the **only** suitable accommodation option.
- due to institutionalisation, hospital admission or other regulation are not otherwise non-qualifying persons due to lack of local connection to the Council area being applied to (e.g.

offenders managed under MAPPA, and where BCP social housing is determined as the **only** suitable accommodation option

- you are a victim of domestic abuse and have been placed into temporary accommodation or a refuge in the BCP Council area.
- you are a 'looked after child' as defined by Children's Services and were formerly resident in the Council area but have had to be placed into accommodation outside of the area.
- you have been assessed as having an exceptional housing need, but do not otherwise meet the local connection criteria, and would qualify for an Emergency Band Direct Offer of accommodation.
- you are aged over 55 years and living in the BCP Council area but do not otherwise meet the local connection criteria and would like to move to housing for older people, over 55 or sheltered accommodation.
- you are an existing social housing tenant who lives outside of the BCP area and have been assessed as meeting the Right To Move qualifying criteria – see [Right To Move](#)
- you are currently serving with the regular armed forces, or left within 5 years of the date of the application (referred to in the Silver Band as Service Personnel)
- you have been asked to leave accommodation provided by the Ministry of Defence because your spouse or civil partner was serving in the regular armed forces and has died, and that his or her death was attributable (wholly or partly) to that service (referred to in the Silver Band as Service Personnel)
- you are serving or have served in the reserve forces and are suffering from a serious injury, illness or disability which is attributable (wholly or partly) to that service
- you are divorcing/separating partners of serving members of the Armed Forces and you are being asked to leave accommodation which has been provided by the Ministry of Defence
- you are living in commissioned supported housing within the Council area and have been recommended for move on.
- you are fleeing domestic violence from outside of the BCP Council area but have been placed into a refuge or temporary accommodation within the BCP Council area.

21. Right to Move

If you are a tenant with another Council or a housing association, you may be given an exception to local connection if you meet the Right to Move criteria if you:

- need to move to the borough or district to avoid hardship; and
- need to move because you work in the borough or district; or
- need to move to take up an offer of work; and
- the Council is satisfied that failure to meet this need would cause hardship (to you or to others in your household).

We could carry out an assessment of your needs to move but must be satisfied that you need, rather than want or wish, to move for work related reasons.

A number of factors will be taken into account in determining this including:

- The distance and/or time taken to travel between work and home.
- The availability and affordability of transport, taking into account level of earnings.
- The nature of the work and whether similar opportunities are available closer to home.
- Other personal factors, such as medical conditions and childcare, which would be affected if the tenant could not move.

- The length of the work contract.
- Whether failure to move would result in the loss of an opportunity to improve their employment circumstances or prospects, for example, by taking up a better job, a promotion, or an apprenticeship.

You will not qualify if work is short-term or marginal in nature, or if it is ancillary to work in another district. Voluntary work is also excluded. (In this context “voluntary work” means work where no payment is received or the only payment is in respect of any expenses reasonably incurred).

We will also consider the following:

- whether work is regular or intermittent - this is likely to be particularly relevant in the case of the self-employed.
- the period of employment and whether or not work was intended to be short-term or long-term at the outset. (Contracts of employment that were intended to last for less than 12 months could be considered to be short-term).
- the number of hours worked. (Less than 16 hours a week is likely to be considered to be marginal in nature).
- the level of earnings.
- if the work is only occasionally in the BCP Council area, even if the pattern of work is regular but the main place of work is in a different local authority's area.
- whether the tenant is expected to return to work in the original local authority borough or district. Verification will be sought from the tenant's employer.

The term ‘work’ includes an apprenticeship. This is because an apprenticeship normally takes place under an apprenticeship agreement which is an employment contract (specifically a contract of service).

If you have been offered a job and need to move to take it up, you must be able to demonstrate that you have a genuine intention to take up the offer. We will need to see a letter of acceptance and may wish to contact the employer to verify the position.

If you wish to be considered under ‘Right To Move’ you will need to complete a set of questions linked directly to this and provide us with evidence to support your application.

This will include:

- a contract of employment
- wage/salary slips covering a certain period of time, or bank statements (this is likely to be particularly relevant in the case of zero-hours contracts)
- tax and benefits information – e.g. proof that you are in receipt of working tax credit (if eligible)
- a formal offer letter and documentation showing place of work, hours to be worked contract terms and employment start date, if the need to move is to take up an offer of work.

Once we have all of this information a decision will be made by a senior officer and, if accepted, you will be awarded Silver Band – Right To Move. No further banding award will be considered or made.

It is the Council's intention to make 1% of all allocations to applicants who meet the Right to Move criteria, in line with guidance set out by the Secretary of State.

22. Removal of Qualification

Before we offer you a property, we will carry out a qualification re-assessment and if you no longer meet the qualification criteria, you will be removed from the Scheme and no offer of accommodation will be made. This includes housing need and time limited exceptions to local connection e.g. Service Personnel and Prevention & Relief homeless duties and the exception to local connection will no longer apply once the time limit has expired and the application no longer meets the qualifying criteria.

You will also be removed from the Scheme if we have established that you no longer meet the qualification criteria, following a completed change of circumstances or based on evidence received by the Council.

'Right to Move' exceptions will also be removed if applicants fail to take up an offer of employment or are no longer working within the BCP area. In these cases, applicants will be advised in writing that their application has been removed from the Allocation Scheme.

In all cases you will be notified in writing of the decision that you no longer qualify and will have the right to request a review, if you do not agree with this decision.

23. Exceptional Circumstances - Discretion

The Council retains the ability, in exceptional circumstances, to exercise its discretion when making decisions with regard to including persons on the Allocations Scheme. Such persons will be referred to a Senior Officer for a decision.

24. Proof of Local Connection

Applicants will be required to provide evidence to support their application. Though not exhaustive, the following documentation may be used to prove local connection:

- Electoral Register
- Housing Benefit records
- Council Tax Benefit records
- Council Tax records
- Tenancy agreement
- Utility bills (gas, electric, water)
- Television licence
- Department for Work and Pensions benefit notification letters
- Educational establishment records
- Employer records
- Confirmation provided by relevant statutory bodies and support organisations
- Any Council records which can legally be used for this purpose.

The following will not be considered under any circumstances:

- Medical cards
- Mobile telephone bills/statements
- Catalogue bills/statements

APPENDIX D – BANDING AWARDS

Following an assessment of your housing application, if you qualify to join the scheme, you will be placed into one of the following bands.

Emergency Band - Emergency Offer – housing need can only be met by an offer of a Council or housing association property as set out in Appendix G – Emergency Band Direct Offer	
Protection of vulnerable adults or children	Where the existing housing circumstances could deteriorate to such an extent to place household members at risk, or in need, of residential care unless a permanent home is offered.
Extra Care	Where there is a need for extra care or supported housing accommodation which is supported by Social Services.
Community Safety	Where there is a need to move to address significant community impact
Bespoke Housing Group	Where there are significant and specific property adaptation requirements and the Bespoke Housing Group has assessed that they require an offer of Council or social housing.
Domestic Abuse	Where there is a significant risk of violence or harm and the victim cannot be safely accommodated in a refuge or other temporary accommodation.
Hospital Discharge	Where the patient cannot be discharged to their home and it has become permanently unsuitable for them.
Exceptional Homeless Cases	Where there are significant needs meaning that a discharge of duty can only be made by an offer of Council or social housing.
Housing First	Housing First clients who have been assessed as needing a move to a council or social housing property.
Significant Risk	Where there is a significant threat to life or risk of serious and permanent disability.
Permanent Decant	Council or Housing Association tenants in the BCP area who are required to be permanently decanted where they have not been successful for an offer of accommodation within 6 months of the need for full vacant possession of the property. This is an escalation from Gold Band.
Exceptional Operational Reasons	Where there are exceptional operational reasons, for example to provide accommodation to prevent significant health risks e.g. in response to a pandemic where failure to act could result in serious harm or even death.
Gold Band	As set out in Appendix C – Who Does Qualify
Overcrowding	Will only apply to those having been assessed as Category 1 hazards under Part 1 of the Housing Act 2004 and/or statutorily overcrowded under Part 10 of the Housing Act 1985. This band does not apply to applicants living in temporary accommodation who have been awarded a homelessness duty.

Under Occupation	The applicant is a BCP Council tenant or the tenant of a housing association, living in the BCP area, who under-occupies their existing property and is looking to move to a smaller, more suitable property.
Severe and/or persistent harassment	The applicant is a victim of severe and/or persistent harassment or violence (including racial harassment) at their current property - providing evidence exists to substantiate the claim and to confirm the seriousness of the case (e.g. from Police), and re-housing is the only course of action.
Supported Housing Move-On	Applicants living in a short-term commissioned Supported Housing project who are seeking to 'move-on' into independent accommodation where there is no other suitable option for meeting their housing need other than social housing. This will be subject to quota arrangements.
Care Leavers Move-On	Where a young person who has been looked after, fostered or accommodated and has had a duty of care accepted under the Children Act in the BCP Council area and is ready for independent living, they will be awarded Gold band to enable a planned move on to independent suitable accommodation providing a support plan is in place. This will be subject to quota arrangements.
Group One Medical Needs	Applicants who have been awarded a group one medical need
Group One Welfare Needs	Applicants who have been awarded a group one welfare need
High Disrepair Needs	This band will only apply to significant hazard(s) identified through Part 1 of the Housing Act 2004 and where those hazard(s) cannot reasonably be removed or reduced to a satisfactory level and within a reasonable timescale.
Permanent Decant	BCP Council or housing association tenants in the BCP area whose existing properties are subject to major works for rebuilding/renovation/demolition or re-designation and need to move to enable these works to take place.
Tenancy Succession	There is a statutory right to succeed to a tenancy but the applicant requires a move to smaller accommodation, or sheltered housing.
Efficient use of Housing Stock	For applicants who wish to move from general needs accommodation to sheltered housing and/or housing for older people including applicants who will be releasing an adapted property.
Management Transfer	As agreed by both parties and where no other priority band would be applicable. Time limited to six months.
Silver Band	As set out in Appendix C – Who Does Qualify
Group Two Medical Needs	Applicants who have been awarded a group two medical need
Group Two Welfare Needs	Applicants who have been awarded a group two welfare need
Overcrowding	Those who are deemed to be overcrowded but who do not meet the criteria for Gold Band. This band does not apply to applicants living in temporary accommodation who have been awarded a homelessness duty.

Homeless – Local Connection	Those who have a local connection (as set out in this policy), or have been given a Main Housing Duty, and who have been accepted as homeless, or threatened with homelessness. This includes those whose duty has ended but they are still considered to be homeless.
Homeless Prevention or Relief Duty - No Local Connection	Those who do not have a local connection (as set out in this policy) and who have been accepted as homeless, or threatened with homelessness, and given either a Prevention or Relief Duty by BCP Council. Applicants in this band will be shortlisted below those in Silver band who do have a local connection. Applicants who have no local connection to the BCP area will have this band removed if their Duty ends.
Need to Move To Give Or Receive Care	Those who have been assessed under the exception to local connection criteria as needing to move to the BCP Council area. Applicants who have been awarded this exception will only be awarded a silver band and no further banding award will be made.
Right to Move	Those who have been assessed under the exception to local connection for 'Right To Move'. Applicants who have been awarded this exception will only be awarded a silver band and no further banding award will be made.
Service Personnel	Those who have been assessed as meeting the criteria for Service Personnel as set out in Appendix C. Applicants will normally only be awarded a silver band unless there are also other significant housing needs.
Financial Hardship	Those who are suffering from significant financial hardship due to the cumulation of their housing costs.
Bronze Band	As set out in Appendix C – Who Does Qualify
Sheltered Housing	Those who have been assessed as having no other housing need but have expressed an interest in moving to sheltered housing, over 55 accommodation and housing for older people. Applicants in the BCP Council area who do not meet the local connection requirement but wish to move to sheltered housing and housing for older people.
Bronze Unacceptable Behaviour	Those who have been assessed as having committed unacceptable behaviour but who have a housing need which can only be met by an offer of social housing. Applicants in this group will be reassessed to the band which most reflects their housing need once they are engaging with multi-agency support.

If you have multiple housing needs, we will award you the one which gives you the highest priority. Applicants in Emergency Band will receive direct offers of accommodation whilst those placed in to Gold, Silver and Bronze bands will have choice-based lettings.

APPENDIX E – APPLICATION AND ASSESSMENT PROCESS

1. How to Apply

If you want to join the Allocation Scheme you will need to complete an online application form through our choice based lettings system.

You can ask a family member, friend or a support worker (if you have one) to help you if you are not able to use a computer yourself.

If you do not have somebody who can help you, we can book an appointment with you to complete this form over the telephone or in person

Your application will be registered from the date you apply to join the choice based lettings system. This date is known as the registration date.

2. Individual Assessments

Once we have received your housing enquiry you will be contacted by an officer for a pre-assessment interview which could mean that you will be invited to come in to an office location, or we may visit you in your home. You will be asked to provide documents to support your application and the supporting evidence needed is listed at the end of this document.

The pre-assessment interview will allow us to fully:

- consider your housing options and formulate your Individual Housing Plan
- identify the urgency of your need for housing
- arrange multi-agency meetings (where necessary)

You may also be asked to provide additional information, for example a medical assessment or information from a support agency or other professional.

A full assessment of your application will only take place following a pre-assessment interview and once we have received all of your supporting documents and any other information we need, in order to do so. This final assessment may then take up to 28 days.

If we decide that you are ineligible or do not qualify for the Scheme, you will be notified confirming this and the reason for this decision which will also set out how you can request a review this decision, should you wish to do so. You will also receive housing options advice and support.

If you are assessed as being eligible, and you qualify, notification will be provided to you within 28 working days of receipt of all relevant information unless further information is required from other agencies then it may take longer to confirm:

- The date your application was registered
- The band awarded and reasons for placing in this band
- The date the band is awarded from (effective date in band)
- The reference number to be used when bidding
- The assessed bedroom need
- Details of your right to request a review

If you are found to have more than one housing need, we will band you in the one which gives you the highest priority.

The effective date in band will be the date we received the last piece of supporting information which enabled us to finish our assessment.

As part of our assessment we will also provide you with a full range of realistic options to resolve your housing need.

3. Missing Information and Incomplete Applications

If you do not provide us with all of the information we need to process your application, within 28 days of us asking you for it, we will cancel your application and will notify you in writing. If you are unable to provide all of the information within this timescale you must contact the Housing Service to request a time extension.

Following cancellation, if you still wish to continue with your application will need to provide the requested information within 28 days of the date of cancellation.

4. Change in Circumstances

If you move to a new address, or your circumstances change significantly, after you have been accepted onto the Allocation Scheme you will need to complete an online change of circumstances form. Following a change of circumstances, you will not be able to bid until your application has been re-assessed.

Where the change is of a medical or welfare nature, you will need to complete the online medical questionnaire and provide supporting documentation from your GP or medical professional. If you wish to add or remove somebody from your application, you won't need to complete a change of circumstances but you will need to provide us with any supporting information which we may request. This will include financial information for anyone over the age of 18.

Eligibility and qualification for the Allocation Scheme will be reconsidered when there is a change in circumstances and this may change the band your application has been placed in.

If you move to a lower band, because your need for housing has reduced, you will keep the same effective date in band.

When moving into a higher band you will have your effective date in band changed to the date we received all of the information needed to support the change of circumstances and increase in band.

5. Remaining on the Allocation Scheme

It is your responsibility to keep your application up to date and inform us of any changes in your circumstances.

You will be required to renew your housing application on a yearly basis, on the anniversary of your application registration date – known as the “review date”.

If you don't renew your application, you will be notified advising you that your application has been suspended for 28 days. If you then fail to respond to this notification and/or renew your application it will be assumed that you no longer require housing and your application will be cancelled.

If you make contact within 3 months of your original application being cancelled, and are able to provide satisfactory evidence of an incapacity which caused your failure to renew, the application can be reinstated from the date of the original application.

If you wish to re-join the Allocation Scheme at a later date your new registration date will be determined by the new date that you apply. Your housing need will be reassessed and you will be placed in the appropriate band as set out above.

6. Required Documentation

In order that we can fully assess your housing application please provide supporting evidence:

Proof of identification

One from Group 1 or Two from Group 2

Or one from List B for non UK, European Economic Area (EEA) or Swiss National applicants

List A: (Group 1)
A UK passport (current or expired)
If NOT a UK Citizen:
A passport or national identity card EEA or Swiss National
A registration certificate EEA National or Swiss National
A biometric 'residence permit'
A passport or other 'travel document' of a non UK resident
A current immigration status document issued by the Home Office.
A certificate of registration or naturalisation as a British citizen
List A (Group 2)
A full UK birth or adoption certificate
A current full or provisional photo card UK driving licence.
A letter from HM Prison Service
A letter from UK government department or Local Authority
A letter from National Offender Management Service
HM forces evidence
A letter from a UK police force
Employer Letter
Letter from UK Higher or Further Education Institution
Letter from an acceptable professional
Benefits paperwork
Disclosure and Barring Service Certificate
Current English National Concessionary Travel (Bus Pass)
List B: Time-limited documents
A current passport
A current biometric 'residence permit' card
A current 'residence card'
A current immigration status document
Proof of settled or pre-settled status

Two proofs of address
Utility Bills e.g. Gas, Electricity, Water – dated within the last four weeks (Mobile Telephone Bills are excluded)
Award letter from the Department of Work and Pensions/Job Centre Plus/Pension Service – dated within the last four weeks

Letters from official bodies e.g. Council Tax, Housing Benefit, Schools, NHS, Solicitors, Social Services etc. – dated within the last four weeks
Mortgage Statement – Dated within the last 6 months
Council Tax Statement – Dated within the last 6 months
Bank Statement dated within the last four weeks showing current address.

Proofs for dependent children (Any child aged 18 or under in Full time Education). <u>Both required</u>
Full Birth Certificates
Bank statements: 3 months out of the last 6 months showing child benefit

Savings and capital
For all household members over the age of 18 - 3 Months consecutive bank statements from the last 6 months for <u>all</u> bank, building society or post office accounts held (savings and current accounts). These can be originals received in the post, or statements printed at the bank. You can also print these at the Civic Centre or at home if you have online banking.
These statements need to include the detail of payments made in and out of the account.
Please note: Some bank statements only show the account number and do not show the name of the account holder. If this is the case with your bank, we will need to see the bankcard that shows the name of the account holder and the account number.

Property Ownership
For any property owned the most recent mortgage statement along with a valuation dated within the last 2 months – this could be an Estate Agents opinion

Evidence of tenancy – 1 required
Current tenancy agreement or rent book
Letter confirming tenancy from landlord or agent
Letter from the host – with regard to any supported placement

Evidence of National Insurance Number – 1 required
National Insurance Card
Award letter from the Department of Work and Pensions/Job Centre Plus/Pension Service – dated within the last four weeks
P60, P45 or pay slip

Evidence of homelessness or threat of homelessness
Notice from your landlord
Letter from friends or family giving you reasonable notice to leave.
Mortgage Repossession paperwork

For tenants of private landlords
An up to date copy of your rent statement

APPENDIX F – ALLOCATIONS AND LETTINGS

An allocation is the selection of a person to be nominated to the Council, or a housing association, for an offer of accommodation.

BCP Council nominates applicants from the Allocation Scheme to its own housing stock and to properties which are available to let through a housing association.

A nomination takes place when a person, or household, is put forward by the Housing Service to be a tenant of the Council or a social housing provider in the area. This includes secure, assured, introductory tenancies and fixed term tenancies.

1. Advertising Properties

Vacant social housing, to which we have nomination rights, will be advertised through the choice based lettings system and you will be able to place bids for properties which have been assessed as meeting your needs.

The Council, and housing associations, will create the adverts for each vacant property and they will set out any restrictions which may apply, e.g. an age restriction for properties for older people.

Properties will be advertised every day and will be available for you to place bids for a minimum of 6 days. Bidding cycles are as follows:

Bidding opens	Bidding closes at 11:59pm	Number of days advertised
Monday	Sunday	7
Tuesday	Sunday	6
Wednesday	Monday	6
Thursday	Tuesday	6
Friday	Wednesday	6

2. Labelling of properties

The labelling of vacancies is an essential part of the allocations process as the Councils are able to set parameters on which type of households can apply for vacancies and whether any particular types of households will be given preference over others when being considered for specific vacancies. This allows us to act flexibly to meet local needs and local priorities in addition to the statutory reasonable preference criteria.

When labelling properties we will consider:

- the need to make the best use of stock,
- the requirement to house those in the greatest need and,
- the aim of giving you as much choice as possible to help create sustainable communities.

Labelling should generally be as inclusive as possible, to maximise choice, whilst allowing preference to be given to certain household types to make the best use of stock, meet local priorities and to ensure good management of housing.

The advertisement will usually include details such as:

- who the landlord is.
- how much the weekly rent is and the cost of any service or support charges.
- if the property is a social or affordable rent.
- if the property is let on a fixed term tenancy.
- when the property will be ready for someone to move in to.
- Number of bedrooms
- Which floor the property is on, and if accessible by lift
- the number of people who are allowed to live in the property.
- any age limits e.g. for households with children, for sheltered accommodation, for older/disabled persons or any landlord specific requirement.
- some properties are only available to older people and these will be advertised showing the age restriction.
- if the property is restricted by a Planning Obligation under Section 106 of the Town and Country Planning Act 1990 and where offers of tenancies may only be made to applicants with a strong local connection to an exception site.
- if the property is subject to a [Local Lettings Plan](#) or [Sensitive Lettings Policy](#).
- if preference will be given to a particular group of applicants e.g. those needing ground floor accommodation.
- if it is accessible housing, e.g. wheelchair adapted or has any other adaptations
- Whether pets are allowed.

In properties where there are two separate living rooms, at least one of which is not accessed via another room, the Council will count one of these as a bedroom and these properties will be advertised as having an extra bedroom and will be prioritised to those applicants who have the need for this extra room.

3. Sensitive Lettings

Occasionally, there may be a need to deal with issues that impact on a small specific location which may only relate to one property and the purpose of the Sensitive Lettings Policy is to create sustainable and cohesive communities in relation to individual lettings, where there may be a need to redress the balance of the community.

In these cases, whilst properties are still advertised through the choice based lettings scheme, the Council may not be able to allocate to the person who has come to the top of the bidding list. Instead, we will assess the suitability of each bidder on the basis of their particular sensitive needs taking into consideration:

- the suitability of the property for that applicant;
- the need to create a community that is sustainable;
- the need to ensure current and future tenants feel safe;
- the need to protect the public and residents from nuisance and anti-social behaviour;

We will not make an allocation where there is evidence of or known history by the applicant, or a member of their household, of the following:

- Criminal behaviour
- Anti-social behaviour
- Drug abuse
- Drug dealing

- Breaches of any tenancy with any landlord
- Rent arrears

We, or the landlord, may request additional information from other partner agencies such as the Police, Probation Service, Primary Care Trust, Drug and Alcohol Services and former Landlords in order to decide if the bidder would be suitable for the property.

If a landlord wants to advertise a property as a sensitive let, they will need to provide evidence to the Housing Service on the reasons why the property is required to be let on a sensitive let basis. The Housing Service will have to agree to any property being advertised as a sensitive let.

The property advert will clearly state the property is subject to a Sensitive Lettings Policy.

Once the shortlist has closed, we will nominate in accordance to the preference criteria within the Sensitive Lettings Policy. If for any reason the housing provider wishes to refuse an applicant the Council may re-nominate to the next applicant on the list.

4. Discretionary Allocations

In certain circumstances, BCP Council may allow for the grant of a tenancy to people already residing in a property and who are members of the existing tenant's family.

This is known as a discretionary allocation. These circumstances are:

- Following the death of the tenant, where the residents have no legal right of succession but the Council or partner housing provider's tenancy agreement or succession policy dictates that a discretionary succession would be reasonable and proportionate.
- Where one of two joint tenants has terminated the tenancy, by serving a notice to quit on BCP Council or a partner housing provider, and the remaining tenant is in occupation of the property
- Where a tenant has moved to a care home, with no intention to return to occupy the property as his or her only or principal home, and the remaining occupier is someone who would be entitled to succeed to the tenancy had the tenant died, rather than moved out

In these cases the Council will consider a discretionary allocation should the needs of the remaining residents be such that:

- they would otherwise qualify for an allocation of housing should they apply to join the Scheme
- they would not fail the financial test, set out in Appendix B
- the property meets their housing needs and does not have any substantial or specific adaptations which they do not require

BCP Council will also seek to ensure that granting a discretionary allocation would not unduly disadvantage applicants in either the Emergency or Gold Bands.

5. Request for Information

An applicant has the right, on request, to be informed of any decision about the facts of their case which has been taken into account in deciding not to make an allocation of a sensitive let to them.

6. Equality Impact Statement

This Sensitive Lettings Policy does not discriminate directly or indirectly and has given regard to the Equality Act 2010 to ensure no one is treated unfairly and has equal opportunities to access housing.

To ensure consistency, lettings to properties being advertised as sensitive lets will be monitored on a regular basis. A property should only be advertised as a sensitive let if this is absolutely necessary to address the situation and any housing management issues.

7. Local Lettings Plans

Section 167 (2E) of the Housing Act 1996 (as amended by the Homelessness Act 2002) enables Housing Authorities to adopt Local Lettings Policies and Plans (LLPs). The Code of Guidance states that these lettings plans could enable a Housing Authority to allocate housing to specific groups of people, whether or not they fall into the reasonable preference categories. However, it does also state that reasonable preference categories must be taken into account overall and that local lettings plans should not discriminate either directly or indirectly on any equality grounds.

Once agreed these schemes will have their own allocations criteria. LLPs may be applied in addition to any local planning restrictions (contained in agreements made under Section 106 of the Town and Country Planning Act 1990), which may be in place, but will not override them.

LLPs can be put in place for a specific area or estate and will be set up in response to particular local circumstances. They will include a clear commitment to equality of opportunity, the provision of clear and accurate information to applicants and an appeals mechanism.

LLPs will be used to ensure, where possible, that there is a mixed and balanced community, working towards outcomes that reflect the wider community and address issues such as child density and to balance the proportion of households in employment in any one area or estate. The precise approach to be adopted will reflect the particular problems/issues of an area or estate.

LLPs for some existing properties and initial lettings on new build schemes may specify different priorities for allocating properties such as Keyworkers. Properties subject to such a policy will be clearly labelled in the property advert. A key worker is a public sector employee who is considered to provide an essential service e.g. NHS staff, teachers, Police Officers and firefighters.

LLPs will be published on the choice based lettings website and when a property is being advertised that is subject to a LLP this will be stated in the advert showing specific details according to the plan. Nominations will then be made to relevant properties according to the agreed plan.

These LLPs will be agreed by the respective housing provider and a senior officer in the BCP Council Housing Service. They will be agreed for a limited time, after which, it will be reviewed and lettings will revert to the main scheme if possible.

8. Bidding

Once your application has been verified, and we have decided that you are eligible and that you qualify for an offer of housing, you will be able to bid for properties which have been assessed as meeting your needs, and the needs of your household.

The choice based lettings system will automatically place bids for you, based on your housing need and the area and property preferences selected by you when you applied.

Whilst choice is a very important part of the scheme, the severe shortage of available properties means that you will need to be as flexible as possible about where you will live, and what type of property you will live in (e.g., on which floors and area) if you want to be successful in moving.

You can only bid for up to 6 properties in a bidding cycle.

You can assess and amend the bids which have automatically been placed for you and/or place additional bids by:

- logging into your housing account on the choice based lettings website or,
- allowing a family member, support agency, or friend to log into your account to place bids for you or,
- giving the Council permission to accept bids from named persons, e.g. a family member, friend, or support agency.

In some circumstances Housing officers may place bids on behalf of homeless applicants if they have assessed that a property is suitable for their needs and the Council has a statutory duty to them, under homelessness legislation. Whilst we do want to allow homeless applicants to have the same level as choice as other applicants, if it is found that they are not bidding for suitable properties, for which they would have a reasonable chance of success, then bids will be placed for them. Once placed, these bids cannot be removed without the permission of a senior officer.

Applicants will be advised of the implications of refusing a direct offer.

9. Shortlisting and prioritising bids

Once the advert has closed, all the bids are shortlisted and prioritised by the choice based lettings system.

Where an advert states that certain applicant types will be given preference over others (e.g. to those with a defined ground floor need), then we will consider all of the people who we have been assessed as being within that group above those who have not.

We will also do this if the property was advertised as being subject to a Local Lettings Plan or a Sensitive Let Policy.

Ground floor flats, or bungalows, will be labelled to give priority to those who require ground level access on the basis of age, disability or medical need. In these cases, applicants requiring this type of accommodation will be shortlisted above other applicants regardless of their position on the list at close of bidding.

Where a property has been labelled to allow under occupation we will give priority to those applicants whose bedroom needs meet those of the property over those who would be under occupying.

Applicants who have been awarded a priority band for downsizing will only be shortlisted with this priority for properties with fewer bedrooms than their existing home. If they have been awarded another band, we will consider this when shortlisting.

Any applications received after the advert deadline has been reached will not be considered.

Applicants who have been given a Prevention or Relief duty under homelessness legislation but who do not meet the local connection criteria will be shortlisted below those who do meet the criteria.

For each property, the successful applicant will be the one in the highest band with the earliest effective band date, except where the property has been labelled to give priority to a particular type of applicant.

If there are applicants with the same band and effective band date, then priority will be given to the applicant with the earliest registration date.

10. Successful Bids

Whilst you are able to bid on up to 6 properties, in each bidding cycle, you can only be nominated for one property at a time. This means that you need to think very carefully about which property you choose.

If you have been successful for two properties on the same day, we will ask you to choose which property you wish to be put forward for. Once you have made your choice, we will offer the property to the next person on the list.

You are able to continue to bid for other properties but we will not make you another offer whilst you are under offer. This means that, if you have bid on several properties with different bidding cycles, we will not hold those other properties for you, just in case you are successful. You will need to make a decision on the first property you are offered and if you choose not to take that one, there is no guarantee that you will be offered a property on a later cycle.

11. Verification

Before an offer of accommodation is made, we will contact you to check that your circumstances have not changed and that you would still be entitled to be considered for the property.

You will be expected to provide documentary evidence that all persons included on the application are still living with you, together with any other information which we consider to be appropriate to confirm your circumstances which may include proof of income, banks statements, proof of ID and local connection. We may also check information with other sources.

Your priority and/or eligibility for the Allocation Scheme may also be re-examined as information established at the verification stage may have an impact. If we assess that your circumstances have changed and this would mean that your band should be reduced, or your effective date in band be changed, then we will not offer you the property. If you have moved and you have not completed a change of circumstances, then you will not be offered the property.

If it is not possible to complete verification, or you do not provide the required information within 48 hours of the request, your bid will be overlooked and we will move onto the applicant who is next in line.

12. Reasons why a housing provider may refuse a nomination

It is important to note that housing providers also carry out their own verification processes and they may refuse to accept you as a tenant if you do not meet the guidelines set out in their own policies. This would include applicants who owe a rent debt but who we have been allowed onto the Scheme.

They will also carry out an affordability check when allocating properties to ensure that applicants are able to afford the rent for the property.

If, for any reason, the housing provider is considering refusing you for a property they will contact you to let you know and you will be given an opportunity to request a review of the decision. If we do not agree with their decision, we will negotiate with them but we will have to move on to the next person on the shortlist, if that negotiation is unsuccessful.

Housing providers may also prevent an offer going ahead where the property is not considered to be suitable for you. This may include issues of public safety, risk, or sustainability of the tenancy. An offer may not be made or may even be withdrawn if your support needs are such that the housing provider, in consultation with the Housing Service, deems that you will be unable to maintain an independent tenancy. This decision may also be informed by the input from other partner agencies involved in a case.

In these circumstances there must be a sufficient care, or support, package available to ensure the tenancy is likely to be successfully maintained.

13. Publishing details of the allocation

Feedback on allocations provides applicants with information to exercise choice and to gain information on the likely waiting time for re-housing. Details of the allocation will be published on the choice based lettings website as soon as possible. Whilst the successful applicant's name will not be published, their band, the number of bids for each property and the length of time waiting will be published.

14. Difficult to Let Properties

If there are no eligible bids for a property, we may consider offering it as a direct let to applicants to whom we have accepted a Homelessness Duty.

APPENDIX G – EMERGENCY BAND - EMERGENCY OFFER

In certain circumstances, it will be necessary for us to allocate a property outside of the normal choice based lettings process and make a direct offer to applicants who have been assessed as meeting the Emergency Band criteria and who have a need which can only be met by an offer of a Council or housing association property.

To ensure transparency and fairness, decisions to exclude allocations from the choice based allocations process, and to make a direct offer, will be monitored to ensure these decisions are being properly exercised within limited boundaries.

Applicants who are assessed as needing to be given a direct offer will need to meet one, or more, of the criteria outlined below:

- there are medical or welfare needs which are so severe that the protection of vulnerable adults or children is only possible in a permanent home and where the present housing circumstances could deteriorate to such an extent as to place household members, particularly children, at risk or in need of residential care unless permanent housing is offered.
- there is a need for extra care or supported housing accommodation and this need is supported by Social Services.
- for community safety purposes
- one, or more, members of the household have significant medical needs which can only be met through an offer of a property which meets their specific property adaptation requirements and they have been assessed by the Bespoke Housing Group as requiring such a property.
- victims of domestic violence, where there is a significant risk of violence or harm, and the victim cannot be safely accommodated in a refuge or other temporary accommodation.
- where someone cannot be discharged from hospital because their home is, and will remain, permanently impossible to live in.
- homeless people or families whose needs are such that BCP Council would only be able to discharge its Duty with an offer of Council or social housing, as agreed by a senior officer. These are exceptional cases and would not be an option for the majority of homeless people or families.
- People who require Housing First accommodation
- where there is a significant threat to life or risk of serious and permanent disability
- you have been assessed as having an exceptional housing need, but do not otherwise meet the local connection criteria, and would qualify for an Emergency Band Direct Offer of accommodation.

Applicants who have been accepted as meeting the emergency band requirement (unless they are being considered for extra care or supported housing) and will not be expected to bid for properties. Prior to a property being advertised, an assessment will be made to see if it would be suitable to offer to an applicant, or household, in this band.

Direct offers of accommodation will be approved by a senior officer.

Any direct offer will need to meet the applicant, or households needs and have been assessed as suitable. As such, it is expected that applicants who have been placed into this band will only receive one offer of accommodation.

1. Homeless Applicants

When making direct offers to homeless applicants we will advise that, in doing so, we will be discharging our duty to them. We will also let them know what the consequences would be if they turned an offer down. They will be notified of their right to request a review of the suitability under Section 202 of the Housing Act 1996, of the offer and that this right is available whether they

accept or refuse the offer.

If they refuse the offer and lodge an unsuccessful suitability review, or fail to lodge a review request at all, we will discharge the Homelessness Duty and they may have their Emergency Band removed. This will mean that they will be re-assessed for the Allocation Scheme and will need to bid for accommodation.

2. All other applicants

All applicants, who have been offered a direct let, have the right to request a review of their suitability and that this right is available whether they accept the offer or not.

If an applicant refuses an offer of accommodation which has been deemed suitable, following a review or where no suitability review is lodged within 21 days of the refusal of the offer, they may have their Emergency Band removed. This will mean that they will be re-assessed for the Allocation Scheme and will need to bid for accommodation.

APPENDIX H – ADMINISTRATION

1. Information sharing, data protection and right to access personal information.

In accordance with our obligations under the [General Data Protection Regulation \(2018\)](#), all applicants will be made aware when they apply that their personal information will be held and may be shared across all of the choice based lettings system partners (including other Local Authorities who may be party to the same system), housing providers and other relevant external agencies for the purposes of consideration of an offer of accommodation being made.

All personal information will be processed in accordance with the requirements of the General Data Protection Regulation (2018). Applicants have the right to inspect personal information held about them under [Article 15 of the General Data Protection Regulation \(2018\)](#). Applicants may also correct any inaccurate information held about them.

For more information and to make a request please refer to our website:

<https://www.bournemouth.gov.uk/Privacy/ProvidingandProtectingInformation/PersonalInformation/HowToSeeYourPersonalInformation.aspx>

Personal information will not be shared with organisations external to BCP Council unless this is for the purpose of assisting in meeting the applicants housing needs or to detect or prevent fraud in accordance with the applicants signed declaration.

Where an applicant may have difficulty communicating directly themselves, their informed consent will be obtained before using advocates or interpreters to communicate on their behalf.

2. Giving false information or deliberately withholding information

It is a criminal offence for anyone applying for housing from a housing authority to knowingly or recklessly makes a statement which is false in a material particular or knowingly withholds information which BCP Council have reasonably required him to give in connection with the exercise of our functions (Section 171 of the Housing Act 1996). ([Section 171 of the Housing Act 1996](#)).

Anyone found guilty of such an offence may be fined up to £5,000 and/or a possible prison sentence and could lose the tenancy if they have been re-housed as a result of providing false information or deliberately withholding information.

Applicants, who are found to have made fraudulent claims in this way will be removed from the Allocation Scheme and notified in writing. This decision will be subject to review and the applicant (or their named advocate) will be informed in writing of the decision and of their right to request a review of that decision in writing.

BCP Council will consider taking action against a professional organisation that knowingly or recklessly provides false information or deliberately withholds information on behalf of an applicant they are representing.

3. Cancelling and Suspending Applications

After your application has been made live on the Scheme, if information is obtained that gives reason to believe that you are ineligible or no longer qualify or your circumstances have changed and you have not advised us, your application may be suspended or cancelled. You will be informed in writing and you will be given 28 days to provide the requested information. If you do not reply within this period, or if you reply but the Housing Service still believes you to be ineligible or no longer qualify, you will be removed from the Allocation Scheme.

If we have identified you as potentially vulnerable we will contact you, or the agency that you are working with, to check your circumstances before cancelling the application.

Your application may also be cancelled or suspended if:

- you, or a member of your household, have been found to have knowingly given false or misleading information or withheld information, which had been reasonably requested.
- you, or a member of your household, has used threatening language or behaviour towards, or perpetrated violence or abuse against, members of staff at BCP Council or partner housing providers.
- you have not placed a bid in any 12 month period where properties have been available for you to do so. In these cases we will assume that you no longer wish to move.

If you have an exceptional housing need, a senior officer may make the decision not to cancel the application if it meets the needs of the Council.

We can also suspend or cancel your application in the following circumstances:

- No response to offer of suitable property
- Your application is under investigation
- You have not reviewed your application.
- You have not completed a change of circumstances when asked to do so.
- no contact or response to an application review within a specified time limit
- Mail returned as no longer at that address
- at your request
- Data error
- we have been advised that the applicant has passed away
- you have been housed by a housing association or other landlord
- you have been housed through shared ownership/shared equity scheme
- you did not complete your annual review following a suspension letter
- Where a time limited priority has come to an end

Following a suspension or cancellation of your application, you have the right to request a review of the decision as set out at section 5 below.

4. Confidentiality

Information regarding your application for housing will not be disclosed to any third party or member of the public without your express consent unless we are required to do so legally. By signing the housing application form, you give consent for:

- BCP Council to contact current and/or former landlords, any of the agencies listed in the application and any other relevant persons, agencies or organisations.
- BCP Council and Registered Provider partners to contact data reference and credit agencies to check any information provided.
- BCP Council to use the information to compile statistics and reports to assess past and future demand for their housing services and to provide returns to Government departments and agencies.
- the information given, or which the Council obtains as part of the application process including any sensitive personal information, to be used where the Council decides you are homeless or

threatened with homelessness or have provided housing advice, and that such information may be shared with the other Councils, agencies and housing providers for the purposes of assessing eligibility for accommodation and where appropriate providing accommodation or housing-related support.

- BCP Council to verify information provided in your housing application(s) and approaches for housing assistance with the information held by the Council's Housing Benefits section. This will include information held for the purposes of processing my Housing Benefit/Council Tax Support claim to enable the Council to assist with and provide advice on your housing situation.
- any information, given to the Council, to be shared with other departments of the Council and with the people or organisations listed in the Council's notification under the [General Data Protection Regulation \(2018\)](#) for purposes of preventing and detecting fraud.

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The fact that you have applied for rehousing will not normally be disclosed to any other member of the public without consent.

5. Right to Review

All decisions with regard to the Allocation Policy are subject to review should you be dissatisfied with a decision. This right to a review includes decisions regarding eligibility, qualification, housing need assessments and the suitability of offers of accommodation. A request for a review should be made, in writing, to BCP Council's Housing Service and an officer senior to the person making the original decision and who was not involved in making the decision will carry out the review.

A request for a review should be made, in writing, within twenty-one (21) days of receipt of the decision and should include the reasons for requesting the review. The reviewing officer has discretion to extend the time limit if it considers this would be reasonable and in agreement with you. If further information is needed, you will be invited to write or, if unable to do this, make oral representation. You may also appoint someone on your behalf to do this. You will be notified of the review decision in writing within 56 days of the review request.

If you are dissatisfied with a decision on review you will need to seek a judicial review on the relevant point of law.

Any offer of accommodation which is intended to bring BCP Council's homelessness duties to an end will inform the applicant of his or her right to request a review.

If the Council has accepted a duty under homelessness legislation [Section 195\(2\) Prevention Duty](#), [Section 185B\(2\) Relief Duty](#) or full [Section 193 Statutory Duty](#) to assist you to secure accommodation and you have refused a suitable property offered, BCP Council may end its statutory duty. You can request a review of the decision to end the statutory duty and/or the Council's decision that the property is suitable – this is a right given by [Section 202 of the Housing Act 1996](#). You should request a review by writing to the Council within 21 days of receipt of the offer of accommodation, setting out why you think the property is unsuitable.

The Councils will aim to deal with a request under Section 202 within eight weeks (56 days). All decisions will be given in writing.

Where a formal review is available under Section 202, greater detail about the right to review will be provided to you in the correspondence making the offer of accommodation. A formal review will be considered by a senior officer who was not involved in the original decision.

6. Transfers

If you are already living in a Council or housing association property in the BCP Council area you will be regarded as a transferring applicant. Your application will be marked as a Transfer but will otherwise be treated in the same way as any other application.

7. Equality

The Councils are subject to the general public sector equality duty in the [Equality Act 2010](#). The Councils and its partner housing providers are committed to providing equality of opportunity to all individuals who apply for re-housing. Monitoring of applications and lettings may take place to ensure that everyone is being treated fairly.

All applicants may be asked to provide details of age, gender, ethnic origin, religion and sexual orientation. This is to allow the Councils to assess the application properly as well as to monitor who is allocated housing, and to ensure that properties are being offered and allocated fairly.

8. Changes to the Scheme

The Allocations Policy will be reviewed annually and updated where necessary.

To ensure the allocation scheme is operating fairly and within the law, the Director of Housing, in consultation with the Housing Portfolio Holder, will be able to approve minor amendments to the policy and scheme providing that the amendment is not considered to be major or have a negative impact on more than five percent of applicants on the allocation scheme.

9. Complaints

If you are dissatisfied with any aspect of your application, other than where a review can be made, you should follow the Councils published [complaints procedure](#), available on the BCP Council website or on request.

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CABINET



Report subject	Lansdowne Programme
Meeting date	11 November 2020
Status	Public Report
Executive summary	<p>The recent change in leadership of the Council has resulted in a review of the Lansdowne Programme by the relevant Portfolio Holders and officers. The outcome, which is supported by consultation responses gathered over the life of the Programme, is that there should continue to be a focus on delivering high quality public realm improvements to Holdenhurst Road, whilst also allowing access to all traffic.</p> <p>This revised scheme for Phase 1 of the Lansdowne Programme remains focused on the heart of Lansdowne and aims to deliver benefits to the area that help to deliver the long-term vision the Council and other stakeholders have for this part of Bournemouth.</p> <p>The revised scheme is at preliminary design stage. This design requires approval from Cabinet to enable it to progress quickly towards detailed design and then delivery.</p>
Recommendations	<p>It is RECOMMENDED that Cabinet:</p> <ul style="list-style-type: none"> (a) approves the preliminary design of the revised scheme, enabling the Programme Team to progress the detailed design and begin early contractor engagement; (b) notes that significant public and stakeholder consultation has taken place over the last 5 years, resulting in the preliminary design appended to this report; (c) notes the timeline for delivery; and (d) delegates authority to the Director of Development, as Senior Responsible Officer for the Lansdowne Programme, in consultation with the relevant Portfolio Holder(s), to: <ul style="list-style-type: none"> - progress the detailed design - approve the final design - start early contractor engagement

	- move to delivery phase, subject to the Traffic Regulation Order process
Reason for recommendations	<p>By Cabinet approving these recommendations, it will enable the Programme Team to move the scheme through the preliminary design phase to detailed design and on to delivery.</p> <p>This will facilitate delivery of phase 1 of the Lansdowne Programme relating to improvements along Holdenhurst Road, the outskirts of Lansdowne Roundabout and Meyrick Road (north).</p> <p>It will also ensure expenditure of the Dorset Local Enterprise Partnership funding in line with the required timelines.</p>
Portfolio Holder(s):	<p>Councillor Mike Greene, Portfolio Holder – Transport and Sustainability</p> <p>Councillor Philip Broadhead Portfolio Holder – Regeneration, Economy and Strategic Planning</p>
Corporate Director	Bill Cotton, Corporate Director Regeneration and Economy
Report Authors	Chris Shephard, Director – Development
Wards	Bournemouth Central; East Cliff & Springbourne;
Classification	For Decision

Background

1. Dorset Local Enterprise Partnership's (DLEP) Growth Deal Fund Award 3 provided the Council with £8.5m in 2017 for public realm improvements with the aim of triggering private investment, and additional economic and social benefits such as new and retained jobs, more office space and increased economic productivity. This programme has been developed over five years and has been to this Cabinet and to Bournemouth Council's Cabinet on several occasions, for approval of various elements of the programme. Throughout, engagement and consultation with the public has shaped the programme's evolution, resulting in the preliminary design shown in Appendix 1.
2. The Lansdowne Programme helps to deliver several BCP Council priorities and contributes to the Council's vision of vibrant communities with outstanding quality of life where everyone plays an active role. Combined with the planned advanced digital offering and rapid growth of this sector and others in the Lansdowne area, the potential outputs resulting from these proposed public realm changes are huge and transformational for an area that is not achieving its full potential.
3. As a result of a long term vision and investment by the Council in the public realm there has been over £200m private and university investment into the area, the unlocking of development sites resulting in new offices, private housing units and student accommodation, the associated construction jobs, as well as new start-up

businesses and business relocations to the area, along with the continuation of a booming creative digital sector. The forthcoming 5G testbed and associated business opportunities, combined with further real estate changes are expected to bring further private sector investment into the area.

4. It is important to recognise that, for a variety of reasons, including as a result of the continuous engagement and consultation with the public and stakeholders, the Dorset LEP funding has now reduced to £4.8m. This change in funding was approved by Cabinet in July 2020 in the 2019/20 Financial Outturn Report. The remaining Dorset LEP funding must be spent on the programme by 31 March 2021.
5. The recent change in leadership of the Council resulted in a review of the Lansdowne Programme by the relevant Portfolio Holders and programme team. The outcome of this review, which is supported by consultation responses gathered over the life of the Programme, is that there should continue to be a focus on delivering high quality public realm improvements to Holdenhurst Road, whilst also continuing to allow access to all traffic, bikes and buses.

Scheme Development

6. To start to deliver the Lansdowne Vision, and to deliver the outcomes and outputs required by the DLEP in relation to its funding, schemes for several different areas across Lansdowne have been worked up, modelled and tested over the last few years. As a result of consultations with the public and stakeholders, and their feedback and challenge, the schemes have evolved in to one main scheme, focused largely on Holdenhurst Road and the adjacent areas. This will now be referred to in this report as the revised scheme and is intended as Phase 1 of a much longer-term programme of work to revitalise Lansdowne.
7. The significant difference in the revised scheme to earlier schemes is the move to a scheme which seeks to balance full access for all traffic along Holdenhurst Road, with a more pedestrians and cyclists prioritised environment, which still significantly improves the public realm and lends itself to future improvements. This can be seen in Appendix 1.
8. This decision was reached after a full review of the programme by the new Leader of the Council, Portfolio Holders, and Lansdowne Programme Team, which included a review of consultation responses. This review concluded that it was important to deliver improvements to Lansdowne, but without risking further congestion to an already highly congested area of the conurbation, by closing a major through-route to cars. A conclusion which was supported by the majority of responses to the previous consultations.
9. The image in Appendix 1, the General Arrangement Plan (GA), allows for all vehicle access, as well as the creation of a segregated two-way cycle route. The GA proposes locating the main highway in the southern section over on the left (west) side of Holdenhurst Road, with the right (east) side of the road becoming the public realm focal point. The areas highlighted in pink are where the public realm will be enhanced, with the space outside the Old Fire Station, with a working title of Fire Station Square, being marked as the focal point for the improvements on Holdenhurst Road. The aim at Fire Station Square is to create a flexible space that attracts people to sit outside throughout the working week enjoying the newly improved public realm, with events taking place at weekends. The local community, including the Lansdowne Quarter Town Centre Business

Improvement District representatives, and events specialists, will be encouraged to utilise this space for community events.

10. The aim throughout is to create an improved, decluttered, smarter and cleaner public realm that will encourage people to dwell longer in the area, spend money, meet friends and colleagues, which will help to boost the feeling of community that is already present in Lansdowne. Post COVID-19 this improved space will help to encourage people back into local businesses and to events in a safe way.
11. The darkest grey area in this image, on the east side adjacent to the public realm space, represents the segregated two-way cycle route running from the Station Roundabout. This benefits from desire line safer crossing points around Lansdowne Roundabout.
12. As part of this revised scheme, the bus operators have agreed to the relocation of bus stops at the southern end of Holdenhurst Road, towards a more central or northern location. The precise location will be determined by engineering requirements and constraints but will be worked on with the bus companies to ensure safety is paramount. The Programme Team is aware of the inconvenience this may cause some bus passengers, and as such it has offered to work with the bus operators to devise communications to ensure passengers are aware of the changes at the appropriate time. This might be through creative signage on street and on-bus and in-app information for example.
13. In addition to this the bus companies have agreed to ensure their fleet is of EURO V standard as the minimum level, for those buses on routes traversing Holdenhurst Road. It has also been agreed that where possible EURO VI or environmentally better fuel sourced buses will be used.
14. Previous schemes had proposed improvements to bus infrastructure on Christchurch Road, which were intended as mitigation for changes to the bus routes (as in those designs, buses would not have been able to travel along Holdenhurst Road and would have used Christchurch Road as an alternative). In the revised scheme, these have been dropped from the programme, as they are no longer required.
15. The safety scheme planned for St Swithun's Roundabout will still be delivered through other highways budgets and through business as usual programming. This will be co-ordinated into the timing of the delivery of the revised scheme but is now outside of the funding scope of this programme. This ensures that the main focal point is public realm improvements on Holdenhurst Road and adjacent areas. This approach was approved by Cabinet in June 2020.
16. In July 2020 Cabinet approved the request to advertise the Traffic Regulation Orders (TRO) relevant for the delivery of this revised scheme for Phase 1 of the Lansdowne programme. The TRO advertisement period in the Delivery Framework is for 21 days and is due to be underway at the time Cabinet considers this report. The Council's TRO process will then be followed.
17. This report is asking for Cabinet to then delegate authority to the Senior Responsible Officer for the Lansdowne Programme, the Director of Development, in consultation with the Portfolio Holders for Regeneration and Economy and for Transport and Sustainability, to
 - progress the detailed design
 - approve the final design

- start early contractor engagement
- move to delivery phase, subject to the Traffic Regulation Order process

This is to ensure that delivery starts on the ground as soon as possible, to ensure Dorset LEP funding deadlines are met.

Programme Management

18. Work is being undertaken with the Dorset Local Enterprise Partnership, to ensure that the revised scheme continues to demonstrate a strong Benefit to Cost Ratio, and that the objectives and outputs resulting from the proposed improvements still represent considerable value for money.
19. The Programme Manager, supported by the Portfolio Holders, has been working hard to ensure key stakeholders have been kept up to speed on these changes. Consultation with the public has happened throughout the programme's development. The forthcoming TRO process will enable further opportunity for the public to comment.
20. Over the life of the Lansdowne Programme (5 years) the public, stakeholders (including businesses, bus operators, taxi companies, private landlords, the Town Centre BID, Bournemouth University, Bournemouth & Poole College) have been involved in formal and informal consultations, design workshops, surveys and events. This has ensured the programme and the design of the scheme has evolved to the Preliminary Design shown in Appendix 1. Along with the statutory consultation for the TRO as outlined in para 14, significant and sufficient consultation has taken place to help shape this revised scheme and will continue to do so until the programme has been delivered.
21. Additionally, several pieces of work are coming together under a communications strategy to ensure the public are aware of the forthcoming changes.

Next Steps

22. This paper is therefore asking Cabinet to approve the revised scheme in its preliminary form, and in the knowledge that it is the result of a thorough review alongside significant and continuous consultation. This will enable the Programme Team to develop the detailed design for the revised scheme and begin early contractor engagement through an approved framework. It should be noted that the Programme Team has been working with Procurement and Legal colleagues to identify the most appropriate framework and preparing the necessary documentation and training to getting an NEC4 compliant contractor on board at the earliest opportunity.
23. Cabinet is also asked to delegate authority to BCP Council's Director of Development, in consultation with the relevant Portfolio Holder(s), to progress and approve the final detailed design and move the programme to delivery phase, subject to the Traffic Regulation Order process.
24. Anticipated and essential timeframe and key milestones:
 - a. TAG and Cabinet approval of TROs - Nov. 2020
 - b. Subject to the above, detailed design approved – Dec 2020
 - c. Contractor appointment via framework as agreed with Procurement and Legal – Dec.2020
 - d. Construction commences – Jan. 2020
 - e. DLEP deadline for grant expenditure – 31 Mar.2021

- f. Anticipated completion (using Council match funding) – Spring 2022

Options Appraisal

25. Option 1 – to accept the recommendations and progress the design from preliminary stage to detailed design, enabling the programme team to move forward at pace to deliver the scheme and spend the DLEP funding
26. Option 2 – to not accept the recommendations and risk sending all the funding back to Dorset LEP, risking clawback by Dorset LEP of funds spent to date. This would mean not delivering any of the outcomes the programme set out to achieve and would have challenging reputational impacts.

Summary of financial implications

27. This first phase of the Lansdowne Programme is fundamental to improving this part of Bournemouth for residents, businesses and visitors. This investment, supported by funds from the Dorset LEP, aims to bring increased private sector investment, and additional economic and social benefits such as new and retained jobs, more office space and increased economic productivity combined with less tangible improved wellbeing & social benefits from a more active and interactive community.
28. The Dorset LEP funding, which helps to make up the Capital budget for the Lansdowne Programme of £7.7m, has a deadline of 31st March 2021 for expenditure. Of the £7.7m, £4.8m is DLEP funding. Of this sum, as at QTR 1 2020/21, BCP had claimed £1.9m from DLEP.
29. This leaves a residual balance of £2.9m DLEP funded spend to be incurred by 31 March 2021. Figure 1 below presents an indicative profile for this spend, aligned with current planned Programme delivery timeline. Members will note that around 50% of expenditure is not anticipated until QTR 4 of 2020/21.
30. There are financial risks attached to this – including market capacity to undertake works in time, ongoing impact of Covid 19 especially as we approach the winter season and ensuring continued compliance with financial and procurement regulations.
31. The DLEP have also indicated they expect final BCP claim for Lansdowne to be made by the end of March 2021, with final quarter transaction listing to them by 8 April 2021. This is to allow sufficient time for DLEP to complete sample checks on spend claimed. This poses additional risk as the Council will have a very short timeframe in which to ensure all spend is correctly identified (invoiced or at least accrued) in order that it can be reclaimed. As it stands, any spend that misses the DLEP claim deadline will have to be funded by BCP, for which no provision is set aside.
- 32.

Figure 1

	Lansdowne Capital Budget			Indicative claim profile - for DLEP grant outstanding				
	Revised DLEP	BCP	Total	Claimed to QTR1 20/21	Planned QTR2 20/21	Planned QTR3 20/21	Planned QTR4 20/21	Total DLEP Claimed
Lansdowne Business District	3,900,000	2,896,000	6,796,000	1,705,563	320,000	580,000	1,294,437	3,900,000
Lansdowne Business District - Digital	900,000	0	900,000	169,774	150,000	350,000	230,226	900,000
	4,800,000	2,896,000	7,696,000	1,875,337	470,000	930,000	1,524,663	4,800,000
					2,924,663			

33. Members will also note that, as part of the original Dorset LEP funding agreement, a £2.9m BCP local contribution for post 31 March 2021 spend is in place. This funding obligation will be met from Community Infrastructure Levy (CIL), s106 contributions, Local Transport Plan (LTP) funding, and comparatively small historic grants inherited from legacy Bournemouth Council. Over 50% of this funding has already been secured. The remainder is forecast to come from future developments in Lansdowne which have already been identified, some of which are already in the planning system. A full assessment will be provided to Capital and Transformation Board in October 2020.
34. Members are reminded that, in accepting the £4.8m Dorset LEP funding, the Council is committed to delivering expected outputs and outcomes detailed in the change request to the original Dorset LEP business case, approved recently by the Dorset LEP board. There is a financial and reputational risk of having to repay £1.9m claimed to date should the Council fail to deliver on this.

Summary of legal implications

35. Authority in accordance with the Council's Financial Regulations to the reduction in funding to the programme formed part of the Council approval to the budget monitoring update on 29 July 2020.
36. The Council is empowered to undertake the programme of works in line with Part V of the Highways Act 1980, in particular section 62 which allows a highways authority to improve highways. The proposals made also align with the Local Transport Plan 3 for Bournemouth, Poole and Dorset (2011 – 2026).
37. The Council has general duties in undertaking the programme of works and implementing the TRO's, including to consult and to assess the need for an environmental impact assessment of the works. The report outlines a long period of public consultation has been undertaken and that the proposals for works have been developed following review and analysis of the feedback from the consultation.
38. In July 2020 the Cabinet approved the request to advertise the Traffic Regulation Orders (TRO) relevant for the delivery of this revised scheme for Phase 1 of the Lansdowne programme. The TRO advertisement period in the Delivery Framework is 30/10/20 for 21 days, as per the statutory requirement. The TRO will then be put to Cabinet for authorisation separately, and accordingly the legal implications associated with those decisions will be dealt with in the relevant report.
39. The Council must also have regard to the public sector equality duty set out in section 149 of the Equalities Act 2010 pursuant to which the Council must, inter alia, advance equality of opportunity between persons with protected characteristics and those without.
40. In considering how best to deliver the programme, the Council will need to ensure compliance with the Public Contracts Regulations 2015 and its own Financial Regulations.
41. Early in the programme, the Programme Team and BCP Procurement Team undertook a review of the variety of options available for the construction stage of the programme. This options appraisal made it clear that the best procurement strategy for the programme was to use an existing Framework. This would be the most efficient route to appointing a suitably experienced contractor.

42. There were four potential options of the Southern Construction Framework, Hampshire Gen 4 Framework, Pagabo Framework and SCAPE under consideration. After careful consideration of the pros and cons for each a decision was taken by the Programme Team, supported by the Lansdowne Steering Group to commence preliminary discussions with SCAPE. The SCAPE Framework has adopted the NEC4 model. Advice was also sought from Legal Services.
43. The procurement strategy has also been created in compliance with the requirements of the Grant Agreement between DLEP and the Council dated 19 December 2018, including per the strategy submitted in accordance with Appendix H to that agreement.
44. Legal advice may also be required in respect of the individual contracts to be awarded to deliver the programme and further advice should be sought in due course.
45. The Funding Agreement contains a number of other requirements, including that the expenditure must be undertaken in compliance with rules on State aid; it is recommended that advice should be sought in that regard if it has not already been obtained.
46. Pursuant to the Grant Agreement, the monies are required to be spent by 31 March 2021. The DLEP has a wide range of rights to terminate the agreement and/or claw back any funding already drawn down by the Council, including where the DLEP considers that the Council has not made satisfactory progress or fails to complete the project.

Summary of human resources implications

47. The impact on personnel is negligible. There is a small risk that DLEP could withdraw their funding. If this was to happen then the virtual team will need to be reassigned or go back to their substantive roles within BCP Council & WSP.
48. With the programme continuing then more staff will need to be employed in order to deliver the programmes.

Summary of sustainability impact

49. It is important to note that every effort has been made to improve environmental sustainability in the area through the design of the scheme and working with bus companies to commit to improving the emissions of their fleet over time.
50. The continued access for all vehicles is relevant for today's requirements, in light of massive congestion concerns highlighted by a considerable number of stakeholders to the consultations. Access may be subject to environmentally appropriate restrictions in the future, such as low emissions zones as & when electric cars start to dominate the motor vehicle market.

Summary of public health implications

51. It is important to note that every effort has been made to encourage people to adopt more sustainable behaviours with the inclusion of the cycle way and enhanced public realm space. The designs seek to encourage people to stay in Lansdowne for longer, enjoying the improved public realm, cultural elements and outdoor spaces. This will lead to improved mental health, greater levels of activity

and promote a greater sense of community encouraging people to put roots down in this part of Bournemouth.

Summary of equality implications

52. DOTS Disability continue to work with the programme team to ensure equality and disability requirements are fed into scheme design.

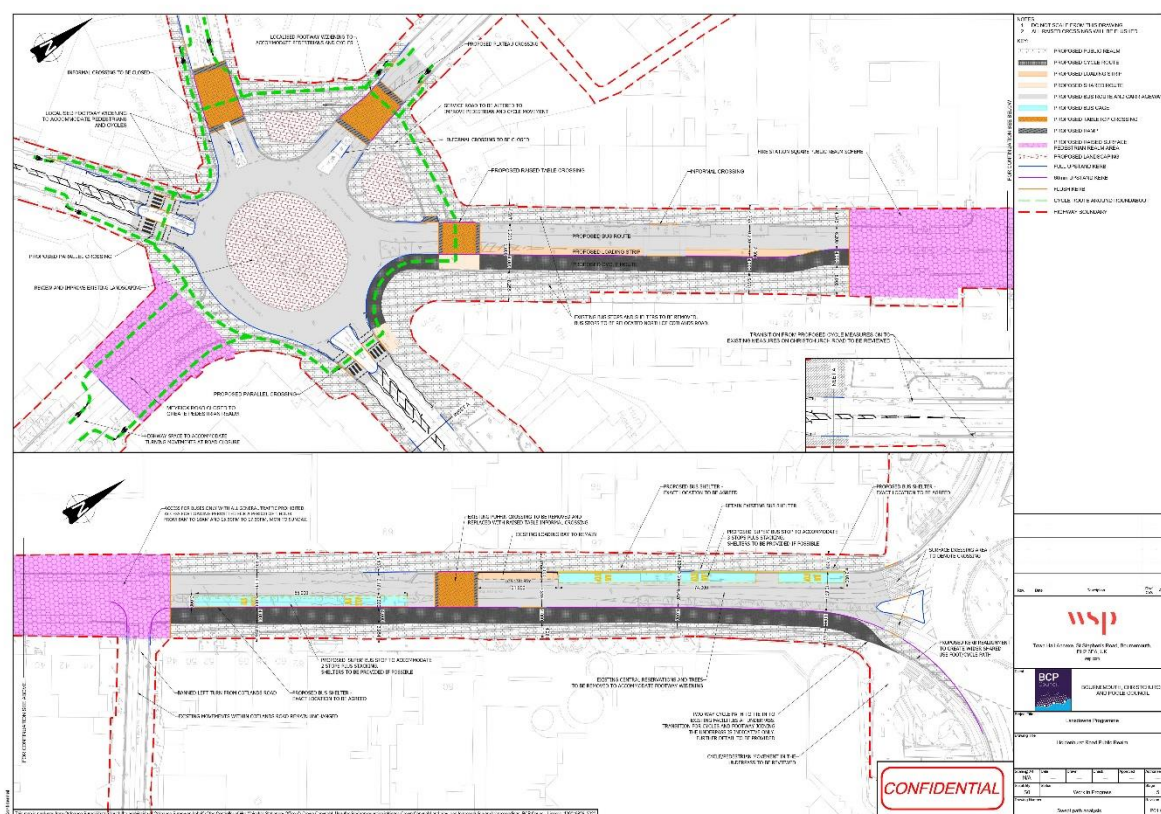
Summary of risk assessment

53. The Programme has its own risk assessment that is continually reviewed and updated, by the Lansdowne Steering Group, acting as the Programme Board, and at operational levels. The key risks are as follows:

- TRO approvals delayed due to influx of objections to the proposed changes
- The Dorset LEP funding profile is unable to be met in the deadlines set
- Contractor unable to deliver key elements by 31 Mar. 2021
- DLEP withdraw funding

Appendices

- Appendix 1: Image showing the preliminary design of the revised scheme for Holdenhurst Road and adjacent areas



CABINET



Report subject	Executive Pay Levels for Tricuro
Meeting date	11 November 2020
Status	Public
Executive summary	Pursuant to the Shareholder Agreement for Tricuro, which is a Local Authority Trading Company wholly-owned by BCP Council and Dorset Council, the Executive Shareholder Group (the “ESG”) sets an annual cap on pay. Any remuneration above that cap requires the approval of the ESG. Tricuro wishes to appoint a permanent Managing Director and has requested that the remuneration for the Managing Director is approved at up to £120,000 per annum (i.e., in excess of the annual cap on pay set at £100,000).
Recommendations	<p>It is RECOMMENDED that:</p> <ul style="list-style-type: none"> a) Cabinet delegates authority to the ESG members from time to time to: <ul style="list-style-type: none"> i) agree that Tricuro is permitted to set the remuneration package for the Managing Director of Tricuro to a sum of up to £120,000 per annum and ii) determine and approve such further details of this remuneration package as may be required. iii) ratify the approval of interim remuneration arrangements
Reason for recommendations	The Board of Tricuro is progressing with the process of permanent recruitment of Managing Director for the company. Having obtained Human Resources advice and information on rates paid nationally for similar posts, the Board has requested that the remuneration package for the Managing Director role is raised to up to £120,000 per annum. The Executive Shareholder Group discussed this proposal at its meeting on 14 th September 2020 and agreed with the Board’s proposal in principle. This recommendation is presented to Cabinet for consideration and approval. The Tricuro Board has also approved interim remuneration arrangements and Cabinet is requested to ratify this approval.

Portfolio Holder(s):	Cllr Karen Rampton - Cabinet Member for Adults
Corporate Director	Jan Thurgood – Corporate Director Adult Social Care
Report Authors	Jan Thurgood – Corporate Director Adult Social Care
Wards	Council-wide
Classification	Decision

Background

1. Tricuro is a Local Authority Trading Company, wholly-owned by BCP Council and Dorset Council. The Shareholder Agreement for the company provides that the ESG will set an annual pay cap. Any decision to pay remuneration in excess of that cap is reserved to the shareholders through the Executive Shareholder Group process.
2. The Board of Tricuro is progressing with the appointment of a permanent Managing Director for the company. The Board has reviewed the annual remuneration cap set previously at £100,000 when the company was formed in 2015. ESG approval is required for any remuneration package in excess of that annual cap. Having undertaken a benchmarking review of the pay rates for similar posts and based on recent experience of recruitment for other executive team member posts for the company, the Board has requested that the Councils in their Shareholder roles agree to permit payment of a remuneration package to the Managing Director of up to £120,000 per annum.
3. The Executive Shareholder Group of Tricuro met on 14th September 2020 and at this meeting considered a report of the Chair of the Tricuro Board which recommended a revised salary cap of £120,000 per annum for the Managing Director of the company. This report included benchmarking information and professional advice from the Head of Human Resources for BCP Council and from the Corporate Director for Human Resources for Dorset Council. The papers considered by the Executive Shareholder Group are attached at Appendix A.
4. The Executive Shareholder Group considered and discussed the proposals from the Tricuro Board. The ESG agreed, in principle, the salary for the Tricuro Managing Director of up to £120,000 per annum and, the decision was to be approved by Dorset Council under delegated authority and to be considered by BCP Council Cabinet in November 2020.
5. Pending the recruitment of a permanent Managing Director, Tricuro made interim management arrangements. Given the impact of the Coronavirus pandemic, the Board decided to postpone the recruitment of a permanent MD and to extend the interim arrangements (i) so that there was continuity of leadership through the COVID19 period and (ii) to ensure that the post was advertised at a time when market conditions would generate a robust field of candidates. Tricuro will progress the permanent recruitment immediately a decision has been taken on the remuneration cap for the permanent Managing Director post. The details of those

interim arrangements are set out in Appendix B. Cabinet is requested to ratify Tricuro's decision to make those arrangements.

Options Appraisal

6. The options available for consideration are set out in this paragraph. If Cabinet agree to an option in relation to the future remuneration of the Managing Director which has not been recommended by the Shareholder Executive Group, a further meeting of the Shareholder Group may be convened to discuss the decision made by Cabinet as the final decision is one which has to be taken by both Shareholders. Dorset Council agreed to Option 1 through the Shareholder Executive Group meeting on 14th September 2020.
- i) To agree the recommendation of the Executive Shareholder Group that the maximum remuneration package should be £120,000 for the Managing Director of Tricuro. This decision would enable the Board of Tricuro to progress immediately with the recruitment process for the Managing Director and to have the flexibility to recruit with a salary range up to £120,000. This option is in line with the agreement in principle of the Executive Shareholder Group on 14th September 2020.
 - ii) To determine that the remuneration package for the Managing Director should remain within the annual cap set by the ESG at £100,000 in 2015. This is not recommended as this would result in remuneration for the Managing Director being set at a rate below the national benchmarking and out of line with the pay bandings for Service Director posts in both BCP and Dorset Councils.
 - iii) To determine that the remuneration package for the Managing Director is set between the current level and £120,000 and having regard to the salary levels of Service Directors in the two Council areas. This would not be in line with the recommendation of the Executive Shareholder Group and would reduce the flexibility of the Tricuro Board to address market factors and attract the best possible field of candidates.
 - iv) To determine that the remuneration package for the Managing Director is set at a level above £120,000 per annum. This is not recommended as this would be out of line with the salary gradings for Directors in BCP Council.
 - v) To ratify Tricuro Board's approval of interim management arrangements to ensure continuity and stability in service delivery until a permanent appointment is made. This option is recommended.
 - vi) To refuse to approve the interim arrangements. This is not recommended as it will reduce management capacity and expertise, which is likely to impact on the stability of service delivery at a time when Tricuro services are critical.

Summary of financial implications

7. Tricuro is a Local Authority Trading Company with an annual turn-over of £40 million pounds which delivers a wide range of social care services (including registered services) to the residents of the BCP Council and Dorset Council areas. The company has recently developed a transformation programme which is designed to modernise and personalise the services provided by the company; deliver improved

outcomes for residents and provide better value to the Councils as the major commissioners of services. The Board of the company is committed to recruiting a Managing Director with a proven track record, who has the skills and ambition to deliver the transformation programme and develop the commercial opportunities that the Local Authority Trading Company framework enables. The postholder will be central to the financial and commercial success of the company.

8. The approval of a remuneration package for the Managing Director in excess of the current cap will mean a maximum increase in salary cost of £13,000 per annum if an appointment was to be made at the top of the salary range. If the salary were set at £120,000 per annum, the total costs to Tricuro would be £138,600 per annum, including pension contributions at three percent and employers National Insurance Contributions. The costs of the interim management arrangements in 2020/21 are being met within the budget as originally set by the Tricuro Board and as approved by the Executive Shareholder Group.

Summary of legal implications

9. BCP Council and Dorset Council are the shareholders of Tricuro and under the shareholder agreement entered into between Tricuro and the shareholders, any payment of remuneration in excess of an approved salary cap (of £100,000) is reserved to the shareholders.
10. A review of market rates of pay has led the Tricuro Board to conclude that the Managing Director post should be remunerated at a level in excess of the annual cap. The Executive Shareholder Group met on 14th September 2020 and agreed in principle with the recommendation of the Tricuro Board that the remuneration package for the Managing Director post should be set at up to £120,000 per annum.
11. The ESG does not have delegated authority from the Leader to make the decision outlined above. The prior agreement of Cabinet to delegate authority to the ESG members to make this decision on behalf of the Council is therefore required.

Summary of human resources implications

12. The Head of Human Resources for BCP Council and the Corporate Director for Human Resources in Dorset Council have provided advice notes on the salary grade as set out in Appendix A. These advice notes provide relevant information in relation to equal pay considerations for the two Councils.

Summary of sustainability impact

13. The Managing Director of Tricuro will be a key figure in the company to ensure that the company takes full account of the commitments of both BCP Council and Dorset Council in relation to addressing the impact of the Climate Change Emergency and considering sustainability in all the company's policies and activities.

Summary of public health implications

14. The Managing Director of Tricuro will be accountable for delivering services which meet the health and well-being needs of all service users and carers who receive services from Tricuro and delivering a strength based approach which engages services, service users and carers with their communities with a focus on well-being and reducing isolation.

Summary of equality implications

15. The recommendation is informed by professional advice from Senior Human Resources managers in both Councils in order to ensure that the recommendation is in line with the equal pay frameworks of both Councils.

Summary of risk assessment

16. The Board of Tricuro is concerned to move forward at pace with recruiting an exceptional, experienced and skilled Managing Director for Tricuro in order to deliver the ambitious transformation agenda for the company; to achieve the best possible outcomes for local residents and best value for the two Councils as commissioners and shareholders. The major risk is in delay to this process as it is important for the company to have permanent leadership in place at the earliest opportunity.

Background papers

Appendices

Appendix A – Report of the Chair of Tricuro Company Board on the Managing Director Salary to the Executive Shareholder Group meeting on 14th September 2020. (Appendix 1 to this is exempt)

Appendix B – Exempt Report on Interim Management Arrangements approved by Tricuro Board for 2020/21.

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Paper for ESG 14th September 2020

Tricuro Executive Director remuneration

Presented by Colin Dennis, Tricuro Independent Chair

Summary

The Covid emergency, recent safeguarding issues, the transformation agenda and the challenges potentially ahead through the winter, demonstrate how vital it is for Tricuro to be led by a highly skilled and sector experienced, team at the MD, Executive Director and Director levels directly below the Board.

The implementation of the forward-looking strategy (also presented to the ESG for approval) will need to be led by the executives and one of the important first tasks will be to ensure that the leadership team has the necessary skills and experience.

Currently two key posts are occupied by interim appointments (Managing Director and Operations Director) and both will need to be filled by permanent appointments as soon as possible.

Delivering the modernisation and transformation strategy will require a permanent MD to be recruited with a wide range of experience across adult social care (Residential, day services, reablement etc) both in local authority and commercial environments.

The maximum salary that Tricuro can offer is currently limited (as a reserved matter) to that of the outgoing MD and currently is set at £100,000 plus cost of living increases.

It seems from recent recruitment activity at the Operations Director level and looking externally at the market, that salary levels for the MD level have risen above the £100,000 bench mark and competition for qualified and experienced individuals is increasing.

It seems likely therefore, that attempting to recruit a suitably qualified and experienced permanent MD would be unsuccessful if Tricuro remains limited to that level of remuneration.

Proposals for approval

The paragraph within the Shareholder agreement that references the ESG involvement in Tricuro remuneration is shown below:

6.2.7 agreeing to remunerate (by payment of fees, the provision of benefits-in-kind or otherwise) any employee of, or consultant to, the Company at a rate in excess of an annual rate set by the Executive Shareholder Group or increasing the remuneration of any such person to a rate in excess of an annual rate set by the Executive Shareholder Group;

APPENDIX A

External advice (copied in appendix 1) confirms salary levels in some recent similar appointments and recommends that we should be prepared to consider offering remuneration up to £120,000 for the best candidates.

As this is an ESG reserved matter this brief paper is making a recommendation that the ESG approve a revised maximum salary for the Tricuro MD of £120,000 pa.

Given the governance arrangements in the two stakeholder councils it may be necessary for further consent to be given by stakeholder councils, but as a first step the consent of the ESG is requested.

It is further recognised that any salary levels agreed need to sit comfortably within the Council remuneration levels and the request needs to be supported by both Council DAS's and their respective HR Leads.

This paper is therefore being circulated to the appropriate HR leads in both stakeholder councils for preliminary discussion.

End.

Appendix 1 – RESTRICTED – attached separately.

Appendix 2 – BCP Council Comparator attached.

Appendix 2 – Dorset Council Comparator attached.

Appendix 2 – BCP Council Comparator

Summary and Recommendation

In order to support the recommendation in the paper BCP Council has provided the following information by way of a comparator that uses data from a similar organisation with equitable roles to assure the decision. BCP Council underwent a review of its current Corporate Directors (Tier 2) and Service Directors (Tier 3) prior to inception on 1 April 2019. These roles were profiled and benchmarked with support from the Hay Group. The salary ranges were based on generic competency and role profiles that capture the overall size of the role regarding accountability and responsibility. Following a review of the role it is understood that the size of the role of Managing Director (MD) for Tricuro is somewhat equitable to that of a Service Director within BCP Council. The role is responsible for delivering a specific set of services and capabilities equal to that of a Service Director and does not have the broad portfolio of responsibilities of our Corporate Director roles. However, due to the structure of Tricuro as an independent and commercial organisation, the MD takes ultimate responsibility for the success of the business, as well as compliant service delivery to the required standards. Therefore, BCP Council believe that the role is broadly comparable to a Service Director. BCP Council would recommend that the salaries are broadly equitable with potentially an increased premium in the range for the Tricuro MD role due to the stand-alone nature.

The competency framework for BCP Council's Tier 3 Service Directors is below for reference and the salary range that is currently in use is £86K to £107K. The level of complexity, budget and breadth of responsibility of Tier 3 Service Directors within BCP Council is equal and, for some, greater than that of the Tricuro MD role but as stated previously, due to the stand alone nature of the role and ultimate accountability that the role has, it is justified and recommended that the upper salary cap be moved to £115K. This would set the cap higher than the top range for BCP Council Service Directors which would reflect the size of the role and complexity of services delivered and would allow for the selection of a candidate that has the necessary skills, experience and competence for the role. Recruitment strategy should be determined prior to start of the search with a range of £100k up to £115k, elements of performance related pay could also be used to ensure the successful completion of objectives.

Generic Role Accountabilities: Leadership Tier 3

Corporate Leadership

- Make a positive contribution as a member of the corporate leadership team, participating in strategic discussions and contributing to the development of the overall strategy for the council which ensures that intended outcomes for the communities of Bournemouth, Christchurch and Poole are achieved
- Set a strategic focus across the council and its partners on delivering a range of effective customer experience, including digital, to all residents of Bournemouth, Christchurch and Poole
- Participate in corporate leadership development and team building and develop appropriate succession capacity for managed services and self
- Work collaboratively with colleagues across the council to develop corporate approaches to service delivery which add value to the residents of Bournemouth, Christchurch and Poole
- Embody and demonstrate the corporate values and ensure that the corporate vision, values and behaviours are communicated clearly, understood and delivered by all employees

Managing, Leading and Developing Others

- Act as a strategic leader building strong, visible and collective leadership between cabinet, senior officers and partners which builds a culture of high performance, inspires people and supports the delivery of BCP objectives which meets the needs of Bournemouth, Christchurch and Poole communities
- Provide inspirational leadership and management to engage diverse teams to deliver best practice
- Cultivate talent by embedding effective succession planning as part of an integral part of the strategic planning process; connecting to the long-term goals and objectives of the council
- Support the overall management of the service that promotes equality of opportunity and collaborative working within staff teams, ensuring that staff are aware of the requirement to deliver a fair and nondiscriminatory service
- Seek and develop strategic external partnerships to achieve positive outcomes for the council and local residents

Innovation and Problem Solving

- Lead and support initiatives or projects to facilitate transformational change, drive and sustain performance and deliver continuous cost and service improvement in support of a digital, collaborative commercial approach
- Take advantage of challenge, pressure and opportunity to transform the efficiency and effectiveness of service delivery and embed an adaptive culture in an environment that needs to make effective use of limited resource
- When faced with challenge or resistance, make evidence-based judgement and decisions
- Lead the strategic development of the broad marketplace including shaping and stimulating markets to access appropriate and relevant public, private and voluntary sectors capabilities to deliver the best possible outcomes for the communities of Bournemouth, Christchurch and Poole

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Relationships and Managing Self

- Resilient and resourceful to manage multiple conflicting priorities.
- Work effectively in a political environment and establish positive relationships with Councillors, senior managers, staff and external partners, to instil confidence, trust and credibility about the delivery of the service
- Accountability for managing personal professional development

Accountability

- Direct accountability for the delivery and performance of designated services against current and future strategic objectives and service outcomes
- To be commercial and accountable for the delivery of the agreed budget, to deliver agreed objectives in line with the council's financial regulations, procurement rules and commercial strategy
- Make evidence based and outcome focussed decisions on council policy and activity within the democratic processes of the council. Use proactive risk management to ensure service quality is maintained

Job Requirements

- Participate in the council's emergency incident duty officer rota and other corporate initiatives as directed

Appendix 2 – Dorset Council Comparator

Background

Dorset Council reviewed its Corporate Director (Tier 3) and Executive Director (Tier 2) roles prior to its inception on 1 April 2019 via South West Council's Job Evaluation Scheme. The roles were salary benchmarked against national and local comparators. The size, scope and responsibility of the Director roles were carefully considered to ensure the comparisons were valid.

Salary ranges of Dorset Council Directors roles

- DC Executive Directors (Tier 2) £126k - £141k pa *
- DC Corporate Directors (Tier 3) £89k - £115k pa *

* Salary ranges include the 2020/21 Chief Officer pay awards

In terms of a salary range, the proposed salary of £120k for Tricuro's MD would sit above Dorset Council's Corporate Director (Tier 3) roles and below our Executive Directors (Tier 2) roles.

Job Evaluation

In order to make accurate comparisons between the relative size, scope and responsibilities between the MD role and a Dorset Council Director role, a job evaluation (JE) exercise would need to be carried out by South West Councils. Due to timescales it is not possible to conduct this exercise before this report was written. A summarised person specification is included which may enable to reader to make some comparisons between roles, although without a structured evaluation there is some risk of future equal pay claims.

Conclusion

The salary benchmarking carried out [REDACTED] is helpful in illustrating the market rate for some similar job roles.

There is some synergy between the Tricuro MD role and DC's Corporate Directors (Tier 3) suggesting the maximum salary should be in the order of £115,000.

However, the Tricuro MD role has different accountabilities and governance than senior Council roles and that could justify a higher amount. Dorset Council would expect that to fall somewhat short of the minimum for their Executive Directors, i.e. £126,000

Role Profile – Corporate Director - Tier 3 (Dorset Council)

Essential

Essential criteria are the minimum requirement for the above post.

Qualifications/ training/ registrations	
Required by law, and/or essential to the performance of the role	
1. Educated to degree level or equivalent.	
2. Relevant professional qualification	
3. Evidence of continued relevant professional, managerial and personal development.	
Experience	
4. Experience of working successfully, as a senior leader in a large, complex organisation.	
5. Experience of successfully leading transformation and cultural change programmes.	
6. Experience of delivering significant improvements through robust individual and service performance management.	
7. Experience of making difficult or contentious decisions and the ability to constructively manage conflict.	
Skills, abilities & knowledge	
8. A record of achievement in leading and influencing decision making, policy formulation and service delivery.	
9. Understanding the broad range of issues facing local government and the implications for service provision and delivery.	
10. The ability to produce, interpret and understand complex financial and budgetary information.	
11. Success in developing effective working relationships, building trust and influencing partnerships to deliver services.	
12. A high degree of political awareness, sensitivity and commitment to working closely with all councillors, local organisations and communities.	
13. Exceptional communication skills as a credible and convincing advocate for the Council, relating to people at all levels both inside and outside the organisation. An open, facilitative and persuasive manner with highly developed interpersonal skills.	
14. Highly developed negotiation and influencing skills.	
15. Professional credibility and self-awareness to build rapport, credibility, trust and confidence.	
16. A proven ability to challenge others respectfully and constructively, driving colleagues' performance through coaching/mentoring skills.	
17. Self-motivated with a strong sense of purpose and drive for achievement.	
18. Consistently demonstrates resilience under pressure.	
19. Personal commitment and evidence of achievement in the promotion of equality and diversity, both in service delivery and employment.	
20. Be creative and innovative in developing, and leading initiatives to support the achievement of organisational goals.	
21. Be an inspirational leader able to support and motivate people at all levels within the organisation.	
22. Be collaborative, flexible and able to foster a positive organisational culture in an ever-changing environment.	
23. Able to deliver successful outcomes through others using leadership and motivational skills, as well as directly inspiring and developing high performance in direct reports.	
24. Have the tenacity and professional courage to oversee the successful resolution of significant issues and projects.	

Role Profile – Executive Director - Tier 2 (Dorset Council)

Essential

Essential criteria are the minimum requirement for the above post.

Qualifications/ training/ registrations	
Required by law, and/or essential to the performance of the role	
25. Educated to degree level or equivalent.	
26. Evidence of relevant continuing managerial and professional development.	
27. A relevant professional qualification	
Experience	
28. Extensive experience of working successfully in a senior leadership role within a complex organisation, such as a significant Local Authority or other large relevant public sector/private sector organisation.	
29. Experience of successfully leading large scale and complex transformation programmes involving strategic, structural, digital and cultural change.	
30. Demonstrable experience of taking difficult or contentious decisions and the ability to constructively manage conflict	
31. Success in developing effective working relationships, building trust and influencing partnerships to deliver services.	
32. A proven ability to establish effective individual and service performance measures, evaluating service quality and individual performance to deliver significant improvements.	
33. A proven ability to keep track of and interpret national and other major developments as they impact on the work of the Council, presenting them to Elected Members in a timely and effective manner to maximise our capacity to lead and influence events.	
Skills, abilities & knowledge	
34. A record of achievement in leading and making a sustained contribution to strategic leadership, decision making, policy formulation and service delivery	
35. Knowledge of the range of issues facing individuals, communities and government, both local and central, and their implications for planning and delivering services.	
36. The ability to work corporately and manage resources effectively in a complex environment, including the ability to interpret and understand complex financial and budgetary information, and to negotiate and influence to direct resources.	
37. Contribute to and articulate a vision of how the organisation should operate in future, uniting others to work together to realise that vision.	
38. Think creatively and innovatively in developing, recommending and leading strategic initiatives and policies to assist in the achievement of organisational goals.	
39. Provide inspirational leadership to support, motivate and enable a large and diverse group of people at all levels within the organisation.	
40. Provide effective and citizen-focused services to promote collaboration, innovation and flexibility, fostering a positive organisational culture in an ever-changing environment.	
41. Deliver successful outcomes through others using leadership and motivational skills, as well as direct inspiring and developing high performance in direct reports.	
42. Tenacity and professional courage to oversee the successful resolution of significant issues and projects.	
43. Well-developed political sensitivity and an understanding (or ability to gain this understanding) of the political context, including devolved responsibilities and legislative differences.	
44. Ability to lead the digital transformation of Corporate Development, being comfortable using technology and digital solutions on a personal level, modelling the leadership required for a 21st Century Public Service.	

APPENDIX A

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45. A high degree of political awareness, sensitivity and commitment to working closely with all councillors, local organisations and communities.
46. Exceptional communication skills to be a credible and convincing advocate for the Council, relating to people at all levels both inside and outside the organisation.
47. An open, facilitative and persuasive manner with highly developed interpersonal skills.
48. Highly developed diplomatic skills, particularly in motivating, negotiating and persuading others, including partner organisations.
49. Professional credibility and self-awareness to build rapport, credibility, trust and confidence.
50. A proven ability to challenge others respectfully and constructively, driving colleagues' performance through coaching/mentoring skills.
51. Demonstrable flexibility in thinking and actions to help build an effective and efficient organisation.
52. Self-motivated with a strong sense of purpose and drive for achievement.
53. Consistently demonstrates resilience under pressure.
54. Personal commitment and evidence of achievement in the promotion of equality and diversity, both in service delivery and employment.

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By virtue of paragraph(s) 3 of Part 1 of Schedule 12A
of the Local Government Act 1972.

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CABINET



Report subject	2020/21 Budget Monitoring & Medium-Term Financial Plan (MTFP) Update
Meeting date	11 November 2020
Status	Public
Executive summary	<p>This report includes 2020/21 budget monitoring information as at the end of August 2020 and an updated MTFP.</p> <p>The projection for the 2020/21 revenue account is a balanced position after Covid-19 pressures, mitigation action and other budget variances are reflected. The pressures due to the pandemic have grown since the June report, partially offset by further government support announced on 2 July. This includes significant funding to replace a proportion of lost sales, fees and charges.</p> <p>The updated 2020/21 projections for reserve movements, the capital programme and housing revenue account (HRA) are also included.</p> <p>Financial planning is an iterative process with the latest refresh of the MTFP extended to cover the period 2021/22 to 2023/24 included in the report. The plan is based on the most recent information available and a set of assumptions that will need to be refined through the autumn. The current plan is showing a funding gap to close for next year of £13.4 million with the financial strategy setting out the process that the council will now adopt to be able to set a balanced and lawful budget for 2021/22.</p>
Recommendations	<p>It is RECOMMENDED that:</p> <p>Cabinet:</p> <ul style="list-style-type: none"> a) Note the current budget position for 2020/21. b) Note progress made in refreshing the MTFP and the key financial planning assumptions as set out in Appendix D2 and D3. c) Accept the grant awarded for additional revenue and capital expenditure as set out in paragraph 86. d) Approve the financial strategy as referenced in paragraphs 125 to 138 and as set out in Appendix D4 e) Note the actions of the report and the requests for

	<p>future reports from both the Corporate Director for Children's and the Chief Executive.</p> <p>f) Request the Corporate Director for Transformation to bring forward a report outlining how £15 million of ongoing Transformation savings will be achieved in 2021/22.</p> <p>Council:</p> <p>a) Request the Audit and Governance Committee to review the financial regulations and consider whether new provisions are required for larger scale budget management actions taken by officers.</p> <p>b) Approve the revenue and capital virements as set out in paragraphs 32 and 109.</p>
Reason for recommendations	<ul style="list-style-type: none"> • To comply with accounting codes of practice and best practice which requires Councils to regularly monitor the annual budget position and have a rolling multi-year MTFP. • To present a proposed financial strategy to support the delivery of a balanced budget for 2020/21. • To ensure the financial regulations remain fit for purpose
Portfolio Holder(s):	Councillor Drew Mellor, Leader, Finance & Transformation
Corporate Director	Graham Farrant, Chief Executive
Report Authors	Adam Richens, Chief Finance Officer and S.151 Officer Adam.richens@bcpcouncil.gov.uk
Wards	Council-wide
Classification	For Decision

Background

1. In February 2020 Council agreed the annual general fund net revenue budget of £283 million, a capital programme of £106 million and the net use of reserves of only £0.5 million. Budgets were also agreed for the housing revenue account (HRA).
2. In June 2020 the first budget monitoring report for 2020/21 considered the estimated impact from the Covid-19 lockdown and assumed recovery period which resulted in a budget gap of £30.3 million. Included in the report was a mitigation strategy to rebalance the budget. This included finding new savings and using earmarked and unearmarked reserves.

3. This second budget monitoring report provides updated annual projections for the 2020/21 revenue account, reserve movements, the capital programme and the HRA.
4. Not yet reflected in the budget monitoring are announcements on 12 October of further emergency funding to support council services over the winter and allocations made from a cold weather fund to support rough sleepers. The detail of the allocations and any specific spending requirements are not yet known.
5. Included in the June Cabinet report was an updated MTFP which reflected the permanent savings for future years identified through the development of the mitigation strategy to rebalance 2020/21. Also reflected was an assumed level of future lost tax revenues from the economic impact of the pandemic. Included in this report is the outcome of the baseline financial assessment undertaken over the summer and a revised set of assumptions for the MTFP covering the years 2021/22 to 2023/24.

Covid-19 budget mitigation strategy 2020/21

6. The 2020/21 budget mitigation strategy for projected Covid-19 revenue pressures was developed by officers in consultation with Cabinet members. The strategy included finding new savings and expediting the transformation and alignment of services. Also included were the potential uses of earmarked and unearmarked reserves and the possibility of refinancing some capital schemes to relieve pressure on the revenue account, if necessary.
7. This strategy recognised the high level of uncertainty that exists regarding the financial impact of the pandemic over the course of the year and the extent of central government support to local councils. It also recognised the difficulty in estimating the scale of income losses so early in the financial year with the expectation that there would likely be new cost pressures as the impact of the pandemic was managed both nationally and locally.
8. All decisions regarding the mitigating actions were made by officers under delegated powers for effective budget management in accordance with the current financial regulations. A report detailing the officer decision-making process was presented to the Audit and Governance Committee in July.
9. The Audit and Governance Committee report makes clear that the budget mitigation strategy was developed and implemented in accordance with the approved financial regulations. These regulations are refined over time as new situations arise. The budget changes made to manage the impact of the pandemic in 2020/21 to balance the overall position could be considered as more fundamental than would normally be envisaged. It is recommended that a review of the financial regulations should take place to consider whether requirements need to vary according to the scale of budget changes being implemented. The Audit and Governance Committee will consider the next evolution of the financial regulations later in the financial year.

Revenue budget monitoring at September 2020/21

10. The projected 2020/21 revenue outturn is for a balanced position, after potentially using £1.9 million of reserves. The inclusion of £12.1 million forecast additional funding from the government to compensate for lost sales, fees and charges has reduced the reliance on the potential use of reserves to balance the position when compared with the June position.

11. Cost pressures from the pandemic have grown since the June report but extra government funding has also been announced. The net budget impact from the pandemic is now estimated at £18.2 million.
12. Budget variances unrelated to the pandemic have emerged since June, with these now included in the projected outturn. A summary of the Covid-19 pressures, mitigation savings and other budget variances are summarised in the table below.

Figure 1: General Fund – Summary projected outturn as at 31 March 2021

June Variances £m		Approved Resource £m	Covid-19 Pressures £m	Mitigation £m	Other Variances £m	Projected Outturn £m	Projected Variance £m
	Service Budgets						
3.8	Adult Social Care & Public Health	111.6	6.4	(4.2)		113.8	2.2
1.0	Children's Services	61.6	5.2	(0.8)	1.1	67.1	5.5
2.4	Environmental & Community	51.5	4.0	(3.0)	0.2	52.7	1.2
17.1	Regeneration & Economy	7.0	22.9	(4.1)	0.2	26.0	19.0
0.9	Resources	32.5	3.0	(1.3)	0.5	34.7	2.2
(0.3)	Furlough of staff			(0.8)		(0.8)	(0.8)
24.9	Total Service	264.2	41.5	(14.2)	2.0	293.5	29.3
	Corporate						
2.1	Investment		2.1			(4.5)	2.1
	Property Income	(6.6)					
	Pensions	5.6				5.6	
	Repayment of debt (MRP)	10.6				10.6	
	Corporate Items	1.9			(0.1)	1.8	(0.1)
	Interest on borrowings	1.8			(0.2)	1.6	(0.2)
	Treasury Income	(0.3)			0.1	(0.2)	0.1
(2.5)	Contribution to Capital	2.8		(2.5)		0.3	(2.5)
2.5	Capital Cont to Transformation			2.5		2.5	2.5
(1.2)	Transfer to Reserves	2.0		(1.2)		0.8	(1.2)
1.2	Revenue Cont to Transformation			1.2		1.2	1.2
11.9	Council Tax /NDR		11.9			11.9	11.9
14.0	Total Corporate	17.8	14.0	0	(0.2)	31.6	13.8
(22.0)	Covid-19 Grant		(25.2)			(25.2)	(25.2)
	Grant for lost income		(12.1)			(12.1)	(12.1)
16.9	Total Budget	282.0	18.2	(14.2)	1.8	287.8	5.8
	Potential funding:						
(1.1)	Contingency	1.1		(1.1)		0	(1.1)
(2.8)	Release from capital projects			(2.8)		(2.8)	(2.8)
(10.7)	Financial resilience reserve			(1.9)		(1.9)	(1.9)
0	Net Budget	283.1	18.2	(20.0)	1.8	283.1	0

13. The estimated pressures due to the pandemic have increased from £52.3 million gross of government grant (£30.3 million net) in the June report to £55.5 million gross (£18.2 million net) in September. The £3.2 million increase in gross pressures since June is largely due to children's social care, support for leisure centre and conference centre operators and the cost of safely opening up facilities post lockdown.
14. The above table includes the additional government funding announced on 2 July, being £3.2 million from the emergency fund plus an estimate of £12.1 million to be recovered through a specific grant claims process for a proportion of lost sales, fees and charges.
15. The council will be able to submit three claims during the course of the financial year relating to losses in sales, fees and charges income that is directly related to the pandemic. The council must cover the first 5% of the budgeted amount for these losses, after which the government will compensate for 75% of the remaining loss. The exact amount receivable will not be known until the three payments on account are received and a final reconciliation and verification exercise is carried out by MHCLG after the year end. The forecast at the time of writing this report is based on the estimated loss in sales, fees and charges as reported in the September Covid-19 budget pressure return to MHCLG.
16. Monthly reports are continuing to be submitted to MHCLG, with the pressures shown above in Figure 1 consistent with the September return. The estimates have been updated to include:
 - Reassessment of pandemic costs.
 - Emerging trends post lockdown for income streams.
 - New government legislation.
 - Changes in demand for services.
17. Delivery of the £13.4 million of new service savings identified as part of the mitigation strategy to balance the budget in the June report remains on track.
18. Employees have continued to be furloughed where appropriate although numbers have significantly reduced since the peak in April and May. In total £0.8 million has been claimed in the period to August.
19. A full revenue summary is presented in Appendix A2.

Summary of 2020/21 projected outturn by directorate

20. The following paragraphs summarise the projected 2020/21 budget position for each directorate.

Adult social care net variance £2.2 million

21. The main Covid-19 pressures are support to the care market in the initial part of the financial year of £4.9 million. In May 2020, the government made available £600 million nationally (£6.064 million for BCP) for infection control pressures across the care sector. In addition to this, the government has recently announced a further £546 million for infection control during the winter (estimate £5 million for BCP) to help the care sector restrict the movement of staff between care homes and pay staff full wages if they are self-isolating. The government will also provide the care sector with free PPE.

22. In view of the above announcement, the original Covid-19 pressures have been adjusted in appendix A1 and will be reflected in the next return to MHCLG.
23. Most of the £4.170 million mitigating savings are on course to be delivered as intended. The packages of measures including targeted reviews for people with learning disabilities remains a challenge at this stage.
24. Other movements in the adult social care financial projections include £1.6 million projected pressures in care packages mainly due to additional demand from people with learning disabilities including challenges in the delivery of savings measures and targeted reviews.
25. The projected overspend in care packages is mitigated by additional income from client contributions and deferred payments of £1.7 million which also mitigate other smaller miscellaneous variances.

Children – net variance of £5.5 million

26. The main Covid-19 pressures are support and cost of care placements. The increase from the June position is £3.4 million. There are also pressures resulting from the loss of income on our in-house nurseries and traded income.
27. The care costs are as a result of both significantly increased cost of some placements due to needs but also a recent increase in numbers of children coming into care. There are also pressures in remand/secure beds (placement searches are underway to enable solicitors to secure dates for bail hearing) and a very high cost placement within the children's health & disability team.
28. Permanent savings of £0.237 million are included for staff restructures across the three service areas and commissioning savings of £0.2 million. There are also other various miscellaneous savings of £0.355 million (£0.255 million are permanent and £0.1 million a one year only contribution). Total 20/21 covid mitigation savings of £0.757 million are on course to be delivered.
29. The projected in year overspend in children's is mostly due to staffing.
30. Staffing pressures continuing from the previous financial year include the social work front door team and business support. Additional staffing pressures are being seen in the significantly under pressure SEN team and also the systems team which is part of the wider care together programme.

Environment and community – net variance of £1.2 million

31. The June report identified £5.4 million worth of pressures related to the Covid-19 pandemic. This has now decreased to £4.0 million, in part due to the period for which income will be lost extending to a full year, and also the full year impact of cost. The main impact however is the allocation of £1.885 million of Next Steps Accommodation Programme (NSAP) grant towards the additional costs related to temporary housing. There have been some improvements in income anticipated for green waste, catering and highways maintenance, although there are still pressures in these areas.
32. In accordance with the council's financial regulations the approval of Council is sought to accept the NSAP external funding of £1.885 million and allocate it to funding the additional temporary housing costs.
33. The Covid-19 pressures within housing are due to the measures to reduce homelessness. The decrease compared with the June position is largely due to a local strategic response plan prepared in collaboration with voluntary sector partners and

submitted to MHCLG resulting in the receipt of the NSAP grant, although there has been some increase in costs as a result of continuing to provide services during lockdown (everybody in). A related capital bid has been made to support a more permanent solution to reduce homelessness. Notification of the success of this bid is awaited.

34. The pressures within bereavement relate in the main to the council's share of the cost of providing the Mortality Support Facility at Poole port and in Dorset. There will also be some impact on the coroner's service due to an increase in the number of inquests and the special measures required when carrying out an inquest and the cost of employing agency pathologists.
35. There are also significant pressures within the catering & concessions and parks services as a result of facilities being closed and reduced services. The forecasting of lost income is under constant review and is improving.
36. Waste services continue to be under pressure as a result of the pandemic, the increase from June is mainly down to the full year impact of the loss of income at the Household Waste Recovery Centre sites, although now open for household waste, the commercial element of the service is still closed.
37. Within communities the reason for the increase in pressures relating to covid since June is the full year impact of lost licensing and fixed penalty notice income, plus some additional security costs for the town centre.
38. The review of community budgets for temporary savings due to Covid-19 can provide £0.1 million. Permanent savings relating to service restructures vacant posts and other budget reductions total £0.3 million.
39. Savings within the environment budgets include £0.6 million from the potential to delay to 2021/22 the spend on member priorities relating to climate change, street cleansing, unauthorised encampments and highways maintenance. The review of all other budgets can save £0.8 million. Included are temporary savings to recognise a level of underspending due to Covid-19 and service decisions to reduce grass cutting. Permanent savings are included from increased income from cess pit emptying and bringing forward the early harmonisation of charging policies across the area for replacement bins. Other permanent savings include deleting some vacant posts and rebalancing two collection rounds to improve efficiency
40. The review of housing budgets has provided £1.2 million of savings from temporary reductions in spending due to Covid-19 and suspension for one year of the contribution to the rent deposit bad debt provision. There are also savings from staffing changes and reduced back fill of vacancies, some of which will be permanent.
41. The £0.3 million saving from rebalancing the solar panel budget for HRA stock reflects current activity and will be treated as permanent.
42. A number of small non-covid related pressures have emerged since June, mainly relating to disaggregated recharge budget issues.

Regeneration and economy – net variances of £19.0 million

43. Overall pressures have increased by £1.9 million since the June report.
44. The main Covid-19 pressures in the directorate as identified in the June update continue to be from lost income due to the lockdown period plus a slow recovery, particularly from car parking. Financial support provided to leisure and conference providers is also now a significant pressure for the directorate.

45. The easing of lockdown during the summer enabled some income streams to recover, particularly car parking (£2.0 million) and seafront trading (£1.2 million). However, this required significant investment in the management of the resort (£1.2 million). Extra measures were put in place to help manage social distancing during this period of high demand with additional cleansing, security, communication and support to residents, businesses and visitors.
46. Income levels have been less than anticipated following the reopening of cultural and heritage assets increasing the pressure by £84,000.
47. In meeting its obligations BCP has agreed to provide significant support to our leisure services partners, BH Live and SLM, to help them through the pandemic as well as pressure associated with the 2RM Christchurch leisure centre. This has increased the pressure from £1.4 million to £4.2 million.
48. Car parking income at Upton Country Park has improved due to the new play park attraction and the easing of lockdown enabling it to reopen sooner. This has reduced the pressure by £63,000 to £136,000.
49. New fee income pressures are expected in planning and building control services as the wider economic impact of Covid-19 is manifesting itself. Both planning and building control service have identified further temporary staff and expenditure savings to help mitigate the reduction in income.
50. Major repair work required at the entrance of the Richmond Gardens car park has meant £0.1 million of unbudgeted costs have been incurred creating a further pressure within car parking services.
51. Transport network services have a new pressure relating to the traffic light and signalling contract which is £0.1 million more than budget.
52. All previously reported mitigation savings remain on track as described below.
53. Destination and culture have projected temporary savings arising from the outbreak period at £1.3 million. The cancellation of the air festival has saved £0.3 million and plans for a new outdoor event could provide new income of £0.1 million. The delay until next year of spend on culture as part of Members' priorities will save £0.15 million, with vacant posts and other budgets providing a further £0.1 million.
54. Development have identified £0.3 million in savings from leaving vacancies unfilled and reduced spend as a result of the outbreak, and £0.3 million from delaying Member priorities.
55. Growth & infrastructure are projecting savings from reduced spend as a result of the outbreak of £0.7 million and unfilled vacancies of £0.5 million.

Resources – net variances of £2.2 million

56. The June report identified a net overspend of £2.2 million all in relation to the impact of Covid-19.
57. Since then a further £0.8 million of Covid-19 related pressures has been identified. The biggest increase is the loss of income in relation to council tax and business rates summons income. During lockdown courts were closed and although operating now they have yet to supply any court dates to the council which impedes the process of raising summons to taxpayers. This represents a total pressure of £1.1 million.
58. The loss of income forecasted for the land charges service is expected to be £0.2 million compared to the previous forecast of £0.4 million due to an increase of demand

in the service in the last couple of months. Although the pressure has reduced, the finance team and the service will continue to monitor this closely to ensure this remains a realistic forecast.

- 59. Additional pressures in the directorate have been identified in relation to salary pressures associated with the replacement of the Director of Children's and ongoing staffing pressures for customer services.
- 60. The mitigation savings identified in June are largely on track to be delivered.

Central items

- 61. Council tax and business rates loss of income remains the most significant pressures in year due to the Covid-19 pandemic, totalling £11.9 million. This remains unchanged from the forecast pressure in June. The finance team are monitoring this very closely particularly around the impact of closure of the government furloughing scheme and the job support scheme that replaces it, and what impact this has on any additional uptake to the local council tax support scheme.
- 62. The council claim to government for furloughing staff will total £0.8 million up to the end of October helping the overall position.
- 63. Appendix A1 includes the detail of all 2020/21 projected budget variances greater than £100,000.

New administration priorities

- 64. The clear message from the new administration has been that there are a number of priority areas for investment in year and these are being worked up at pace and will be reported in due course.

Reserves monitoring 2020/21

- 65. Earmarked reserves have been set aside for specific purposes and these were reconsidered in June in the light of the new financial environment and need to fund the transformation programme which is fundamental to delivering savings at scale.
- 66. The review recommended that £10.7 million of reserves could be re-designated to support the revenue funding gap (notionally into a new Covid-19 financial resilience earmarked reserve). The review also recommended that £2.3 million of un-earmarked reserves could potentially be required but that these would need to be topped back up in 2021/22 as this utilisation would take them below the minimum recommended prudent level.
- 67. The updated position is that £1.9 million financial resilience reserves may now be needed in 2020/21. The potential reliance on reserves to balance the budget is reduced due to the additional government funding in relation to compensation for reduced fees and charges income.
- 68. The recommended strategy concerning the £11.1 million of financial resilience reserves that were earmarked to balance the 2020/21 position but are no longer required, is to utilise these reserves in support of the MTFP.
- 69. These reserves are not required for their original purpose but will be held as such until it becomes clear that they will not be needed to support the revenue budget this year or next, with no expenditure to be incurred without the approval of the corporate management board. A formal decision regarding these reserves will be made later in the year.

70. Figure 2 below summarises the projected movement in reserves during the current financial year.

Figure 2: Summary of projected movements in reserves

	Balance 1 April 2020	Balance 31 March 2021	Movement
	£m	£m	£m
Earmarked reserves	53.8	27.3	(26.5)
Un-earmarked reserves*	15.4	14.2	(1.2)
Total reserves	69.2	41.5	(27.7)

*These amounts do not include the deficit on the dedicated schools grant

71. The main movement on other earmarked reserves during the year are as follow:

Financial Resilience Reserves

- a) £1,948k **Covid-19 Financial Resilience Reserve**
Draw down to support overall budget position
- b) (£2,500k) **Covid-19 Financial Resilience Reserve**
Contribution from previous voluntary revenue provision as per Covid-19 report in June 2019

Transition and Transformation Reserves

- c) £1,364k **Pay & Reward Strategy**
Full use of reserve to pay for work on pay and reward strategy
- d) £425k **Local Government Reorganisation Costs**
Full use of reserve to pay for remaining LGR costs
- e) £947k **Redundancy Reserve**
Full use of reserve to pay for actual and potential redundancy costs.

Government Grants

- a) £11,102k **Covid-19 Grant Tranche 1**
Full use of Tranche 1 grant received in March 2020 rolled forward

72. Appendix B provides the detail of projected reserve movements for 2020/21

Dedicated Schools Grant (DSG) 2020/21

- 73. The DSG is allocated within four expenditure blocks for early years, mainstream schools, central council services and high needs. The aim would normally be to set the DSG budget for a balanced position overall.
- 74. The council is no longer able to add to the DSG from its own resources with the Department for Education (DfE) imposing a limit on how much funding can be transferred away from mainstream schools to support the high needs budget. Consequently, despite initiatives to reduce expenditure, the high needs budget for 2020/21 was set with a shortfall of £6 million compared with funding available from the DSG.

75. This £6 million funding shortfall does include £2.5 million of identified savings from the service including health contribution from joint commissioning, review of EHCP process, early help, review of high cost placements and the impact of creating further additional capacity.
76. The service is scheduled to report progress in reducing the high needs budget at monthly budget overview meetings.
77. There is a surplus in 2020/21 of £1 million from the school's funding block after all mainstream schools have received their full national formula allocations. This balance is being held to offset the shortfall from high needs, reducing the annual budgeted deficit to £5 million.
78. The accumulated deficit at 31 March 2020 was £4.6 million, with the budgeted shortfall increasing this to £9.6 million by 31 March 2021.
79. The current projection for the High Needs Block is for expenditure to be at the budgeted level with the funding shortfall remaining at £6 million. There are small savings projected for other DSG expenditure blocks.
80. Figure 3 below summarises the position regarding the dedicated schools grant.

Figure 3: Summary position for dedicated schools grant

	£m
Accumulated deficit 1 April 2020	4.6
Budgeted high needs shortfall 2020/21	6.0
School funding block surplus 2020/21	(1.0)
Savings on other expenditure blocks	(0.3)
Projected deficit 31 March 2021	9.3

81. The plan to reduce the growth in the number of EHCP's appears to be on target, and although the average cost of a plan remains above target, progress to reduce is being made.
82. Members are reminded that the council is in dialogue with the DfE in respect of its high needs recovery plan. The first meeting on 24 April 2020 provided an opportunity to discuss the specific circumstances for the council as a result of local government reorganisation and the pattern of school provision locally. The main focus of the discussion concerned the actions currently underway within the council to address the funding shortfall.
83. The plan to reduce revenue expenditure includes building more places across a range of provision but with limited capital resources available. This was acknowledged but all agreed that creating more provision was only part of the solution to the annual funding deficit.
84. Meetings are being arranged at six monthly intervals to enable the DfE to monitor the progress of the action plan and share best practice examples as they emerge elsewhere.

Churchill Gardens ASPIRE building

85. BCP Council have been granted £0.530 million of European Regional Development Funding as part of the ASPIRE project. The project includes replacing the existing café

in Churchill Gardens and running a project to develop a food hub, helping residents who are unemployed and/or overweight to develop skills and confidence taking them closer to the job market. Match funding of £0.238 million was approved by the legacy Bournemouth Borough Council and forms part of the BCP Capital Investment Programme. The total project equates to £0.768 million of which approximately £0.330 million is capital spend.

86. In accordance with the council's financial regulations the approval of Cabinet is sought to accept the external funding of £0.530 million and proceed with the project.

Capital budget monitoring 2020/21

87. The council's budgeted capital investment programme (CIP) covers general fund capital expenditure only. Housing revenue account (HRA) related capital spend is reported separately in this report.
88. Members will note the increase in current forecast spend of £146.7 million in comparison with previous original budget of £105.7m approved by Council in February 2020. Significant changes to original budget are summarised in Figure 4 below:

Figure 4: Amendments to the capital programme

	£m
Original budget 2020/21	105.7
Reprofiling of unspent resource from 2019/20	16.5
Transforming Cities Fund	13.2
Additional Pothole Grant	2.9
Challenge Fund Grant (28 September Cabinet)	4.2
Organisation Design	8.8
Children's Capital Projects (including Strategy)	(2.8)
Lansdowne Business District	(3.7)
Towns Fund Grant	1.0
Various others	0.9
Forecast as at 31 August 2020	146.7

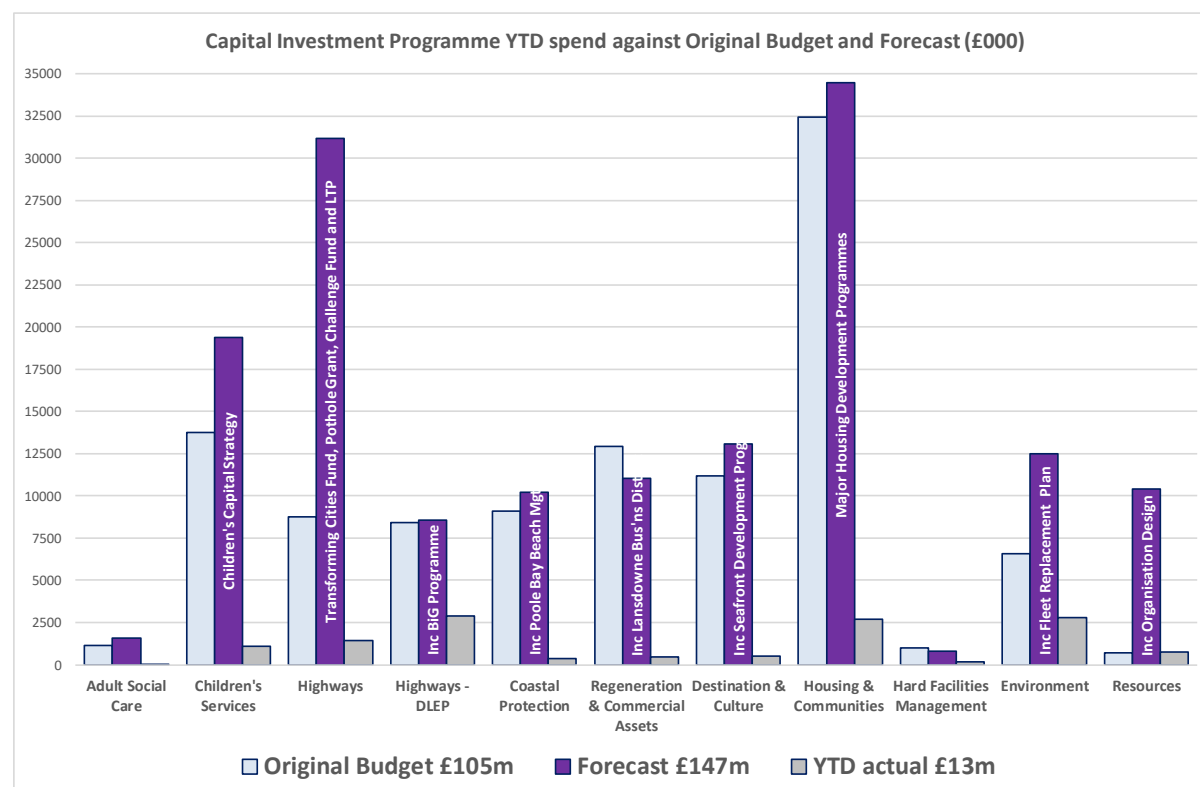
89. Figure 5 below compares actual spend to 31 August 2020 with original budget and latest forecast. At £13.1 million, this represents 9% of latest full year forecast. Members are reminded that, in an average financial year, the council would normally expect to have spent around 10% of full year forecast by the end of June. The comparative pace of capital expenditure in 2020/21, however, reflects the ongoing impact of Covid-19 on delivery of capital projects, as well as the extent of high value government grant awards only recently confirmed.
90. It is likely that significant reprofiling of current forecast spend will be required in the next quarter's budget monitoring report. In considering this, the council is mindful of the requirement to spend specific capital grants by 31 March 2021, including:
- Dorset Local Enterprise Partnership (DLEP) £14.5 million capital spend must be incurred between 1 September 2020 and 31 March 2021 (including £1.2 million to be spent by 28 February 2021). Given the financial and reputational risks

associated with this as the council nears the spend deadline, these projects will be monitored on a monthly basis by the council's capital & transformation board.

- Department for Transport (DfT) £4.2 million Challenge Fund – there is an expectation that this will be spent or committed by 31 March 2021.
- Department for Transport (DfT) £0.3 million Emergency Active Travel Fund Part I – must be spent within 8 weeks of grant receipt (this has now been achieved)
- Ministry for Housing, Communities and Local Government (MHCLG) £1.0m Towns Fund grant awarded 25 September 2020, to be spent on Boscombe regeneration by 31 March 2021.

91. Members are also asked to note that, in addition to the above, in August / September, the council submitted new grant bids for DLEP funding at a combined value of £3.6 million as well as £1.6 million DfT Emergency Active Travel Fund Part II funding. If the bids are successful (and Council formally approves their acceptance), the CIP would be further increased by £5.2million – all of which must be spent by 31 March 2021.

Figure 5: Capital investment programme spend



Progress on significant capital projects

92. **Adults social care** – capital budget includes completion and roll-out of integrated case management system and annual investment in integrated care equipment store (ICES), both of which are still planned to be spent by 31 March 2021.
93. **Children's services** – In line with the children's capital strategy, investment in SEND capital projects is progressing at pace. This is expected to help mitigate demand driven revenue pressures in the high needs block. Hillbourne new school building progressed

to contract award in August 2020. Carter school works are also progressing to schedule and are currently expected to complete within budget.

94. **Highways** - Over 20% of the CIP consists of highways capital projects. This reflects an ambitious strategic programme of capital investment across the conurbation that is funded predominantly from external capital grants. Given the value and profile of this programme of works, they are the subject of separate service unit led Member reports.
95. **Highways – DLEP** - Completed works include Cooper Dean and Blackwater West. Remainder of spend is on course for completion by March 2021 and will be subject to separate scrutiny by the capital & transformation board. The Wallisdown Crossroads project (funded from the National Productivity Investment Fund) is also progressing to schedule.
96. **Coastal protection** – contracts recently awarded for both the timber groyne and beach re-nourishment elements of the Poole Bay beach management programme. As a result, beach re-nourishment, using around 350,000 cubic metres of select fill, will be undertaken at specific locations.
97. **Regeneration** – the majority of budgeted capital spend this year relates to Lansdowne Business District and 5G digital connectivity and infrastructure. Council originally approved a £4.1 million reduction in the value of this programme. This has subsequently been revised to a £3.7 million reduction in value. A revised programme of works has subsequently been developed that will continue to deliver public realm improvements on Holdenhurst Road and 5G digital connectivity and infrastructure as planned. Revisions to original plans include refocussing of Lansdowne roundabout and Lansdowne Road (south) works to cycle and pedestrian priority. Planned works at Madeira Road roundabout are no longer part of the 2020/21 delivery phase of works. The council's capital & transformation board will monitor delivery of Lansdowne Business District programme monthly from October 2020.
98. **Destination & culture** – Delivery of the council's seafront development programme continues. Contract has been awarded for Canford Cliffs stabilisation, and work is nearing completion on Coastal Community Fund funded public realm improvements across the seafront. The impact of Covid-19 on the financial viability and deliverability of newer projects within the seafront development programme will continue to be reviewed by the council's seafront development board.
99. **Housing** – The council completed its acquisition of Holes Bay land (former Power Station site) for housing development at the end of September 2020.
100. **Hard facilities management (estates)** – work on high priority estates maintenance continues within approved budget. Work is undertaken in this area with due regard for the council's organisational design and estates & accommodation Strategies.
101. **Resources** – The council's ICT investment plan is continuing to schedule. The council's organisational design programme, to relocate BCP staff to a single primary civic centre space is now also included within the CIP.

Capital programme - financing

102. The council continues to rely on its own resources – principally earmarked reserves (including capital fund) and borrowing (the costs of which are included within the MTFP). Figure 6 summarises the latest funding profile for 2020/21 capital spend forecast.

Figure 6: Capital investment programme financing

Figure 6	
	Forecast 2020/21 £'000
Government Grant	76,071
Third Party Receipts	866
s106	4,296
CIL	2,019
External Funding Contributions	83,252
BCP Funding Requirement	63,480
Capital Investment Funding	
	146,732

103. In line with the council's approved flexible use of capital receipts strategy, capital receipts of £14.06 million anticipated between 1 April 2019 and 31 March 2022 are earmarked as funding for organisational design. This can only be applied to spend incurred in advance of 31 March 2022. The £14.06 million includes £1.25 million in respect of assets transferred from the general fund to the housing revenue account and £0.55 million where the capital receipt has already been received. There is risk associated with the residual £12.26 million balance of capital receipts forecast but not yet received. These are estimates only and remain susceptible to changing market conditions.
104. In line with CIPFA guidelines, the use of prudential borrowing is permitted only for the capital elements of organisational design. Accordingly, £5.8 million of prudential borrowing is planned to be utilised in order to finance the capital elements of organisational design. Borrowing should be repaid over the useful life of the asset, which is estimated to be five years. The resulting annual borrowing repayment will be a revenue cost and is shown in Figure 7 below.
105. The revenue elements of the organisational design programme are planned to be funded from a combination of the general fund and one-off revenue reserves. The council has made available £13.5m revenue reserves previously allocated to organisational design to help relieve the MTFP funding pressure in 2021/22. Once the additional revenue costs are taken into account the net benefit to the 2021/22 budget is £10.84 million as shown in Figure 7 and Figure 8. The repurposing of revenue reserves results in an overall funding gap of £9.4m in relation to the revenue elements of organisational design which is built into the MTFP. Figure 7 provides a full overview of the financial implications of this.

Figure 7: Organisational design expenditure

Figure 7 Organisational Design - potential funding model	2020/21 £m	2021/22 £m	2022/23 £m	2023/24 £m	2024/25 £m	£m
Capital expenditure						
Capital expenditure	3.80	1.00	1.00	0.00	0.00	5.80
	3.80	1.00	1.00	0.00	0.00	
Capital funding						
Prudential Borrowing	(2.55)	(1.00)	(1.00)	0.00	0.00	(4.55)
Prudential Borrowing (funded from HRA land tfr)	(1.25)	0.00	0.00	0.00	0.00	(1.25)
	(3.80)	(1.00)	(1.00)	0.00	0.00	
One-off revenue expenditure						
One-off costs	1.95	10.43	7.08	2.45	1.35	23.26
Redundancy	3.00	3.00	0.00	0.00	0.00	6.00
Contingency	0.00	1.43	0.69	0.00	0.44	2.56
	4.95	14.86	7.77	2.45	1.79	
One-off revenue funding						
Voluntary Revenue Provision	(1.77)	0.00	0.00	0.00	0.00	(1.77)
Corporate in-year RCCO	(1.90)	0.00	0.00	(2.00)	(1.76)	(5.66)
Estate RCCO (including £250k one-off from 2019/20)	(0.73)	(0.48)	(0.48)	(0.45)	(0.03)	(2.17)
Capital receipts	(0.55)	(12.26)	0.00	0.00	0.00	(12.81)
	(4.95)	(12.74)	(0.48)	(2.45)	(1.79)	
Total expenditure	8.75	15.86	8.77	2.45	1.79	37.62
Total funding	(8.75)	(13.74)	(1.48)	(2.45)	(1.79)	(28.21)
Organisational Design funding gap	0.00	2.12	7.29	0.00	0.00	9.41
MTFP impact (absolute NOT incremental)						
Redundancy reserve release	0.00	(0.72)	0.00	0.00	0.00	(0.72)
Voluntary Revenue Provision	0.00	(2.47)	0.00	0.00	0.00	(2.47)
Financial Liability Earmarked Reserve release	0.00	(10.33)	0.00	0.00	0.00	(10.33)
Estate RCCO base budget release	0.00	0.00	0.00	(0.03)	(0.45)	(0.48)
Absolute resources being released	0.00	(13.52)	0.00	(0.03)	(0.45)	(14.00)
Shortfall in Organisational Design revenue funding	0.00	2.12	7.29	0.00	0.00	9.41
Borrowing on £4.55m OD capital (over 5 years @ 3.5%)	0.00	0.56	0.79	1.01	1.01	3.37
Absolute Impact on MTFP	0.00	(10.84)	8.08	0.98	0.56	(1.22)

106. The Council continues to review the availability of community infrastructure levy (CIL) and s106 contributions for the financing of capital expenditure. The identification of available CIL and s106 contributions will potentially support the MTFP by reducing annual prudential borrowing repayments or releasing capital fund resources currently financing the CIP.

107. Members are reminded that in June 2020, Council was advised of the availability of up to £2.8m capital fund reserve to potentially release to help mitigate revenue pressures in 2020/21. This relates to capital fund allocations currently approved for the Heart of Poole and Canford Cliffs beach hut development capital projects, which could be replaced with alternative funding sources (e.g. prudential borrowing) if required.

Capital budget virements 2020/21

108. In accordance with the council's financial regulations the following rules associated with capital virements apply (after advice from the Chief Finance Officer):

- ☐ Virements over £1 million require prior Council approval.
- ☐ Virements over £0.5m and up to £1 million require prior Cabinet approval.
- ☐ Corporate Directors can approve virements over £100k up to £500k.
- ☐ Service Directors can approve virements up to £100k.

109. The following capital virement requires **Council approval**.

Service area

Regeneration

Budget purpose **Increase capital programme by £1m**

Council approval is sought to accept £1 million Ministry for Housing, Communities and Local Government (MHCLG) grant funding. This will enable the council to deliver a programme of accelerated capital investment in Boscombe by 31 March 2021 – the first phase of the council's strategic Boscombe Towns Fund regeneration programme. The funds will be allocated to capital projects outlined within the grant bid. Cabinet will be provided with a detailed Boscombe Towns Fund report in December 2020 with further details on projects funded from the £1m grant, as well as information on the council's bid for the second phase of the Towns Fund Intervention programme.

Housing Revenue Account (HRA) monitoring 2020/21

110. The HRA is a separate account within the council that ring-fences the income and expenditure associated with the council's housing stock. The HRA does not therefore directly impact on the council's wider general fund budget.

111. Within the HRA the council operates two separate neighbourhood accounts. The Bournemouth account comprises of 5,100 tenanted properties and is directly managed in-house by the council. The Poole account comprises of 4,517 tenanted properties and is managed by Poole Housing Partnership (PHP). PHP operate as an arm's length management organisation (ALMO) in line with a management agreement with the council.

112. The impact of the pandemic was expected to reduce HRA revenue collection by an increase in number of void properties leading to lower levels of rent charges raised. To date this has not happened, however there is still an expectation that when some of the central government Covid-19 policies end (e.g. the furlough scheme) that there will be some impact on rents collected

113. Delays in progressing new build projects due to the Covid-19 lockdown will result in a delay in the requirement for borrowing and associated charges. Any changes to the revenue forecast is reflected in either an adjustment to the revenue contribution to capital, or a call on HRA reserves, within the HRA ringfence.

114. HRA capital budgets will be more substantially impacted by Covid-19 as the lockdown has impacted planned works to people's homes where access has not been available. Planned maintenance programmes will be reduced by approximately £1.2 million

across both neighbourhoods and this unused budget will remain in HRA reserves. Additionally, there have been significant delays in some of the major capital projects planned for this year. These projects will be rephased with £12 million of slippage into future years. This slippage results in lower borrowing requirement for the HRA in 2020/21 as reserves will be used to fund the capital programme.

Bournemouth neighbourhood

115. Appendix C1 provides the detail of revenue and capital budget monitoring statements for the Bournemouth neighbourhood.

Revenue account

116. The current forecast is for an underspend of £0.07 million compared to budget. Rents appear to be being maintained against plan. There are some support cost and repairs savings as a result of the lockdown, although in the case of repairs it is hoped that much of the work can be caught up.

Capital programme

117. There is a relatively small underspend of £0.2 million in respect of programmed kitchen and bathroom works to be carried out this year. By far the biggest variation is in the development programme, where the closedown of sites has had a material impact, slipping the programme by £5.9 million. These delays are likely to have a knock on effect across the programme into future years.

Poole neighbourhood

118. Poole Housing Partnership prepare the budget monitoring information for the Poole neighbourhood with the latest available statement being for the first quarter to the end of June. The report for the second is due in mid-October.

119. Appendix C2 provides the detail of revenue and capital budget monitoring statements for the Poole neighbourhood.

Revenue account

120. There are no material budget variances currently projected for the revenue account.

121. The rents raised in the first quarter are 25% of the annual budget, with no significant variation due to voids. Arrears for tenants on universal credit are rising with the pandemic providing a further risk to collectability. An assessment of the adequacy of the bad debt provision is in progress.

Capital account

122. The February 2020 report to Council agreed a £21.4 million capital programme for the HRA in 2020/21. This budget included carry forwards from 2019/20 of £0.45 million. Additional carry forwards were identified at outturn totalling £0.23 million due to delayed roofing, door replacement and fire risk assessment work. This brings the revised budget for 2020/21 to £21.6 million.

123. The projected outturn is a shortfall in the programme of £7.4 million with by June £1.6 million spent. This equates to eleven per cent of the annual projection of £14.2 million.

124. The main projected expenditure variances against the revised budget are as follows:

- £3.1 million delay in redevelopment of the 4 tower blocks in Poole Old Town. The property buy backs within the project are expected to be completed this year, but the delivery of works has been re-phased.
- £1.2 million delay in the Herbert Avenue scheme. Planning has been agreed with only approximately half the annual budget expected to be spent this year.
- £1.1 million delay for in fill projects with the development team currently forecasting only minimal spend against this budget in 2020/21 while potential opportunities are assessed.
- £0.7 million delay in planned maintenance from reduced ability during the pandemic to access properties during the first quarter with catch up unlikely.
- £0.4 million delay for Cynthia works with the majority of the project re-phased to 2021/22.
- £0.35 million delay in retro fit of sprinklers with re-phasing of the programme.
- £0.3 million delay for Hillbourne school development with only minimal spend forecast this year.
- £0.15 million for the completed Canford Heath scheme with the retention now due next year.

Medium Term Financial Plan Update and 2021/22 Financial Strategy

125. The process of setting a robust and lawfully balanced budget for 2021/22 will be an extremely challenging one for the Council. The ongoing legacy of the coronavirus global pandemic will mean unprecedented levels of uncertainty in determining the costs that will need to be met in the next financial year and in predicting the levels of income that will be achieved.
126. As a new unitary authority, we recognise the predecessor councils consciously applied a strategy to grow their local sources of sales, fees and charges to mitigate the £103 million per annum (comparing 2020/21 with 2010/11) reduction in un-ringfenced government funding due to austerity. This enforced strategy now leaves the BCP Council vulnerable in the current uncertain and recessionary climate which is particularly predicted to have a hard impact on deprived and coastal communities. As a consequence, the authority will need to maximise the potential and pace of its transformation agenda and make some difficult choices about its priorities and which local services should be protected and funded, and to what level, as part of its 2021/22 budget.
127. In response to this high level of uncertainty, the council's financial strategy has been drawn up based on different scenarios. The scenario being adopted at this stage identifies that the council needs to implement a strategy designed to save a further £13.4 million to enable a balanced budget to be delivered next year. This position is net of £8.8m of savings and efficiencies already programmed and assumed for 2021/22 and a £15 million savings target for the transformation programme.
128. Alternative scenarios emphasise that this basis position could easily vary both positively and negatively significantly. The current position has been updated since the June 2020 Cabinet 2020/21 budget monitoring report to reflect two key workstreams;
- the refresh of the MTFP undertaken at the end of August in accordance with the MTFP timeline in Appendix D1.

- A further refinancing of certain capital and revenue schemes.

129. Figure 8 below sets out a summary of the current funding gap position in respect of the 2021/22 Budget.

Figure 8: Funding gap 2021/22

£m	Details
17.3	Position as per February 2020 February Budget Report
(6.4)	Ongoing savings introduced in the June 2020 Cabinet Report
(5.0)	Changes in assumptions (negative RSG, Pay Award, contribution to DSG)
3.5	Transformation – revenue investment (June Cabinet Organisational Design report)
5.5	Revised operational pressures and savings following August Refresh
14.9	Sub-Total Funding Gap for 2021/22
4.0	Requested Service Investments
18.9	Sub-Total Funding Gap for 2021/22

Covid19 Legacy Issues	
17.1	Sales, Fees and Charges (predominately Town Centre Car Park Income)
12.2	Core Income (Council Tax and Business Rates yield)
0.9	Legacy Costs Issues (Infection Control, homelessness, economic development)
30.2	Total Covid19 Legacy Issues
49.1	Sub-Total Funding Gap for 2021/22

Mitigations	
(15.0)	Savings target set for the Transformation Programme
(4.0)	Removal of requested service improvements
(2.0)	Removal of revenue contribution to capital
(0.1)	Residual MTFP
(1.3)	ICT Investment Plan – refinance by borrowing
(10.8)	Transformation Fund – refinance by borrowing and profile into MTFP
(2.5)	Other schemes refinanced by borrowing
13.4	Funding Gap for 2021/22

130. This update forms part of the latest MTFP position of the authority which can be set out as follows. It should be noted that this table is presents on an absolute, rather than incremental, basis.

Figure 9: Latest medium-term financial plan

	2021/22	2022/23	2023/24
Position prior to legacy Covid position	24.4	45.2	62.7
Service Investments	4.0	4.0	4.1
Transformation Revenue Costs	3.5	4.0	4.5
Service Savings – Assumed / programmed	(8.8)	(10.3)	(10.4)
Council Tax – Annual uplift (Harmonisation / 2.99%) & Tax-base	(4.5)	(12.2)	(20.3)
Business Rates – Annual inflationary uplift	(1.1)	(2.2)	(3.3)
Collection Fund – One-off surplus 2020/21	1.4		
Position prior to legacy Covid position	18.9	28.5	37.3
Covid19 – Sales, Fees and Charges	17.1	8.5	4.2
Covid19 – Core Income	12.2	6.1	3.0
Covid19 - Costs	1.0	0.6	0.6
Current Base MTFP Position	49.1	43.6	45.1
Removal of service investments	(4.0)	(4.0)	(4.0)
Revenue contribution to capital	(2.0)	(2.0)	(2.0)
Residual capital funding	(0.1)		
Town Centre Development Fund	(2.5)		
ICT Investment Plan Resources One-Off & funding obligations	(1.3)	0.3	0.3
Transformation Fund Resources One-Off & funding obligations	(10.8)	8.1	3.0
Net Funding Gap – Before Transformation	28.4	46.0	42.4
Transformation Saving Target 2021/22	(15.0)	(24.1)	(33.2)
Net Funding Gap	13.4	21.9	9.2

131. The scale of the challenge is best understood by recognising that the current 2021/22 funding gap represents 4.7 per cent of the councils 2020/21 net revenue budget.
132. Appendix D2 and D3 provides summaries of the current assumptions used. These are likely to change as government announcements are made and other issues become clearer.
133. Appendix D4 includes full details of the financial strategy, including scenario planning and options for setting council tax in 2021/22. In summary the financial strategy can be summarised as follow;
- Encourage the government to continue to meet the original commitment from Robert Jenrick the Secretary of State for Housing Communities and Local Government that promised councils will get all the resources they need to cope with this pandemic.
 - The first draft of the 2021/22 Budget will be drawn including a £2.5 million investment in corporate priorities which is £1.1 million more than the amount assumed in the base for 2020/21.
 - The £15 million savings target for transformation is reaffirmed. It is recommended that the Corporate Director for Transformation brings forward to Cabinet in December a report detailing how such savings will be achieved, including their implications, risks and mitigations and the extent to which they will be itemised in setting the 2021/22 budget. This assumed level of savings for 2020/21 was approved as part of 2020/21 budget monitoring report to June Cabinet.
 - The review of projects (revenue and capital) as put forward as part of the June Cabinet report which set out those schemes and programmes that could be deferred, cancelled or refinanced.

- e) Proposals to refinance other capital schemes where appropriate, designed to release resources which can be used to support the 2021/22 budget of the Council. The intention now being to borrow to fund these schemes over the life of the asset, or where they are revenue in nature to meet the cost as part of the budget for the year in which the expenditure falls. Examples of such schemes include the ICT Investment and the previous transformation programme.
- f) Recognising the scale of the Covid-19 legacy issues, which the government often refer to as the Covid-19 scarring costs, and the uncertainty as to whether they will be covered by government in either full or part it is recommended that the council;
 - f1) take all possible steps to avoid using reserves and protect resources earmarked in 2020/21 to mitigate the impact of Covid-19 in the current financial year. If this can be achieved the proposal would be to redirect these resources into a Covid-19 income mitigation reserve.
 - f2) take all possible advantage of the system to allow council and business rates tax deficits to be repaid over three years instead of one, accepting that the details of the scheme are yet to be announced and therefore the advantage or otherwise of doing so is yet to be clarified.
 - f3) request that Portfolio Holders, Corporate Directors and Service Directors work together to reduce the operating cost pressures put forward as part of the August 2020 rebase of the Medium Term Financial Plan or to increase the £8.8m of savings, efficiencies and additional income already being put forward for 2020/21 outside of separate transformation programme. The first draft of the 2021/22 budget will also be drawn excluding £4.0 million of service improvements requested by the Corporate and Service Directors and the £2.0 million assumed revenue contribution to capital.
- g) An ongoing review of resources and provisions to consider inherited amounts from predecessor councils relating to s106 deposits and the community infrastructure levy receipts. This is to establish if there has been consistency in how they have been used and to determine the extent to which they should have been applied to historic capital expenditure. This workstream should also consider the adequacy or otherwise of historic provisions for business rates appeals and provisions.
- h) A review of third-party contributions towards forecast costs to ensure they are being maximised. This includes contributions from the Clinical Commissioning Group towards the cost of care.

Scenario planning

- 134. In the June budget monitoring report three scenarios had been maintained regarding the length of the pandemic and recovery period with a standardised annual approach for the impact across services. As an example, one scenario assumed that after a short recovery period, most service costs and income would return to normal levels. A second scenario assumed the full impact lasted all year.
- 135. As the summer has progressed it is now clear that services will not all recover at the same pace and some are likely to have higher costs all year (for example to manage social distancing and PPE requirements). Income recovery assumptions are now more nuanced depending how lockdown restrictions have been eased with experience gained about changed behaviours as the population returns to work and leisure activities.

136. There remains the risk that the financial impact could be significantly better or worse than current projections. In these cases, we would expect government support to also change to reduce the impact on the annual position.
137. The financial strategy in the report appendix D4 provides illustrative examples of alternative MTFP assumptions to put into context the high level of uncertainty that exists at this stage in the budget cycle and the scale of decisions still to be made.
138. Also included in the financial strategy is consideration of options for setting the level of council tax in 2021/22 and future years.

Proposed Actions

139. Request the Corporate Director for Children's Services set out in the next budget monitoring report further details of the budget variances within the directorate and the actions being taken to mitigate these pressures.
140. Request the Chief Executive to set out in the next budget monitoring report further details of the pressures within the directorate and any potential mitigations.

Summary of financial implications

141. This is a financial report with budget implications a key feature of the above paragraphs

Summary of legal implications

142. The recommendation in this report are to ensure the council remains financially viable over 2020/21 with an improved prospect of balancing future year budgets.

Summary of human resources implications

143. There are no human resources implications from this report. The June Cabinet budget monitoring report included the implications of the current budget mitigation strategy.

Summary of sustainability impact

144. Different ways of working are continuing to reduce staff travel as included in the budget mitigation strategy. The accommodation strategy, and the smaller estate in future years will also lower pollution and energy consumption.

Summary of public health implications

145. The council is seeking to maintain appropriate services for the vulnerable as well as improve the sustainability of services important for the wellbeing of all residents.
146. The projected outturn includes a significant allowance for PPE to protect staff and residents to ensure compliance with all guidance to be issued by Public Health England over time.

Summary of equality implications

147. Budget holders are managing their in-year budget savings to minimise any adverse equalities issues.
148. In developing their final MTFP proposals, directorates will each undertake an equalities impact assessment which will be reviewed corporately and summarised for inclusion in the February 2021 report to Council.

Summary of risk assessment

149. There remains significant uncertainty in the length and depth of impact from the Covid-19 emergency. Three scenarios were considered in the early part of the year with now the most likely scenario taken forward and constantly updated to take account of the latest government guidance and emerging issues.
150. Further actions may be needed during the year if the financial impact grows beyond that currently estimated.

Background papers

1. 2020/21 Budget and MTFP report to February 2020 Council
<https://democracy.bcpccouncil.gov.uk/ieListDocuments.aspx?CId=285&MId=3726&Ver=4>
2. Finance update report to 27 May Cabinet
[http://ced-pri-cms-02.ced.local/documents/s17294/BCP%20Council%20Finance%20Update.pdf?\\$LO\\$=1](http://ced-pri-cms-02.ced.local/documents/s17294/BCP%20Council%20Finance%20Update.pdf?LO=1)
3. Covid-19 budget monitoring report 2020/21 to 24 June Cabinet
[http://ced-pri-cms-02.ced.local/documents/s17802/Budget%20Rebase%20202021.pdf?\\$LO\\$=1](http://ced-pri-cms-02.ced.local/documents/s17802/Budget%20Rebase%20202021.pdf?LO=1)
4. Audit Committee report July 2020
[http://ced-pri-cms-02.ced.local/documents/s18726/Governance%20of%20Budget%20Monitoring.pdf?\\$LO\\$=1](http://ced-pri-cms-02.ced.local/documents/s18726/Governance%20of%20Budget%20Monitoring.pdf?LO=1)

Appendices

- Appendix A1 Projected variances greater than £100,000 for 2020/21
- Appendix A2 Revenue summary position 2020/21
- Appendix B Schedule of movement in reserves for 2020/21
- Appendix C1 Summary of Bournemouth neighbourhood HRA for 2020/21
- Appendix C2 Summary of the Poole neighbourhood HRA for 2020/21
- Appendix D1 MTFP timeline
- Appendix D2 MTFP Assumptions summary table
- Appendix D3 MTFP Key financial planning assumptions
- Appendix D4 Financial strategy 2021/22 to 2023/24

Appendix A1: Budget Variances Greater than £100,000

Adult Social Care & Public Health

Budget	Explanation	June Variance 2020/21 £000s	August Variance 2020/21 £000s	Change £000s
Covid Pressures				
All client groups	Potential market pressures	6,425	4,902	(1,523)
All client groups	Client related expenditure - all client groups	511	210	(301)
All client groups	Service user contributions	205	255	50
Reablement	In house care provision	71	65	(6)
Employees	Other worker related expenditure	27	0	(27)
All client groups	Delayed transformation and other savings	690	940	250
All client groups	Additional infection control pressures to support the market	0	5,053	5,053
All client groups	Additional infection control grant	0	(5,053)	(5,053)
All client groups	Care cost from hospital discharge schemes funded by Health	0	11,837	11,837
All client groups	Funding from Health for hospital discharge schemes	0	(11,837)	(11,837)
Savings in June Mitigation Strategy				
Fundamental Base Budget Review	Budget rebase including LGR disaggregated amounts, care costs and reduced activity due to Covid-19 such as mileage and training.	(1,300)	(1,300)	0
Employee Costs - Care	Savings relating to vacant posts.	(1,000)	(1,000)	0
Long Term Conditions	Reduction in placement numbers as measures are put in place to provide alternative provision in a client's own home.	(500)	(500)	0
Long Term Conditions	Implementation of a strengths based approach to assessment and enhanced review programme of support being provided to residents receiving home care, ensuring that care packages meet eligible needs under the Care Act 2014.	(300)	(300)	0

Long Term Conditions	Implementation of a strengths based approach to assessment and enhanced programme of review of support being provided to residents who use direct payments, ensuring that care packages meet eligible needs under the Care Act 2014.	(200)	(200)	0
Learning Disability and Mental Health	Package of measures including targeted reviews, achieving best value from s117 and reviewing the need to maintain case contingencies for cases in Continuing Health Care or Ordinary Residence disputes.	(500)	(500)	0
Tricuro Savings	Efficiency savings in relation to care services provided by Tricuro.	(200)	(200)	0
Employee Costs - Commissioning & Improvement	Savings relating to service restructure.	(110)	(110)	0
Day Opportunity Initiatives	Consistent application of eligibility criteria across the BCP Council area.	(60)	(60)	0
Other Pressures and Savings				
Employees	Saving from vacancies	0	(63)	(63)
Care Packages	Demand for care from all client groups	0	1,618	1,618
Client Contributions	additional client contributions including deferrred payments from all client groups	0	(1,751)	(1,751)
Miscellaneous	Other smaller pressures and savings	0	196	196
Total Adult Social Care & Public Health		3,759	2,202	(1,557)

Children's Services

Budget	Explanation	June Variance 2020/21 £000s	August Variance 2020/21 £000s	Change £000s
Covid Pressures				
Social Care	Additional places	944	4,020	3,076
Employees	Staffing restructures	229	229	0
Support to Schools	Support in the recovery period	250	250	0
Social Care	Early help contact/ S17/ and loss of income	330	660	330
Savings in June Mitigation Strategy				
Employee Costs	Savings relating to service restructure.	(237)	(237)	0
Supplies & Services - Miscellaneous	Budgets temporarily underspent due to Covid-19 and budgets that can be permanently reduced.	(200)	(200)	0
Commissioning Framework	Review of commissioning framework and service level agreements.	(165)	(165)	0
Partnership Reserve	One-off return of built up partnership reserve - requires board agreement.	(100)	(100)	0
Other Items Below £100k.	Various budget reductions.	(55)	(55)	0
Other Pressures and Savings				
Employee Costs	Pressures continuing from last year in the Front Door and Business Support and new pressure in SEN Team, Operation Thunderstorm and Systems Team	0	1,139	1,139
Total Children's Services		996	5,541	4,545

Environment & Community

Budget	Explanation	June Variance 2020/21 £000s	August Variance 2020/21 £000s	Change £000s
Covid Pressures				
Waste Services	Income-generating services: closure of HWRC, loss of trade waste income	442	590	148
Highways Maintenance	Reduced inspections, potentially increased insurance claims, loss of income-generating work	504	12	(492)
Bereavement Services	Establishment of excess death facility and additional service activity, implementation of social distance measures	556	773	217
Catering & Concessions	Income loss due to closures	562	225	(337)
Housing	Temporary accommodation costs, telecare, additional communal cleaning costs	2,164	1,200	(964)
Communities	Licensing/Markets loss of income	237	384	147
Parks and Open Spaces	Kings Park Nursery, Catering, Golf, Hengistbury Head Visitor Centre & Land Train	896	852	(44)
Savings in June Mitigation Strategy				
Communities:				
Supplies & Services - Miscellaneous	Review of budgets that will be temporarily underspent due to Covid-19.	(150)	(150)	0
Employee Costs - Regulatory	Savings relating to service restructure.	(121)	(121)	0
Employee Costs - Communities	Savings relating to vacant posts.	(69)	(69)	0
Other Items Below £100k.	Various budget reductions.	(143)	(143)	0
Environment:				
2020/21 priorities	Removal or reduction of priorities relating to climate change, street cleansing, unauthorised encampments and highways maintenance.	(582)	(582)	0
Employee Costs	Savings relating to vacant posts.	(384)	(384)	0
Poole Crematorium	Continue with current service provision.	(103)	(103)	0

Waste & Cleansing Collection Rounds	Efficiencies relating to collection round re-balancing for two rounds.	(77)	(77)	0
Supplies & Services - Miscellaneous	Review of budgets that will be temporarily underspent due to Covid-19.	(69)	(69)	0
Other Items Below £100k.	Various budget reductions plus increased income relating to cess pit emptying and replacement bins.	(145)	(145)	0
Housing:				
Supplies & Services - Miscellaneous	Review of budgets that will be temporarily underspent due to Covid-19.	(406)	(406)	(0)
Solar Panel Income	Rebalancing solar panel budget for HRA stock to reflect current activity.	(300)	(300)	0
Bad Debt Provision	Temporary suspension of contribution to rent deposit bad debt provision.	(150)	(150)	0
Employee Costs - Housing	Savings relating to vacant posts.	(138)	(138)	0
Employee Costs	Largely temporary changes to establishment budget and reduction to back fill.	(109)	(109)	0
Other Items Below £100k.	Various budget reductions.	(52)	(52)	0
Other Pressures and Savings				
Disaggregated Recharges	Rebase income budget inline 2019/20 outturn	0	246	246
Other Items Below £100k.		0	(80)	(80)
Total Environment & Community		2,363	1,204	(1,159)

Regeneration & Economy

Budget	Explanation	June Variance 2020/21 £000s	August Variance 2020/21 £000s	Change £000s
Covid Pressures				
Car Parking	Parking charges, PCN income	11,716	9,716	(2,000)
Seafront and Tourism	Short term beach hut lets, concession income	5,341	4,163	(1,178)
Culture and Heritage	Highcliffe Castle, Arts & Museums, Libraries, Archives, Russell Cotes	703	787	84
Leisure Centres	BH Live, Two Riversmeet	1,446	4,168	2,722
Growth and Infrastructure	Fewer hours able to be recharged to capital schemes	1,479	1,479	0
Upton Country Park	All park activities	199	136	(63)
Transportation	Free use of Beryl bikes by NHS staff and key workers	30	30	0
Resort Management	Costs incurred to ensure a safe and compliant resort following the easing of lockdown	0	1,253	1,253
Planning	Covid-19 impact on fees	0	577	577
Building control	Covid-19 impact on fees	0	585	585
Savings in June Mitigation Strategy				
Destination & Culture:				
Supplies & Services - Miscellaneous	Review of budgets that will be temporarily underspent due to Covid-19.	(1,320)	(1,320)	0
Air Festival	Net savings from cancellation of the air festival.	(232)	(232)	0
2020/21 Budget Priorities	Removal of budget priority relating to Culture.	(150)	(150)	0
Employee Costs	Savings relating to vacant posts.	(113)	(113)	0
Temporary Funfair	Major temporary funfair at Pier Approach, Lower Gardens and Poole Quay	(100)	(100)	0
Other Items Below £100k.	Various budget reductions.	(61)	(61)	0
Development:				
2020/21 Budget Priorities	Removal of budget priority relating to Regeneration.	(326)	(326)	0

Employee Costs	Savings relating to vacant posts.	(184)	(184)	0
Supplies & Services - Miscellaneous	Review of budgets that will be temporarily underspent due to Covid-19.	(106)	(106)	0
Growth & Infrastructure:				
Supplies & Services - Miscellaneous	Review of budgets that will be temporarily underspent due to Covid-19.	(688)	(688)	0
Employee Costs	Savings relating to vacant posts.	(510)	(510)	0
Other Items Below £100k.	Various budget reductions.	(40)	(40)	0
Planning	Salaries and non pay savings	0	(184)	(184)
Building control	Salaries and non pay savings	0	(78)	(78)
Other Pressures and savings				
Car parking	Richmond Gardens car park repair of sink hole	0	71	71
Transport Network	Traffic lights and signalling contract pressures	0	92	92
Total Regeneration & Economy		17,084	18,965	1,881

Resources

Budget	Explanation	June Variance 2020/21 £000s	August Variance 2020/21 £000s	Change £000s
Covid Pressures				
Land Charges	Lost of income due to reduced activity	435	200	(235)
Registrars	Reduced weddings, increased death certificates	616	616	0
Housing Benefits	Housing Benefit Subsidy	50	50	0
Emergency Planning	Standby payments	20	0	(20)
ICT Services	Budget WAN saving undeliverable as unable to be on site	190	184	(6)
PPE Purchases	Estimate for items not within services	651	600	(51)
Tax Collection	Reduction in court summons income from Council Tax and NNDR	279	1,116	837
Customer Services	Overtime and equipment	0	61	61
Law & Governance	Legal Fees	0	45	45
Other Pressures	Miscellaneous other (< £100k overall)	0	94	94
Savings in June Mitigation Strategy				
Supplies & Services - Miscellaneous	Review of budgets that will be temporarily underspent due to Covid-19 and budgets that can be permanently reduced.	(509)	(514)	(5)
Employee Costs	Savings relating to vacant posts.	(250)	(250)	0
Insurance	Temporary reduction in contribution to insurance provision.	(200)	(200)	0
Election Reserve	Temporary removal of election reserve contribution.	(170)	(170)	0
Housing Benefits	Removal of unused budget for the harmonisation of local council tax support scheme.	(146)	(146)	0
Other Pressures and savings				
Resources	Salary cost pressures (including Customer Services £102k and Director of Children's Services £96)	0	162	162
Resources	Other cost pressures (including loss of Academy income £96k, bank charges £58k)	0	326	326
Total Resources		966	2,174	1,208

Corporate Items

Budget	Explanation	June Variance 2020/21 £000s	August Variance 2020/21 £000s	Change £000s
Covid Pressures				
Investment Property	Rent reductions / company administrations	2,143	2,104	(39)
Council Tax	5% on annual yield for duration of scenario	5,009	5,009	0
Council Tax	Increased bad debt provision	3,271	3,271	0
Business Rates	Loss of excess income to safety net	3,661	3,661	0
Savings in June Mitigation Strategy				
Furloughed Staff	Estimated claim to October	(317)	(804)	(487)
Pension Costs	Saving in pension contribution to reflect actual costs.	(30)	(30)	0
Other Pressures and savings				
Interest Payable	Reduction in interest rates allowing cheaper temporary borrowing	0	(185)	(185)
Investment Income	Reduction in interest rates means less investment returns	0	73	73
One off small items	Various income items	0	(65)	(65)
Total Corporate Items		13,737	13,034	(703)

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BCP Council - General Fund Summary 31 August 2020

Directorate	Revenue	Working Budget	Covid 19 Pressures	Covid 19 Mitigation	Other Q1 Pressures	Forecast Outturn	Forecast Variance
Adult Social Care	Expenditure Total	192,556	23,710	(4,170)	1,700	213,796	21,240
	Income Total	(80,997)	(17,337)	0	(1,700)	(100,034)	(19,037)
Adult Social Care Total		111,559	6,373	(4,170)	0	113,762	2,203
Children's Services (excl DSG)	Expenditure Total	75,173	4,499	(657)	1,774	80,789	5,616
	Income Total	(13,581)	660	(100)	(635)	(13,656)	(75)
Children's Services Total		61,592	5,159	(757)	1,139	67,133	5,541
Environment & Community	Expenditure Total	89,124	1,910	(2,562)	462	88,934	(190)
	Income Total	(37,602)	2,126	(436)	(296)	(36,208)	1,394
Environment & Community Total		51,522	4,036	(2,998)	166	52,726	1,204
Regeneration & Economy	Expenditure Total	63,775	4,783	(4,520)	163	64,201	426
	Income Total	(56,805)	18,111	428	0	(38,266)	18,539
Regeneration & Economy Total		6,970	22,894	(4,092)	163	25,935	18,965
Resources (inc PPE costs)	Expenditure Total	146,317	1,034	(1,280)	487	146,558	241
	Income Total	(113,768)	1,932	0	0	(111,836)	1,932
Resources Total		32,548	2,966	(1,280)	487	34,722	2,174

Total Net Cost of Service		264,192	41,428	(13,297)	1,955	294,278	30,087
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Corporate Items

Furlough Savings		0	0	(804)	0	(804)	(804)
Provision for repayment (MRP)		10,615	0	0	0	10,615	0
Pensions		5,612	0	(30)	0	5,582	(30)
Revenue contribution to capital - general		2,839	(2,480)	0	0	359	(2,480)
Revenue contribution to transformation		0	2,480	0	0	2,480	2,480
Interest on borrowings		1,799	0	0	(185)	1,614	(185)
High Needs Reserve Contribution		1,230	(1,230)	0	0	0	(1,230)
Revenue contribution to transformation		0	1,230	0	0	1,230	1,230
Contingency		1,143	0	(1,143)	0	(1)	(1,143)
Parish, Town, Neighbourhood Councils & Charter Trustees		969	0	0	0	969	0
Contingency for pay award		960	0	0	0	960	0
Movement to and (from) reserves		734	0	0	0	734	0
One off small items		0	0	0	(65)	(65)	(65)
Levies (Environment Agency / Fisheries)		597	0	0	0	597	0
Apprentice Levy		565	0	0	0	565	0
Revenue expenditure on surplus assets		61	0	0	0	61	0
Corporate Items	Expenditure Total	27,124	0	(1,977)	(250)	24,897	(2,227)

Corporate Items

Investment property income		(6,552)	2,104	0	0	(4,448)	2,104
Income from HRA		(949)	0	0	0	(949)	0
Other Grant Income		(351)	0	0	0	(351)	0
Interest on cash investments		(185)	0	0	73	(112)	73
Dividend Income		(100)	0	0	0	(100)	0
Corporate Items	Income Total	(8,137)	2,104	0	73	(5,960)	2,177

Net Budget Requirement		283,178	43,532	(15,274)	1,778	313,215	30,037
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Funding

Covid19 Grant - Tranche 1		0	(11,102)	0	0	(11,102)	(11,102)
Covid19 Grant - Tranche 2		0	(10,905)	0	0	(10,905)	(10,905)
Covid19 Grant - Tranche 3		0	(3,153)	0	0	(3,153)	(3,153)
Covid 19 Grant - Sales, Fees and Charges Compensation		0	(12,100)	0	0	(12,100)	(12,100)
Council Tax Income		(217,075)	8,280	0	0	(208,795)	8,280
Net Income from Business Rates		(58,102)	3,661	0	0	(54,441)	3,661
Revenue support grant		(3,005)	0	0	0	(3,005)	0
New Homes Bonus Grant		(2,647)	0	0	0	(2,647)	0
Collection Fund Surplus Distribution		(1,380)	0	0	0	(1,380)	0
Parish/Town/Neigh Coun & Charter Trustees		(969)	0	0	0	(969)	0

Total Funding		(283,178)	(25,319)	0	0	(308,497)	(25,319)
Net Position		0	18,213	(15,274)	1,778	4,718	4,718

Potential Project Savings		0	0	0	0	(2,770)	(2,770)
Potential use of Financial Resilience Reserve		0	0	0	0	(1,948)	(1,948)
Net Position after potential use of reserves		0	18,213	(15,274)	1,778	(0)	0

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Appendix B - BCP Council - Earmarked Reserves

Detail	31/03/20 Actual Balances	Covid Resilience	Transformation	Estimated Movements	31/03/21 Estimated Balances
	£000's	£000's	£000's	£000's	£000's
(A) - Financial Resilience Reserves	(13,318)	(6,282)	10,331	(1,751)	(11,020)
(B) - Transition and Transformation Reserves	(3,454)	0	718	2,736	0
(C) - Asset Investment Strategy Rent, Renewals and Repairs	(2,491)	0	0	0	(2,491)
(D) - Insurance Reserve	(3,500)	0	0	0	(3,500)
(E) - Held in Partnership for External Organisations	(3,071)	0	0	712	(2,359)
(F) - Required by Statute or Legislation	(3,013)	2,591	0	0	(422)
(G) - Planning Related	(1,396)	461	0	210	(725)
(H) - Government Grants	(18,190)	0	0	14,012	(4,178)
(I) - Maintenance	(1,601)	224	0	0	(1,377)
(J) - ICT Development & Improvement	(1,203)	380	0	749	(74)
(K) - Corporate Priorities & Improvements	(2,529)	1,228	0	122	(1,179)
GF Earmarked Reserve Balance - 31 March 2020	(53,766)	(1,398)	11,049	16,790	(27,325)

(A) - Financial Resilience Reserves

	31/03/20 Estimated £000's	Covid Resilience £000's	Transformation £000's	Movement £000's	31/03/21 Estimated £000's
Designed to provide the Council with the ability to manage any emerging issues recognising the 2020/21 Budget has been formed based on the experience of operating the new BCP for nine months. The Financial Liability Reserve has been established to mitigate the deficits on the Dedicated Schools Grant Budget (principally the High Needs Budget deficit) which have to be held against Unearmarked Reserves					
Financial Liability Reserve	(5,500)	0	10,331	(4,831)	0
Financial Planning Reserve	(892)	0	0	892	0
Financial Resilience Reserves	(6,675)	1,688	0	4,987	0
Other Financial Resilience Reserves	(251)	0	0	251	0
Covid-19 Financial Resilience Reserve	0	(7,970)	0	(3,050)	(11,020)
Financial Resilience Reserves	(13,318)	(6,282)	10,331	(1,751)	(11,020)

(B) - Transition and Transformation Reserves

	31/03/20 Estimated £000's	Covid Resilience £000's	Transformation £000's	Movement £000's	31/03/21 Estimated £000's
Purpose: Resources set aside to support the one-off change costs of creating the new council including the phase three transformation programme. Includes the council's contribution to support the deficit on the Dedicated Schools Grant (DSG) high needs budget which is a one-off contribution for 2019/20 only.					
Transitional and Transformation Costs	(1,181)	0	0	1,181	0
BCP Programme Resources - Costs originally profiled for 2019/20	(909)	0	718	191	0
BCP Programme Resources - Pay and Reward Strategy	(1,364)	0	0	1,364	0
Transition and Transformation Reserves	(3,454)	0	718	2,736	0

(C) - Asset Investment Strategy Rent, Renewals and Repairs

	31/03/20 Estimated £000's	Covid Resilience £000's	Transformation £000's	Movement £000's	31/03/21 Estimated £000's
Purpose: Resources set a side as part of the process of managing annual fluctuations in the rent, landlord repairs and costs associated with the councils commercial property acquisitions as set out in the Non Treasury Asset Investment Strategy.					
Asset Investment Strategy Rent, Renewals and Repairs	(2,491)	0	0	0	(2,491)

(D) - Insurance Reserve

	31/03/20 Estimated £000's	Covid Resilience £000's	Transformation £000's	Movement £000's	31/03/21 Estimated £000's
Purpose: Reserve to enable the annual fluctuations in the amounts of excesses payable to be funded without creating an in-year pressures on the services. Subject to ongoing review by an independent third party.					
Insurance Reserve	(3,500)	0	0	0	(3,500)

(E) - Held in Partnership for External Organisations

	31/03/20 Estimated £000's	Covid Resilience £000's	Transformation £000's	Movement £000's	31/03/21 Estimated £000's
Purpose: Amounts held in trust on behalf of partners or external third party organisations.					
- Dorset Waste Partnership	(202)	0	0	0	(202)
- Dorset Adult Learning Service	(387)	0	0	(33)	(420)
- Stour Valley and Poole Partnership	(781)	0	0	197	(584)
- CCG Emotional Wellbeing and Mental Health	(655)	0	0	250	(405)
- Local Economic Partnership	(1)	0	0	0	(1)
- Flippers Nursery	(89)	0	0	0	(89)
- Adult Safeguarding Board	(42)	0	0	0	(42)
- Dorset Youth Offending Service Partnership	(367)	0	0	200	(167)
- Music and Arts Education Partnership	(358)	0	0	0	(358)
- Bournemouth 2026	(98)	0	0	98	0
- Bournemouth 2026 - West Howe Bid	(45)	0	0	0	(45)
- Charter Trustees	(46)	0	0	0	(46)
Held in Partnership for External Organisations	(3,071)	0	0	712	(2,359)

(F) - Required by Statute or Legislation

	31/03/20 Estimated £000's	Covid Resilience £000's	Transformation £000's	Movement £000's	31/03/21 Estimated £000's
Purpose: Amounts which the council is required to hold as a reserve in line with current accounting practice or legislative requirements.					
Building Regulation Account	(128)	0	0	0	(128)
Bournemouth Library Private Finance Initiative (PFI)	(393)	0	0	0	(393)
Carbon Trust	99	0	0	0	99
Business Rates Levy payments annual variation reserve	(2,591)	2,591	0	0	0
Business Rates 19/20 Settlement Grant - paid 18/19 - Surplus national levy/safely net account	0	0	0	0	0
Required by Statute or Legislation	(3,013)	2,591	0	0	(422)

(G) - Planning Related

	31/03/20 Estimated £000's	Covid Resilience £000's	Transformation £000's	Movement £000's	31/03/21 Estimated £000's
Purpose: Reserves designed to support planning processes and associated planning activity where expenditure is not incurred on an even annual basis.					
Local Development Plan Reserve	(644)	0	0	81	(563)
Planning Hearing and Enforcement Reserve	(123)	0	0	0	(123)
Other Planning Related Reserves	(629)	461	0	129	(39)
Planning Related	(1,396)	461	0	210	(725)

(H) - Government Grants

	31/03/20 Estimated £000's	Covid Resilience £000's	Transformation £000's	Movement £000's	31/03/21 Estimated £000's
Purpose: Amounts which the council is required to hold as a reserve in line with specific grant conditions.					
Total Unspent Grants	(18,190)	0	0	14,012	(4,178)

(I) - Maintenance

	31/03/20 Estimated £000's	Covid Resilience £000's	Transformation £000's	Movement £000's	31/03/21 Estimated £000's
Purpose: Reserves and sinking funds designed to support maintenance investments in specific services or assets.					
Corporate Maintenance Fund	(400)	149	0	0	(251)
Other Maintenance Related Reserves	(1,201)	75	0	0	(1,126)
Maintenance	(1,601)	224	0	0	(1,377)

(J) - ICT Development & Improvement

	31/03/20 Estimated £000's	Covid Resilience £000's	Transformation £000's	Movement £000's	31/03/21 Estimated £000's
Purpose: Resources set aside to meet various ICT improvement projects					
ICT Development & Improvement	(1,203)	380	0	749	(74)

(K) -Corporate Priorities & Improvements

	31/03/20 Estimated £000's	Covid Resilience £000's	Transformation £000's	Movement £000's	31/03/21 Estimated £000's
Purpose: Amounts set a side to deliver various priorities, some of which will be of a historical natured inherited from the predecessor authorities.					
Welfare Reform Reserve / Hardship Fund	(121)	0	0	121	0
Capital Feasibility and Small Works Fund	(342)	0	0	0	(342)
Local Elections Reserve	(187)	0	0	0	(187)
Other Corporate Priorities & Improvements	(1,879)	1,228	0	1	(650)
Corporate Priorities & Improvements	(2,529)	1,228	0	122	(1,179)

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HRA Bournemouth Neighbourhood - Revenue Account 2020/21

	June	Approved	Forecast	Forecast
	Actuals	Budget	Outturn	Variance
	£000s	£000s	£000s	£000s
Income				
Dwelling Rents	(5,746)	(22,439)	(22,439)	0
Non-Dwelling Rents	(31)	(147)	(125)	22
Charges for Services and Facilities	(55)	(1,602)	(1,551)	51
Contributions towards expenditure	0	(190)	(19)	171
Total Income	(5,832)	(24,378)	(24,134)	244
Expenditure				
Repairs and Maintenance	419	5,389	5,361	(28)
Supervision and Management	887	8,764	8,484	(280)
Rent, rates, taxes and other charges	96	222	220	(2)
Bad or Doubtful debts	0	188	188	0
Capital financing costs (debt management)	0	75	75	0
Depreciation	0	7,253	7,253	0
Interest & Similar Charges	160	2,517	2,517	0
Interest & Investment Income	0	(30)	(30)	0
Total Expenditure	1,562	24,378	24,068	(310)
(Surplus) / Deficit	(4,270)	0	(66)	(66)

HRA Bournemouth Neighbourhood - Capital Programme 2020/21

	June	Approved	Forecast	Forecast
	Actuals	Budget	Outturn	Variance
	£000s	£000s	£000s	£000s
Basic Planned Maintenance				
External Doors	1	300	300	0
Heating & Hot Water Systems	(65)	670	670	0
Windows	535	1,180	1,180	0
Bedroom Extensions	0	200	200	0
Building External – All schemes	88	700	700	0
Fire Risk Remedial works	0	600	600	0
Electrical Works	1	130	130	0
Kitchen Replacement Programme	51	850	770	(80)
Roofing	47	350	350	0
Bathrooms	38	950	870	(80)
Disabled Adaptations	11	700	640	(60)
Various programmes under £100,000	79	626	626	0
Contingency	0	350	290	(60)
Capitalised Salaries	0	331	331	0
Major Projects				0
Northbourne Day Centre	0	962	751	(211)
Templeman House	13	1,700	1,428	(272)
Barrow Drive	0	454	345	(109)
Princess Road	(21)	1,400	101	(1,299)
Ibbertson Way	1	662	480	(182)
Luckham Rd/Charminster Rd	0	1,706	726	(980)
Cabbage Patch	1	1,700	701	(999)
Moorside Road	0	1,950	72	(1,878)
New Build & Acquisition TBC	(75)	1,147	1,479	332
Total Capital Programme	705	19,618	13,740	(5,878)

HRA Poole Neighbourhood - Revenue Account 2020/21

	June	Approved	Forecast	Forecast
	Actuals	Budget	Outturn	Variance
	£000s	£000s	£000s	£000s
Income				
Dwelling Rents	(5,021)	(20,070)	(20,059)	11
Non-Dwelling Rents	(5)	(41)	(32)	9
Charges for Services and Facilities	(284)	(1,553)	(1,572)	(19)
Contributions towards expenditure	0	(54)	(54)	0
Total Income	(5,310)	(21,718)	(21,717)	1
Expenditure				
Repairs and Maintenance	1,251	5,368	5,366	(2)
Supervision and Management	586	4,366	4,348	(18)
Rent, rates, taxes and other charges	8	160	160	0
Bad or Doubtful debts	0	197	197	0
Capital financing costs (debt management)	0	105	105	0
Depreciation Charge	0	4,861	4,861	0
Capital Charges (net)	(98)	3,013	3,013	0
Contribution to transformation	0	1,000	1,000	0
Contribution to HRA reserve	0	162	162	0
Contribution new builds	0	2,486	2,505	19
Total Expenditure	1,747	21,718	21,717	(1)
(Surplus) / Deficit	(3,563)	0	0	0

HRA Poole Neighbourhood - Capital Programme 2020/21

	June	Approved	Forecast	Forecast
	Actuals	Budget	Outturn	Variance
	£000s	£000s	£000s	£000s
Basic Planned Maintenance				
External Doors	(12)	150	125	(25)
Boiler Replacement Programme	68	1,389	1,196	(193)
Windows	(2)	628	523	(105)
Building External – All schemes	(0)	290	200	(90)
Fire Risk Remedial works	20	841	841	0
Electrical Works	(26)	450	450	0
Kitchen Replacement Programme	(23)	675	563	(113)
Building Envelope (Seddons)	(0)	312	260	(52)
Roofing	31	380	380	0
Bathrooms	(7)	250	208	(42)
Various programmes under £100,000	(27)	693	633	(60)
Capitalised PHP Salaries	133	524	524	0
Other Planned Maintenance	0	0	0	0
Voids Maintenance	0	50	50	0
Sustainability	(23)	100	100	0
Contingency	0	250	100	(150)
Sales Admin	0	26	26	0
DA - Stairlifts	0	10	10	0
Disabled Adaptations	31	350	290	(60)
New Computer System	60	250	250	0
Major Projects	0	0	0	0
Cladding	(185)	450	450	0
New Build - Infill Projects	1	1,100	5	(1,095)
New Build - Montacute	(294)	151	0	(151)
Old Town Tower Block Works	224	7,350	4,250	(3,100)
Herbert Avenue Modular	(13)	2,347	1,175	(1,172)
Small Projects/Acquisitions	312	1,000	1,000	0
Sheltered Sites Works	6	0	0	0
Cynthia House	(39)	577	175	(402)
Sprinkler Installations	0	754	400	(354)
Hillborne School Development	(10)	285	5	(280)
Total Capital Programme	221	21,633	14,190	(7,443)

Key Financial Reports - 2020/21 Budget Monitoring & 2021/22 Budget Timeline

Date	Event	Report Title / Action	Detail
27 May 2020	Cabinet	BCP Council Financial Update	To contextualise the impact of the covid19 public health emergency on the council's financial position and develop the budget mitigation strategy.
24 June 2020	Cabinet	Covid19 - 2020/21 Budget Monitoring Report	Progress on the budget mitigation strategy.
29 July 2020	Cabinet	2019/20 Financial Outturn Report	Summary report covering the financial outturn for the first year of operation of BCP Council.
31 August 2020		Corporate Directors & Service Directors	Deadline to produce MTFP baseline financial assessments following review process to support the fundamental refresh of the MTFP
11 November 2020	Cabinet	2020/21 Budget Monitoring & MTFP Update	Includes; <ul style="list-style-type: none"> • in-year budget monitoring report • impact of the Chancellors July emergency budget • fundamental refresh of the MTFP • progress on setting a balanced budget for 2021/22

Date	Event	Report Title / Action	Detail
26 November 2020	Audit & Governance	2019/20 Statement of Accounts	Report presents the 2019/20 statement of accounts for BCP Council including the Annual Governance Statement;
16 December 2020	Cabinet	2020/21 Budget Monitoring & MTFP Update	Includes; <ul style="list-style-type: none"> • Quarter 2 in-year budget monitoring • impact of Autumn Spending Round • progress on setting a balanced budget for 2021/22 • details of a fundamental review of earmarked & unearmarked reserves
13 January 2021	Cabinet	Taxbase Report	2021/22 Council Tax Taxbase
21 January 2021	Audit & Governance	Treasury Management Strategy 2021/22	Seeks approval for 2021/22 Treasury management strategy
February 2021		Presentation to representatives from Commerce & Industry	Consultation on 2021/22 Budget & MTFP
10 February 2021	Cabinet	2020/21 Budget Monitoring	Quarter 3 in-year budget monitoring
10 February 2021	Cabinet	2021/22 Budget & MTFP Update Report	Includes; <ul style="list-style-type: none"> • 2021/22 Provisional Local Government Finance Settlement • 2021/22 Budget Proposal • 2021/22 Council Tax Resolution

Date	Event	Report Title / Action	Detail
23 February 2021	Council	2021/22 Budget & MTFP Update Report	Formal approval of the 2021/22 budget and council tax
March 2021	n/a	n/a	Publish 2021/22 Budget Book
June 2021	Cabinet	2020/21 Financial Outturn Report	Q4 budget monitoring report

Subject to determination

- Scrutiny arrangements of the both the 2020/21 budget monitoring reports and the 2021/22 MTFP/Budget reports
- Dates of the precept meetings for the Town, Parish and Neighbourhood Councils in Christchurch and the Chartered Trustees in both Bournemouth & Poole

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Appendix D2 - BCP Council MTFP 2021/22 Assumptions

	2020/21	2021/22	2022/23	2023/24	Comments
Council Tax Increase					
Bournemouth	3.84%	0.76%	2.99%	2.99%	
Christchurch	-3.55%	0.00%	2.99%	2.99%	
Poole	3.99%	2.99%	2.99%	2.99%	
Increase in Council Tax due to Strategy £'000s	0	-3,364	-6,591	-6,822	
Increase in Council Tax due to Tax Base Growth £'000s	0	-1,102	-1,135	-1,174	
Covid Impact £'000s	0	8,500	0	0	Built into base
Covid Impact on Tax Base	0	1,102	0	0	
Covid loss loss in income collection	0	7,398	0	0	
Council Tax Base Growth					
Bournemouth	-0.45%	0.00%	0.50%	0.50%	
Christchurch	0.41%	0.00%	0.50%	0.50%	
Poole	1.80%	0.00%	0.50%	0.50%	
Business Rate Growth	0	-1,078	0	0	
Covid Impact £'000s	0	3,700	0	0	Built into base
Covid 19 Business Rates Impact	0	3,700	0	0	
Growth	0	0	0	0	
Pay Award	2.75%	0.00%	0.00%	0.00%	
General Inflation	0%	0%	0%	0%	
Increase in Fees & Charges	0%	0%	0%	0%	
Employer Pension Contribution	16.2%	16.8%	17.4%	18.0%	
Pension Back funding £000's	5,887	6,101	6,342	6,547	
Contingency - % of previous year budget requirement	0.4%	0.5%	0.5%	0.5%	

Service Based Assumptions

	2020/21	2021/22	2022/23	2023/24	Comments
Adult Social Care					
National Living Wage	6.21%	5.00%	5.00%	5.00%	Homecare - 70% NLW 30% CPI, Residential - 65% NLW, 35% CPI
Infection Control - Building Based (care homes / daycentres)	N/A	0.00%	0.00%	0.00%	Assumption is government will fund infection control for the medium term
Infection Control - Other Community Services	N/A	0.00%	0.00%	0.00%	
Long Term Conditions		1.90%	1.90%	1.90%	1.9% demographic of LTC budget to reflect high increase of >80s
Inflation - CPI	1.90%	2.00%	2.00%	2.00%	
Children's Services					
Care Placements		2,250	2,475	2,723	
Standard External CiC Placements		1,650	1,875	2,123	Predicted Residential, Independent Foster Agency & Supported Living based on current costs/placements
Secure and Remand Beds		600	600	600	Estimated based on current costs/placements
Regeneration & Economy					
Concessionary fares		3.00%	3.00%	3.00%	
Car Parking Pressure £'000s		10,755	0	0	Gross income pressure reduced due to reduced direct costs (eg pay by phone) and overall judgement
Seafront		0	0	0	
Town Centre		8,079	0	0	
Other - residential districts, parks		2,676	0	0	

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BCP Medium Term Financial Plan

Key Financial Planning Assumptions

The MTFP as presented is based on several key assumptions that although they have been informed by numerous factors such as government announcements, economic forecasts, and trend analysis, are also based on professional judgement. They can be listed as follows;

Additional Investment into Services gross of savings (include pay, pensions, price and excluding savings)

a) Investment in adult social care - £8.8 million 2021/22

The MTFP makes provision for an additional net £19.5 million investment in adult social care services over the 3-year period to March 2024. This pressure is a combination of;

- 1) Assumptions around inflationary pressures within the care market. These pressures mainly relate to increases for providers in staffing costs where a significant driver will be the consequential impact of increases in the national living wage.
- 2) Demographic growth within the Learning Disability and Mental Health client group.
- 3) Demographic growth in demand for care packages for people with long-term conditions including those to support the NHS urgent and emergency care system as well as preventing delayed discharges from hospital.
- 4) Increased cost in respect of people with no recourse to public funds.

On the 31 December 2019 the Government published their response to the Low Pay Commission's recommendation on the national minimum (NMW) and national living (NLW) wages which promised that the NMW for over 25 will reach £10.50 in 2024. The NLW increased from £8.21 to £8.72 in April 2020 (6.2%). The NMW remains a key cost driver for the cost of care services has been factored into the cost pressures increasing 5% per year reaching £10.50 by April 2024.

The MTFP assumes that the government will continue to provide Infection Control grant for the care sector to support restrictions of staff movement between care providers, paying full wages for staff isolating and funding the cost of PPE for Covid-19 on an ongoing basis. The assumption therefore is that the Council do not need to provide for and fund such costs.

It should also be noted that a Mental Capacity (Amendment) Bill has replaced the Deprivation of Liberty Safeguards (DoLS) with a scheme known as the Liberty Protection Safeguards (LPS) with the target date for implementation of October 2020 has been postponed. These arrangements describe the procedures when it is necessary to deprive a resident in a range of settings of their liberty as they lack capacity to consent to their care to keep them safe. The council will commit spending on this activity up to any amount funded by the Government.

It had been anticipated that the green paper on social care funding would provide a sustainable funding source for adult social care moving forward. The spending round in 2019 SR19 and the subsequent Queen's Speech set out that the government intend to provide the detail of these fundamental reforms in due course.

b) Investment in children's services (including social care) - £5.5 million 2021/22

The MTFP makes provision for an additional net £11.5 million investment in children social care services over the 3-year period to March 2024. The most significant and notable of these can be listed as;

- 1) an increase in the cost of children in care:
 - the overall number of children in care has remained steady for the early months of the financial year but we are now seeing an increase in the numbers entering care, and the new children coming into care are often more expensive than the children leaving care for instance after turning 18.
 - in addition to the cost of new placements is the increased cost arising due to the complexity of some existing and new cases.
 - new cases and subsequent placement costs relating to 16+ cohort around complex safeguarding.
 - there is a significant package of cost within the CHAD team (Children with Health & Disability). This has recently been agreed to receive a health contribution and the process is underway in health with a lead nurse engaging with the family and with existing support/professionals to determine the package of care required. It is only once the required package of care is determined that we will know which health elements cannot be provided through universal services and require funding from health. Last financial year we also had a significant high cost package of care, so we are beginning to see a pattern of highly complex needs cases which require support from health.
- 2) rebase of the budget for the front door and assessment social work team's establishment to recognise the increase in workload.
- 3) additional investment needed for S17 payments. Under section 17 of the Children Act 1989, social services have a general duty to safeguard and promote the welfare of children in need in their area where children require extra help from professionals to achieve or maintain a reasonable standard of health and/or development. Investment into this area can delay or reduce the expenditure needed for instance on expensive residential packages.

c) Investment in Environment and Communities - £2.8 million 2021/22

The proposed budget for 2021/22 makes provision for £2.8 million additional investment into environment and communities.

Predominately this relates to the disposal of waste, both residual and recycling.

- 1) Recycling - Seven years ago, the predecessor councils would have been receiving income for the recycling material it collected. Two years ago, it would have cost approximately £35 per tonne to dispose of the same quality of material. Today the council is having to pay in the region of £60 per tonne. The market is proving to be volatile in an unprecedented way, partly related to the covid pandemic, and forecasting the cost of disposal for 2021/22 is difficult. The tonnages collected are also running at about 5% higher than the previous twelve months, the reason for this is thought to be the increased number of people working from home. The current estimate for the impact of the volatility of the cost and the increased tonnage is £0.6 million.
- 2) Waste - The residual waste contract is due for renewal in August 2021 for the Bournemouth and Christchurch areas. Currently the council pays £133 per tonne for disposal of residual waste in the Christchurch area, and £109 per tonne in the Bournemouth area. Both are expected to increase to about £135 per tonne. As with recycling waste, the tonnages collected are in the

region of 5% higher than the previous twelve months for the same reason. The expected increase in cost and tonnages will result in an additional cost of £0.4 million.

- 3) The above two pressures have been mitigated to some extent by the fact that the anticipated £0.6 million increase in costs assumed as part of the 2020/21 budget relating to the 32 euro per tonne tax on all waste imported to Holland (which has been converted to fuel) has not been passed onto the council.

In addition, there are several further pressures including;

- 4) A reduction in the income forecast to be generated from bereavement services in relation to cremations of £0.5million. In addition to the private crematorium that opened just outside the BCP conurbation with a private chapel within Christchurch, planning permission has been given for the building of a private crematorium in New Milton. A revised business case for the service will be presented to cabinet later in the year.
- 5) The purchase and maintenance of the council's fleet has been centralised. Individual services are no longer responsible, or hold the budget, for these fleet functions. A separate report on creating a sustainable fleet management strategy for the council is due to be reported to Cabinet and identifies a pressure from 2022/23 to repay the prudential borrowing used to purchase vehicles. The fleet requirement has been reviewed with each of the services to ensure that proposed purchases are essential to service provision. Without this investment council services could fail e.g. social services transport, waste collection, seafront maintenance etc. The reason for the pressure is mainly due to the use of one-off revenue funds/grants to purchase vehicles in a legacy council. Purchasing vehicles from such sources meant there was no built-in ability to purchase replacements when due.
- 6) BCP Council inspects its highway in accordance with the Well Managed Highways Infrastructure code of practice 2016 and insurance provider requirements. At the current time there are c.1000 outstanding defect repairs across BCP Council of which c.750 are overdue their allocated rectification date which presents a real legal, financial and reputational risk to the Council. The ongoing overall decline of the network means that defect demand is increasing and as such there is a pressure on revenue budgets. The estimated on-going annual impact on revenue budgets is £0.5 million. This pressure has been mitigated by the confirmed application of capital funding in 2020/21.
- 7) Port Health costs associated with the transition from the European Union which have been mitigated in part by grant income.

d) Investment in Regeneration and Economy - £18.2 million 2021/22

An amount of £18.2 million has been set-a-side as part of the budget for 2020/21 to support increasing cost pressures specifically associated with regeneration and economy.

The most significant theme is the potential ongoing impact of the pandemic. Significant reductions in income totalling £16.6m are forecast. The key areas affected are car parking (£9.9m), seafront trading operations (£3.4m), cultural, heritage and leisure assets (£2.1m) and property (£1.2m).

Further to this, a need to increase investment and support to help the local economy recover from Covid-19 has resulted in £0.8m of pressures.

The impact of inflation (including concessionary fares, PFI contracts, rates and utilities), pension and pay award increases has led to pressures of £1.3m.

Regeneration schemes being delivered via the Bournemouth Development Company (BDC) necessitate temporary closure of car parks during the construction phase this has resulted in pressures of £0.8 being included.

e) Government funding reductions (including New Homes Bonus)

BCP Council received £3 million in Revenue Support Grant (RSG) from the government in 2019/20. This grant can be used to finance revenue expenditure on any council service and is set out annually in the local government finance settlement. This £3 million is driven by the characteristics and activity of the Bournemouth area.

Across BCP it is estimated that this core grant funding is £103 million less in 2020/21 than the annual award it otherwise would have received in 2010/11.

As part the government's funding formulae some authorities are deemed to receive more income from council tax and business rates relative to other authorities. This perceived excess amount, known as negative revenue support grant, amounted to £3.1 million for Poole and Christchurch. The Governments stated intention was to remove these resources which would have meant BCP paying across £3.1 million of its council tax and business rates resources to be redistributed nationally. The government however have provided what they described as one-off resources in both 2019/20 and 2020/21 to avoid negative RSG impacting on the council.

On the basis that the potential impact of negative RSG has not been implemented in either of the last two years, the government's manifesto pledge not to allow a return to austerity cuts, and the expectation that current levels of government funding will be rolled forward into 2021/22 it is proposed not to assume that the council's funding will be reduced by £3.1 million. This assumption maybe vulnerable due to the government's previous commitment to a levelling up every part of the country and investing in every region.

The assumption of a roll forward of 2020/21 government grants into 2021/22 has also been applied to specific grants such as;

- Adults and Children's social care grant (£9.6 million 2020/21)
- Better Care Fund

There are two exception to this assumption. The first is in respect of the housing benefit administration grant which is being reduced year on year to reflect the movement of clients towards universal credit. The second is the new homes bonus (NHB) grant which was introduced in 2011 to incentivise local authorities to encourage housing growth in their area. BCP achieved NHB of £3.8 million in 2019/20 with the grant structured around receiving a grant for four years for each new home above a 0.4 per cent baseline, with the value based on the average national council tax level. Previously the indication was that 2019/20 would be the final year for any new NHB allocations as the government looked to explore how to incentivise housing growth as part of the next spending review.

The 2019 government spending round however set out the intention to make available funding to support an additional 2020/21 allocation for new homes delivered but that this would not result in any legacy payments being made in subsequent years. Therefore, the MTFP assumes the following profile of NHB payments which equates to a £0.9 million reduction in government funding when comparing 2021/22 with 2020/21.

Figure 1: Profile of New Homes Bonus payments

Year Payment	2019/20	2020/21	2021/22	2022/23
Bonus Year				
2016/17	£1,808,241			
2017/18	£251,901	£251,901		
2018/19	£881,673	£881,673	£881,673	
2019/20	£846,339	£846,339	£846,339	£846,339
2020/21		£667,924		
Total Payment	£3,788,154	£2,647,837	£1,728,012	£846,339

Alongside the reduction in NHB the council is also anticipating a £0.2 million reduction in the housing benefit administration grant it receives. This reflects the historical year on year reduction to reflect the move from housing benefit to universal credit.

f) Pay Award across all council services

Local government agreed pay awards for 2018/19, 2019/20 and 2020/21 were 2 per cent, 2 per cent and 2.75 per cent respectively.

The budget for 2020/21 assumed a 2% increase within the base budget of each service directorate with, as a corporate item, provision being made for a potential 0.75 per cent increase which reflected the strong wage inflation during the previous twelve months.

The MTFP makes provision for a 0% increase in 2021/22. This reduced overall provision reflects the biggest fall in wages since the three months to April 2009 amid lower pay for furloughed employees, reduced bonus in the wider economy and the likely impact of rising unemployment in a recessionary economy.

The base revenue budget contingency will need to consider the risk associated with this assumption and ensure appropriate provision should a national pay award be approved.

In addition, the budgetary provision is made for between 95 per cent and 98 per cent of each service's employee establishment to allow for the impact of turnover and other matters on the actual costs of the service. Services are expected to manage the impact of any incremental drift in their pay base.

The assumption continues to be made that the harmonised pay and grading structure of BCP Council will be cost neutral. It is currently anticipated that the new pay and grading structure will become effective from 1 October 2021.

g) Pension Fund – Revaluation impact

BCP Council is a member of the Dorset Local Government Pension Scheme administered by Dorset Council. The funds actuary Barnett Waddingham is required to revalue the fund every three years (tri-annual revaluation) to determine both the value of its assets and liabilities and the contributions rates for each employer in the fund. The fund was last revalued as at April 2019 with the impact as follows;

Figure 2: BCP Pension Fund – funding levels

Local Authority	31 March 2019 Funding level	31 March 2016 Funding level
Bournemouth Council		79%
Christchurch Council		88%
Dorset Council		80%
Poole		86%
BCP Council	92%	82%

As at 31 March 2019 BCP Council has a funding deficit of £86.6 million with a resulting funding level of 92 per cent. The improvement was a combination of the good asset performance of the fund with a slowdown in mortality improvement, negated to some extent by an assumption of higher future inflation and a lower discount rate compared to the 2016 valuation.

As part of the process agreement was reached with the pension fund actuary in respect of the profile of primary rate and back-funding contributions over the three-year period which are then fixed until the next tri-annual revaluation. This approach offers a degree of protection to the council in respect of the impact of the pandemic as any impact will not impact until the 2023/24 financial year. That said, it should also be recognised that recent changes in legislation state that the actuary can now request an employer changes their contribution rates/levels between formal valuation dates although this ability has not yet been used;

Figure 3: BCP Pension Fund contributions agreed with the Actuary

	2019/20	2020/21	2021/22	2022/23
Ongoing (primary) rate	15.6%	16.2%	16.8%	17.4%
Back-funding (secondary) rate	£9.428m	£5.887m	£6.101m	£6.324m

Generally, in respect of the 2019 revaluation, the increase on the ongoing rate was offset by the reduction in the back-funding element although it should be acknowledged that agreement was reached with the actuary to taper the ongoing rate increases over the three year period.

h) Inflationary costs

Inflation is only provided for in service directorate budgets where it can be demonstrated that it will be needed due to either market or contract conditions. Inflation as at August 2020 was 0.2 per cent as measured by the (CPI) Consumer Price Index (July 1 per cent).

i) 2021/22 Local Council Tax Support scheme (LCTSS)

Cabinet in December 2019 agreed there would be no change to the local council tax support scheme (LTCS) between 2019/20 and 2020/21.

As part of the government's response to Covid19 the Council was allocated £3.1 million to credit the council tax accounts of working age claimants with a recommended minimum £150 for this financial year. This will include the new LCTSS accounts resulting from the 14% increase in the cost associated with working age claimants between March and August 2020. There is no indication that the government will support a similar support mechanism in 2021/22.

Ongoing consideration is being given to potentially consulting during the spring/summer of 2021 on a revised scheme for 2022/23 onwards.

j) Assumed savings and efficiencies

Figure 4 below identifies that the current £13.4 million funding gap for 2021/22 is after the assumed delivery of £8.8 million in additional savings and efficiencies being put forward by Directorates in establishing their estimated funding requirements for next year. These savings generally flow from reduced staffing, reduced operational costs, from creating common and consistent charging policies following the creation of the new BCP Council as part of the review of local government in Dorset. At this stage they exclude the savings from the main transformation programme which has been set a £15 million target for 2021/22.

A full detailed schedule of these already assumed savings and efficiencies are attached as Appendix D3i. It should be stressed that some of these savings have been assumed for financial planning purposes only as they will remain subject to public and staff consultation and subsequent councillor approval.

Figure 4 below sets out an analysis of the £29.4 million service-based savings and efficiencies for 2019/20 (£11.2 million), 2020/21 (£9.4 million) and 2021/22 (£8.8 million);

Figure 4: Analysis of service-based savings (shown on an incremental basis)

	Budgeted 2019/20 £m	Budgeted 2020/21 £m	Estimated 2021/22 £m	Total £m
Staffing and organisation	(5.3)	(2.9)	(1.9)	(10.1)
Transformation		(1.0)	(0.3)	(1.3)
Democratic Representation	(0.5)			(0.5)
External Audit	(0.2)			(0.2)
Service Efficiencies				
Adult Social Care	(2.0)	(2.0)	(3.3)	(7.3)
Children Services	(0.2)	(0.1)	(0.3)	(0.6)
Place Theme	(0.7)			(0.7)
Regeneration & Economy		(0.5)	(0.0)	(0.5)
Environment & Communities		(0.2)	(0.4)	(0.6)
Resources	(0.7)	(0.3)	(0.7)	(1.7)
Commercial Opportunities	(0.7)	(0.3)		(1.0)
Fees and Charges	(0.9)	(2.1)	(1.9)	(4.9)
Total	(11.2)	(9.4)	(8.8)	(29.4)

These total savings can be compared to the £14.2 million (£9.2 million net) that Local Partnerships stated could be realised in BCP Council in their August 2016 financial model associated with Local Government Review (LGR) in Dorset. Across the two new unitary Councils the savings total was £27.8 million gross or £18.1 million net, which was after allowance had been made for savings from joint working prior to the 1 April 2019.

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BCP Unitary Council - Budget 2021/22 and MTFP - Assumed Savings

Ref:	Theme	Name of Proposal	Description	2021/22 £000's	2022/23 £000's	2023/24 £000's	Total to 2024 £000's
Resources							
1	Resources Directorate	Organisational savings following Local Government Review	Further service based cost efficiencies from combining the Bournemouth, Christchurch (including and element of Dorset County Council) and Poole Teams. Identified as part of the Covid 19 mitigation strategy	(551)			(551)
2	Resources Directorate	Staffing savings following Local Government Review	Further efficiencies from combining the Bournemouth, Christchurch (including and element of Dorset County Council) and Poole Teams. Identified as part of the Covid 19 mitigation strategy	(307)			(307)
3	Resources Directorate	Staffing and organisational savings within the Human Resources Service	Deletion of vacant posts to mitigate the loss of Tricuro and Academy Schools income	(244)			(244)
4	Resources Directorate	Organisational savings following Local Government Review	ICT Service Licensing Changes and changes to third party supply	(186)			(186)
5	Resources Directorate	Treasury Management Strategy	One off up front arrangement fee from the Dorset Pathology Unit investment - taken in 2020/21	45			45
		Savings Resources Directorate		(1,243)	0	0	(1,243)
Children's Services							
6	Children's Directorate	Base Budget Review	Inclusion & Family Services - service efficiencies	(262)			(262)
7	Children's Directorate	Base Budget Review	Quality & Commissioning - service efficiencies	(26)			(26)
		Savings Children's Directorate		(288)	0	0	(288)

Ref:	Theme	Name of Proposal	Description	2021/22 £000's	2022/23 £000's	2023/24 £000's	Total to 2024 £000's
Adult Social Care							
8	Adult Social Care Directorate	Service Efficiencies - General	Implementation of strengths based approach to assessment, reduction in residential care placements as we moved to provide an alternative provision in a client's own home, target reviews achieving best value from S 117, Continuing Health Care and other high cost provision for people with learning disabilities and mental health.	(1,500)			(1,500)
9	Adult Social Care Directorate	Organisational savings following Local Government Review	Further service based cost efficiencies from combining the Bournemouth, Christchurch (including and element of Dorset County Council) and Poole Teams. Identified as part of the Covid 19 mitigation strategy	(900)			(900)
10	Adult Social Care Directorate	Fees and Charges	Rebase deferred payments budgets in line with current level of activity	(500)			(500)
11	Adult Social Care Directorate	Fees and Charges	Rebase client contributions in line with current level of base activity	(400)			(400)
12	Adult Social Care Directorate	Fees and Charges	Client Contributions - application inflation uplift and uprating in line with income changes.	(400)			(400)
13	Adult Social Care Directorate	Staffing savings following Local Government Review	Further efficiencies from combining the Bournemouth, Christchurch (including and element of Dorset County Council) and Poole Teams. Identified as part of the Covid 19 mitigation strategy for the Adult Social Care Services	(300)			(300)
14	Adult Social Care Directorate	Transformation - Organisational Redesign	Review approach to early intervention and develop options for front door model (potentially using KPMG)	(250)	(1,250)		(1,500)
15	Adult Social Care Directorate	Staffing savings following Local Government Review	Further efficiencies from combining the Bournemouth, Christchurch (including and element of Dorset County Council) and Poole Teams. Identified as part of the Covid 19 mitigation strategy for the Commissioning and Improvement Service	(220)			(220)
16	Adult Social Care Directorate	Service Efficiencies - General	Efficiencies from the review of services delivered by Tricuro	(200)			(200)
17	Adult Social Care Directorate	Service Efficiencies - General	Review of reablement service.	(150)			(150)
18	Adult Social Care Directorate	Service Efficiencies - General	Review commissioning dementia home care (Poole Area).	(120)			(120)

Ref:	Theme	Name of Proposal	Description	2021/22 £000's	2022/23 £000's	2023/24 £000's	Total to 2024 £000's
19	Adult Social Care Directorate	Service Efficiencies - General	Use of technology in meeting care and support needs.	(100)			(100)
20	Adult Social Care Directorate	Service Efficiencies - General	Enhance support to self funders to make decisions about their care.	(100)	(50)		(150)
21	Adult Social Care Directorate	Domiciliary Care costs	Use of BCP framework contract for new domiciliary demand in the Christchurch area.	(80)			(80)
22	Adult Social Care Directorate	Service Efficiencies - General	Efficiencies from the review of day opportunity initiatives delivered by Tricuro	(60)			(60)
23	Adult Social Care Directorate	Service Efficiencies - General	Harmonise Catering Services.	(50)			(50)
24	Adult Social Care Directorate	Fees and Charges	Fee consistency / harmonisation Adult Charging Policy. Item scrutinised by Health and Adult Social Care Overview and Scrutiny Committee on 18.12.2019 and will return for further scrutiny after public consultation in Spring 2020.	(25)			(25)
25	Adult Social Care Directorate	Service Efficiencies - General	Reduce bad debt by improving debt management.	(20)	(20)		(40)
26	Adult Social Care Directorate	Service Efficiencies - General	Review of discretionary managing other people money services ensuring full cost recovery.	(10)	(10)		(20)
27	Adult Social Care Directorate	Service Efficiencies - General	Investigate telephone/online options to speed up financial assessments	(10)	(5)		(15)
		Savings Adult Social Care Directorate		(5,395)	(1,335)	0	(6,730)
Regeneration & Economy							
28	Regeneration & Economy Directorate	Staffing savings following Local Government Review	Further efficiencies from combining the Bournemouth, Christchurch (including and element of Dorset County Council) and Poole Teams. Identified as part of the Covid 19 mitigation strategy	(85)	(28)	(27)	(140)
29	Regeneration & Economy Directorate	Fees and Charges	Rebase planning income inline with historical performance	(25)			(25)
30	Regeneration & Economy Directorate	Service Efficiencies	Reduction in art centre grant support already agreed	(25)			(25)
31	Regeneration & Economy Directorate	Fees and Charges	Rebase parking income inline with historical performance	(20)			(20)

Ref:	Theme	Name of Proposal	Description	2021/22 £000's	2022/23 £000's	2023/24 £000's	Total to 2024 £000's
32	Regeneration & Economy Directorate	Service Efficiencies - General	Numerous small budget adjustments	(9)			(9)
33	Regeneration & Economy Directorate	Transformation cost recovery fees and charges	Beach Hut Income. Includes the income generated from the provision of new beach huts with tariff harmonisation and price adjustments in other areas.	85	(93)		(8)
34	Regeneration & Economy Directorate	Transformation cost recovery fees and charges	Consistent service operating model for Leisure Centres			(100)	(100)
		Savings Regeneration and Economy Directorate		(79)	(121)	(127)	(327)
Environment & Community							
35	Environment & Communities Directorate	Staffing savings following Local Government Review	Further efficiencies from combining the Bournemouth, Christchurch (including and element of Dorset County Council) and Poole Teams. Identified as part of the Covid 19 mitigation strategy	(748)			(748)
36	Environment & Communities Directorate	Transformation - Organisational Redesign	Operational Service Delivery Reviews in Environment & Communities	(356)			(356)
37	Environment & Communities Directorate	Transformation - Cost recovery - Fees and Charges	Fee consistency / harmonisation across a number of services. Includes Green Waste	(352)			(352)
38	Environment & Communities Directorate	Transformation - Cost recovery - Fees and Charges	Rebase Solar Panel income inline with historical performance	(300)			(300)
39	Environment & Communities Directorate	Base Budget Review	Communities - Regulatory Services - Port Health Brexit costs - new burdens funding	(62)			(62)
		Savings Environment & Communities		(1,818)	0	0	(1,818)
		Overall Total		(8,823)	(1,456)	(127)	(10,406)



BCP Financial Strategy 2021/22

1. A financial strategy is integral to the development of the overall organisational health of the council. Its aim is to detail how the council plans to finance its operations and meet its strategic priorities. The intent of the strategy is to set out the themes and categories the council will look to further develop as a means of delivering a balanced budget for 2021/22 and any underlying actions that need to be taken. The document will also support the approval of the medium-term financial plan (MTFP) and a positive value for money judgement for the new authority.
2. The strategy will help BCP continue to build a culture of strong and effective financial management, a culture which enabled the council to deliver a financial outturn which was within the parameters of its original budget for 2019/20. No mean feat for the first year of operating a council created following the most complex local government reorganisation for 45 years and with only eight months' notice. No mean feat for a council created to help the community manage the legacy impact of austerity which saw a reduction in government funding which has been estimated at approximately £103 million per annum.
3. The council has and will clearly need to continue to harness the positive focus, goodwill and personal contribution from officers and councillors which enabled the predecessor councils to deliver balanced budgets and positive financial outturn positions.
4. The overriding principle will be to deliver a responsible, sustainable and balanced budget for 2021/22 which is one where spending levels are matched against available resources and one which is not overly reliant on the use of reserves to cover any gap between resources available and ongoing expenditure.

Financial Context

5. In considering the 2021/22 financial strategy for BCP Council it will be important that it is considered within the context of a unitary authority which is currently only in its second year of operation with turnover of around £0.7 billion per annum and an annual net budget which for 2020/21 was £283 million per annum. It is also critical that consideration is given to the ambition and purpose of the council as expressed through the approved corporate strategy as well as the impact on the organisation's financial and non-financial resources of the Covid-19 public health emergency.
6. BCP Council's Corporate Strategy was adopted by council on 5 November 2019. The vision is to create vibrant communities with outstanding quality of life where everyone plays an active role. The high-level strategy sets out five council priorities and a commitment to become a modern, accessible and accountable council committed to providing effective community leadership. The priorities are:
 - **Sustainable Environment** - leading our communities towards a cleaner, sustainable future that preserves our outstanding environment for generations to come
 - **Dynamic Places** - supporting an innovative, successful economy in a great place to live, learn, work and visit

- **Connected Communities** - empowering our communities so everyone feels safe, engaged and included
 - **Brighter Futures** - caring for our children and young people; providing a nurturing environment, high quality educations and great opportunities to grow and flourish
 - **Fulfilled Lives** - helping people lead active, healthy and independent lives, adding years to life and life to years.
7. The strategy is underpinned by an agreed set of core values and delivery plans which set out how the council will achieve the priorities.

Figure 1: BCP Corporate Strategy



Impact of the Covid-19 Public Health Emergency beyond 2020/21

8. A financial strategy can also not be established without considering the medium to long term impact of the country's biggest public health emergency for a generation. Since March 2020 this has required urgent and decisive action to be taken by the council to support its community while also supporting the integrity of the council's financial position and sustainability.
9. The public health emergency resulted in extra pressures on services in support of the most vulnerable; the elderly, disabled and homeless. This included getting rough sleepers off the street, supporting new shielding programmes for clinically extremely vulnerable people, assisting the heroic public sector and social care workforce, and making over £83 million in grants to local businesses.
10. At the same time the council's income base collapsed with leisure centres shut, seafront services closed, and parking fees not being generated, as well as lower council tax and business rates yields predicted. This loss of income represented a real reduction in the resources available to fund local services.

11. In considering the council's overall financial position it must be borne in mind that BCP as well as being one of the twelve largest unitary councils is also a coastal community particularly exposed to significant income reductions. In a normal year the tourism sector makes a considerable contribution to the budget, including for vital council services such as adults and children's social care. This is emphasised by the benchmarking that shows the council is in the top four of unitary councils as being supported by sales, fees, charges, trading accounts, interest & investment income. Growing our income base was a strategy to sustain services directly linked to reduced government funding and growing pressures.
12. That said, the position is now compounded by the possibility of further periods of disruption related to the outbreak in this and future financial years as well as the less well understood future impact on the demand pressures faced by local authorities such as;
 - adult social care-specifically relating to the legacy impact of the 10 per cent uplift to the cost of care during the period to the end of July 2020/21 and whether further funding will be forthcoming from central government for infection control in the care sector in future years.
 - children's social care, specifically the issue of latent safeguarding demands.
 - school reopening's with specific issues such as those relating to home to school transport.
 - collection fund issues.
13. This will be exacerbated by what the Treasury expect to be the worst recession on record and the need for the government to reassure the financial markets that there is a plan to control spending in the medium term.
14. As highlighted the legacy impact of Covid-19 is that it will directly impact on the services that our community require us to provide which in turn will be influenced by the consequential recessionary impact of a growth in unemployment. The council will need to challenge itself to determine if its corporate strategy provides the priorities and objectives required as our community emerges from the public health emergency and begins the recovery and reset phase. Even at this potentially early stage the 14% growth in the cost of local council tax support working age claimants since March 2020 and the number of job losses in the local economy point to the need to support our working age benefits claimants and to help our businesses recover.

MTFP Refresh 2021/22 to 2023/24

15. In the February 2020 budget report to Council the MTFP included a funding deficit of £17.3 million for 2021/22 and £6.9 million for 2022/23.
16. The MTFP set out in the Covid-19 – 2020/21 Budget Monitoring Report to 24 June 2020 Cabinet identified that after making provision for assumed cost and demand increases, after certain provision for the impact of the public health emergency on ongoing core income, after allowing for the borrowing costs on key regeneration projects, and after factoring in certain savings that have already been identified along with the strategy to harmonise council tax in 2021/22, the council will have a £32m funding gap in 2021/22.
17. The MTFP has subsequently been updated to a three-year time horizon covering 2021/22 through to 2023/24 as part of a fundamental base budget review process undertaken over the summer. It should be noted that this table is presents on an absolute, rather than incremental, basis.

Figure 2: MTFP update at October 2020 (Scenario A)

	2021/22	2022/23	2023/24
Position prior to legacy Covid position	24.4	45.2	62.7
Service Investments	4.0	4.0	4.1
Transformation Revenue Costs	3.5	4.0	4.5
Service Savings – Assumed / programmed	(8.8)	(10.3)	(10.4)
Council Tax – Annual uplift (Harmonisation / 2.99%) & Tax-base	(4.5)	(12.2)	(20.3)
Business Rates – Annual inflationary uplift	(1.1)	(2.2)	(3.3)
Collection Fund – One-off surplus 2020/21	1.4		
Position prior to legacy Covid position	18.9	28.5	37.3
Covid19 – Sales, Fees and Charges	17.1	8.5	4.2
Covid19 – Core Income	12.2	6.1	3.0
Covid19 - Costs	1.0	0.6	0.6
Current Base MTFP Position	49.1	43.6	45.1
Removal of service investments	(4.0)	(4.0)	(4.0)
Revenue contribution to capital	(2.0)	(2.0)	(2.0)
Residual capital funding	(0.1)		
Town Centre Development Fund	(2.5)		
ICT Investment Plan Resources One-Off & funding obligations	(1.3)	0.3	0.3
Transformation Fund Resources One-Off & funding obligations	(10.8)	8.1	3.0
Net Funding Gap – Before Transformation	28.4	46.0	42.4
Transformation Saving Target 2021/22	(15.0)	(24.1)	(33.2)
Net Funding Gap	13.4	21.9	9.2

The current position represents 4.7% of its 2020/21 £283 million net budget.

18. This financial strategy will therefore need to be kept under constant review as the immediate and ongoing impact of Covid-19 emerges. The requirement to predict the future as part of the councils financial planning framework is always accompanied by significant risk but this year the uncertainty and potential variability will be particularly high. Of particular concern will be the impact on the main income streams to the council, notably;
- **Business rates yield** - businesses in retail, hospitality and leisure (RHL) sector were not required to pay business rates in 2020/21 and as they account for 52% of the total normal business rates yield the council will be watching their recovery very carefully and considering the impact on the amount it would ordinarily expect to raise in 2021/22. Any impact on this sector will be in addition to the £3.7 million reduction in yield currently being experienced in 2020/21. An element of this is expected to reoccur next year in the non RHL sectors as they struggle to recover from the impact of the pandemic. As per this year a £3.7 million impact of business rates yield is being assumed in 2021/22.
 - **Council tax yield** – the income generated next year will be influenced not only by the council tax harmonisation strategy but also by the extent to which residential development schemes have been delayed or even moth balled. The number of homes over which council tax is chargeable, referred to as the tax base, is a key element of the council tax calculation. The fact that the tax base may not be as high as previously assumed or may even have reduced between years will be significant. A specific reason

it may have reduced is due to the number of local council tax support (LCTSS) claimants with the cost of the scheme in respect of working age claimants having increased by 14% between March and August 2020. This impact on tax base will also have consequences for other preceptors such as the police, fire and local town and parish councils.

- **Sales, fees and charges** – based on the September monthly return to government and included in the projected outturn in the October monitoring, the council is predicting to have a £23.0 million shortfall in the income it generates via sales, fees and charges during 2020/21 with an estimated £12.1 million to be allocated by the government compensation scheme to provide a level of financial assistance. In respect of 2021/22 the indication is that the government have no intention of rerunning the scheme next year. Therefore, the MTFP will need to estimate the level of such income that may be generated in a hopefully post Covid-19 scenario which, in all likelihood, will not be to the levels budgeted for 2020/21 or experienced in 2019/20.

19. The level of national government interventions, mitigations and direct support arrangements relating to the pandemic will clearly impact on both the economic recovery and individuals. Ending of the ban on evictions in September and the cessation of the job retention scheme, often referred to as the furlough scheme, in October will be two policy areas which could impact on the demands placed on the council. The revised Job Support Scheme recently announced by the government to replace the furlough scheme should mitigate potential job losses in certain sectors of the economy.
20. What is clear is that the government need to continue to ensure sustainable funding to local areas to enable them to invest in long term infrastructure, economic growth, support for businesses and help with skills and employment.
21. Figure 4 overleaf shows in an absolute and on an incremental basis a summary of the budget changes.

Figure 4: BCP Council MTFP in absolute and incremental terms (Scenario A).

	Adjusted Net Budget	MTFP	Net Budget	MTFP	Net Budget	MTFP	Net Budget
	2020/21 £m	2021/22 £m	2021/22 £m	2022/23 £m	2022/23 £m	2023/24 £m	2023/24 £m
Adult Social Care (Including Public Health)	109.7	3.4	113.1	7.3	120.4	8.8	129.2
Children's Services	63.1	5.2	68.4	3.0	71.4	3.2	74.6
Environment & Community	49.8	1.0	50.8	1.4	52.2	0.4	52.6
Regeneration & Economy	9.7	17.0	26.6	(7.1)	19.5	(3.4)	16.1
Resources	31.9	0.0	31.9	0.4	32.3	0.2	32.6
Transformation Revenue Implications	0.0	3.5	3.5	0.5	4.0	0.5	4.5
Corporate Priorities	1.4	1.1	2.5		2.5		2.5
Net cost of services	265.6	31.2	296.8	5.6	302.4	9.6	312.0
Provision for repayment borrowing (MRP)	9.8	0.1	9.9	0.1	10.1	0.1	10.1
Pensions	5.6	(0.1)	5.5	(0.1)	5.5	0.2	5.7
Revenue contribution to capital	0.8	(0.5)	0.4		0.4	0.0	0.4
Transformation Funding	2.0	(1.5)	0.5		0.5	2.0	2.5
Interest on borrowing	1.8	1.4	3.2	(0.0)	3.2	(0.0)	3.2
Contingency	1.2	3.4	4.6	3.4	7.9	3.3	11.2
Parish, Town, Neighbourhood Councils & Charter Trustees	0.8		0.8		0.8		0.8
Movement to and (from) reserves - inc unearmarked	0.7	(0.0)	0.7		0.7		0.7
High needs reserve contribution	1.2	(1.2)	0.0		0.0		0.0
Levies (Environment Agency / Fisheries)	0.6		0.6		0.6		0.6
Apprentice Levy	0.6		0.6		0.6		0.6
Revenue expenditure on surplus assets	0.2		0.2		0.2		0.2
Investment property income	(6.7)	1.2	(5.5)	(0.4)	(5.9)	(0.4)	(6.3)
Income from HRA	(0.9)		(0.9)		(0.9)		(0.9)
Interest on cash investments	(0.2)	0.1	(0.0)		(0.0)		(0.0)
Dividend income	(0.1)		(0.1)		(0.1)		(0.1)
Residual capital funding	0.0	(0.1)	(0.1)	0.1	0.0	0.0	0.0
Town Centre Development Fund	0.0	(2.5)	(2.5)	2.5	0.0	0.0	0.0
ICT Investment Plan Resources One-Off	0.0	(1.6)	(1.6)	1.6	0.0	0.0	0.0
ICT Investment Plan funding obligations	0.0	0.3	0.3	0.0	0.3	0.0	0.3
Transformation Fund Resources One-Off	0.0	(13.5)	(13.5)	13.5	0.0	0.0	0.0
Transformation Fund funding obligations	0.0	2.7	2.7	5.4	8.1	(7.1)	1.0
Transformation Saving Target 2021/22	0.0	(15.0)	(15.0)	(9.1)	(24.1)	(9.1)	(33.2)
Net Budget	283.0	4.4	287.4	22.6	310.0	(1.4)	308.6
Council Tax income	(217.1)	4.0	(213.0)	(12.0)	(225.1)	(10.2)	(235.2)
Net income from Business Rates	(58.1)	2.6	(55.5)	(3.0)	(58.4)	(2.0)	(60.5)
Revenue Support Grant	(3.0)	0.0	(3.0)		(3.0)		(3.0)
New Homes Bonus Grant	(2.6)	0.9	(1.7)	0.9	(0.8)	0.8	0.0
Collection Fund Surplus Distribution	(1.4)	1.4	0.0		0.0		0.0
Parish, Town, Neighbourhood Councils & Charter Trustees	(0.8)	0.0	(0.8)		(0.8)		(0.8)
Total Funding	(283.0)	9.0	(274.0)	(14.1)	(288.1)	(11.3)	(299.5)
Annual – Net Funding Gap	(0.0)	13.4	13.4	8.5	8.5	(12.7)	(12.7)
Cumulative MTFP – Net Funding Gap			13.4		21.9		9.1

22. Appendix D3 to the substantive Cabinet report includes the detail of the current assumptions used in supporting the MTFP.
23. In terms of updating the MTFP it is recommended that the council prepares its financial strategy on this basis outlined above (scenario A). It is also worth reflecting that different scenarios are possible, due to the considerable uncertainty that exists in the current financial planning environment and framework. To emphasise the point an alternative financial scenario is summarised below;

Scenario B

£13.4m	Total MTFP pressure for 2021/22 based on scenario A
£3.1m	No additional government support from the impact of negative revenue support grant (RSG) as made available in the previous two financial years.
£3.9m	Council required to request Secretary of State permission to contribute towards High Needs Deficit
£20.4m	Total Scenario B MTFP pressure

Summary 2021/22 Financial Strategy

24. The summary of the current funding gap position in respect of the 2021/22 Budget can be set out as in Figure 4 below

Figure 4: MTFP update at October 2020 (Scenario A)

£m	Details
17.3	Position as per February 2020 February Budget Report
(6.4)	Ongoing savings introduced in the June 2020 Cabinet Report
(5.0)	Changes in assumptions (negative RSG, Pay Award, contribution to DSG)
3.5	Transformation – revenue investment (June Cabinet Organisational Design report)
5.5	Revised operational pressures and savings following August Refresh
14.9	Sub-Total Funding Gap for 2021/22
4.0	Requested Service Investments
18.9	Sub-Total Funding Gap for 2021/22

Covid19 Legacy Issues	
17.1	Sales, Fees and Charges (predominately Town Centre Car Park Income)
12.2	Core Income (Council Tax and Business Rates yield)
0.9	Legacy Costs Issues (Infection Control, homelessness, economic development)
30.2	Total Covid19 Legacy Issues
49.1	Sub-Total Funding Gap for 2021/22

Mitigations	
(15.0)	Savings target set for the Transformation Programme
(4.0)	Removal of requested service improvements
(2.0)	Removal of revenue contribution to capital
(0.1)	Residual MTFP
(1.3)	ICT Investment Plan – refinance by borrowing
(10.8)	Transformation Fund – refinance by borrowing and profile into MTFP
(2.5)	Other schemes refinanced by borrowing
13.4	Funding Gap for 2021/22

25. It should be emphasised that the current funding gap of £13.4 million as shown above is net of £8.8 million of savings and efficiencies already programmed and assumed for 2021/22.
26. The approach to setting a robust and lawfully balanced budget for 2021/22 will be therefore an extremely challenging one for the council. The approach to ensuring this happens can be summarised as follow;
- Encourage the government to continue to meet the original commitment from Robert Jenrick the Secretary of State for Housing Communities and Local Government that promised councils will get all the resources they need to cope with this pandemic.
 - The first draft of the 2021/22 Budget will be drawn including a £2.5 million investment in corporate priorities which is £1.1 million more than the amount assumed in the base for 2020/21.
 - The £15 million savings target for transformation is reaffirmed. It is recommended that the Corporate Director for Transformation brings forward to Cabinet in December a report detailing how such savings will be achieved, including their implications, risks and mitigations and the extent to which they will be itemised in setting the 2021/22 budget. This assumed level of savings for 2020/21 was approved as part of 2020/21 budget monitoring report to June Cabinet.
 - The review of projects (revenue and capital) as put forward as part of the June Cabinet report which set out those schemes and programmes that could be deferred, cancelled or refinanced.
 - Proposals to refinance other capital schemes where appropriate, designed to release resources which can be used to support the 2021/22 budget of the Council. The intention now being to borrow to fund these schemes over the life of the asset, or where they are revenue in nature to meet the cost as part of the budget for the year in which the expenditure falls. Examples of such schemes include the ICT Investment and the previous transformation programme.
 - Recognising the scale of the Covid-19 legacy issues, what the government often refer to as the Covid-19 scarring costs, and the uncertainty as to whether they will be covered by government in either full or part it is recommended that the council;
 - take all possible steps to avoid using reserves and protect resources earmarked in 2020/21 to mitigate the impact of Covid-19 in the current financial year. If this can be achieved the proposal would be to redirect these resources into a Covid-19 income mitigation reserve.

f2) take all possible advantage of the system to allow council and business rates tax deficits to be repaid over three years instead of one, accepting that the details of the scheme are yet to be announced and therefore the advantage or otherwise of doing so is yet to be clarified.

f3) request that Portfolio Holders, Corporate Directors and Service Directors work together to reduce the operating cost pressures put forward as part of the August 2020 rebase of the Medium Term Financial Plan or to increase the £8.8m of savings, efficiencies and additional income already being put forward for 2020/21 outside of separate Transformation programme. The first draft of the 2021/22 will also be drawn excluding £4.0 million of service improvements requested by the Corporate and Service Directors and the £2.0 million assumed revenue contribution to capital.

- g) An ongoing review of resources and provisions to consider inherited amounts from predecessor councils relating to s106 deposits and the community infrastructure levy receipts to establish if there has been consistency in how they have been used and to determine the extent to which they should have been applied to historic capital expenditure. This workstream should also consider the adequacy or otherwise of historic provisions for business rates appeals and provisions.
- h) A review of third-party contributions towards forecast costs to ensure they are being maximised. This includes contributions from the Clinical Commissioning Group towards the cost of care.

27. Some of these issues is explored in further detail in the following sections.

Investments in Corporate and Service Priorities

28. As previously stated, the first draft of the budget for 2021/22 will include a £2.5 million investment in corporate priorities. This is in line with the assumptions of the medium-term financial plan as endorsed by Council in February 2020. Figure 5 below sets out how the previous administration intended to allocate these resources.

Figure 5: Previous proposal for the investment of £2.5m in corporate priorities in 2021/22 budget.

	Amount 2020/21 Base £000s	Additional Amount Requested 2021/22 £000s	Originally proposed total amount for 2021/22 £000s
Regeneration	370	380	750
Highway Maintenance	390	265	655
Arts and Culture	150	370	520
Street Cleansing	150	103	253
Climate Change and Ecological Emergency	240	0	240
Unauthorised Encampments	50	0	50
Community Engagement Strategy	50	0	50
Total	1,400	1,118	2,518

29. As could be anticipated, the new Conservative administration will continue to reflect if these allocations accord with their priority areas for investment with future reports

updated for any reprioritisation. Cabinet will also need to consider both the affordability of this commitment and the opportunity, subject to successful management of the all the financial challenges currently faced, to extend this commitment further.

30. This financial strategy also assumes that the first draft of the budget will exclude the £4 million investment in services that has been specifically requested by Corporate and Service Directors.

Transformation

31. A high-level business case was presented to Cabinet in November 2019 which set out the original scope of the council's organisation design project, which was facilitated by KPMG, and identified that it could potentially deliver up to £43.9 million of gross annual savings by year 4 based on an investment of £29.5 million. The profile of these savings was assumed to accumulate as £7.8 million in year 1 growing to £16.5 million in year 2, £36.9 million in year 3 and £43.9 million in year 4.
32. Council on the 7 July 2020 agreed to the extension of the project to a £38 million programme referencing the quantum leap forward in different ways of working as a consequence of the Covid-19 public health emergency and the need to accelerate the pace at which we generate savings and efficiencies. This report set out that the £43.9 million must now be adopted as our minimum expectation of savings and efficiencies with the 24 June budget monitoring report to Cabinet setting out the proposal to adopt £15 million as the minimum savings target for 2021/22 which is net of an estimated £1.5 million of ongoing savings from the employee base put in place in 2020/21 to help manage the in-year financial position.
33. Figure 6 below statement arguably sets out the benefits from the transformation programme which remain to be realised;

Figure 6: Transformation Programme Benefits

Programme of Change	Estimated benefit - Highpoint (£m)	Phasing (£)			
		Year 1	Year 2	Year 3	Year 4
Customer Contact	(11.6)	(1.9)	(1.9)	(5.9)	(1.9)
Service Redesign	(5.1)	(0.8)	(0.8)	(2.7)	(0.8)
Enabling Functions	(5.8)	(1.0)	(1.9)	(1.9)	(1.0)
Third party Spend	(19.8)	(3.3)	(3.3)	(9.9)	(3.3)
Cost recovery	(1.6)	(0.8)	(0.8)		
Total Forecast Benefits	(43.9)	(7.8)	(8.7)	(20.4)	(7.0)
Permanent savings identified as part of 2020/21 Covid19 response					
Expenditure Cost Base	4.9	4.9			
Employee Cost Base	1.5	1.5			
2020/21 - Total Savings identified in-year	6.4	6.4	0.0	0.0	0.0
Total Benefits to Realise	(37.5)	(1.4)	(8.7)	(20.4)	(7.0)
Previous MTFP Savings which were part factored into 2020/21 budget					
ASC - Front Door	2.5	1.0	0.8	0.8	
R&E - Cost Recovery - Town Centre & Beach Parking	0.7	0.7			
R&E - Cost Recovery - Seafront Rent Reviews	0.2	0.2			
R&E - Cost Recovery - CIL Admin fee	0.2	0.2			
R&E - Cost Recovery - Beach Hut Income	0.1	0.1	(0.1)	0.1	
R&E - Cost Recovery - Increase car parking permits	0.1	0.1			
R&E - Cost Recovery - Upton Country Park parking	0.0	0.0			
E&C - Cost Recovery - HWRC residents other councils	0.2	0.2			
E&C - Cost Recovery - Recharges inhouse maintenance team	0.2	0.2			
E&C - Cost Recovery - Trade Waste Charges	0.1	0.1			
E&C - Cost Recovery - Bereavement service harmonise	0.1	0.1			
E&C - Cost Recovery - Green Waste charges	0.1	0.1			
2020/21 - Total Savings - Detailed in the Original Budget	4.3	2.8	0.7	0.8	0.0
Total Benefits to Realise	(33.2)	1.4	(8.0)	(19.6)	(7.0)

34. On the basis that the £15 million has now been set as the savings target for 2021/22 it is proposed to weight the residual £18.2 million evenly (£9.1 million per year) over the following two years. The assumption is that the transformation programme will capture any savings associated with the;
- Work to enable communities take more responsibilities for their need.
 - Reduction in employee headcount through the consolidation of common roles/work.
 - Reduction in employee headcount through the consolidation of organisational layers/structures.
 - Reduction in third-party spend through more robust procurement and contract management.
 - This will include smarter ways of working such as the digital mail and the reduction of spend throughout the council by the centralisation of spending on items such as stationary, photocopying and printing. There has also been a review of the corporate structure to enable the council to continue to reflect and realign its management structure to ensure we are continuously improving towards being the organisation that we aspire to be and to ensure we deliver our priorities. This included the integration of the library services with customer facing services and community-hubs and the creation of a new corporate director for marketing, communications & strategy.
 - The councils Estate Strategy is also an integral part of the transformation strategy.

Estate Strategy

35. Cabinet have established a working group to consider the estates & accommodation strategy and the potential for a single civic centre. This is further to the decision of Cabinet in February 2020, to adopt the Bournemouth town hall campus as our principal office accommodation. As part of their decision Cabinet established that;
- a. In the first instance, the relocation of all staff from Poole civic centre, Christchurch civic offices and the Bournemouth learning centre (to the Bournemouth town hall campus) be accelerated to facilitate the closure and/or repurposing of those offices as quickly as possible.
 - b. As this programme evolves, we will also look to identify as many other buildings as possible that can also be included in the relocation programme in order to either support service development proposals, to facilitate regeneration, or to generate long term income or capital receipts for the council. It should be noted, however, that there is often a significant time lapse between the release of any buildings and the subsequent regeneration or receipt of the transfer proceeds.
 - c. In undertaking this short-term programme of relocations, we will not materially redesign or refurbish the Bournemouth town hall campus and will seek to reuse as much of the existing office furniture estate as possible. This will mean that the up to £29 million costs identified in the February 2020 Cabinet report will not be incurred.
 - d. Notwithstanding this, there will be a need to incur some costs to facilitate this short-term programme of relocation and consolidation. These costs are required to cover aspects such as:
 - Removal of non-structural walls to create more open space within some parts of the Bournemouth town hall campus.
 - Investment in appropriate facilities/solutions to comply with social distancing requirements within office environments.

- Transportation of equipment from decommissioned sites to Bournemouth town hall campus.
 - The relocation of some critical services currently located within buildings that we are vacating, such as the CCTV monitoring service and the telecare/Out of Hours Support service.
- e. A report will be brought to Cabinet to approve any financial consequences once the necessary planning and budgeting work has been completed. This will need to reflect on levels expenditure it is reasonable to spend in the current uncertain financial position and what might be ultimately desirable. This report is presented as a separate agenda item to Cabinet on the 11 November 2020 and requests £6.6m combined revenue and capital investment.
36. Through this workstream, accepting some funding may need to be set aside to cover the borrowing costs of the refit works, it should be possible at a future point in time to deliver at least an element of the operational costs of the following buildings as savings. It should be noted that circa 42 per cent of the budget relates to the business rates for these premises and the exit from such costs will need to be carefully managed.

Figure 7: Cost of Corporate Centres 2020/21

2020/21 Budgets	Operational Budget £000s	Business Rates £000s	Total Budget £000s
Poole Civic Centre	412	168	580
Poole CC Annexe	55	46	101
Christchurch Civic Centre	191	93	284
Bournemouth TH Annexe	45	117	162
Total	703	424	1,127

37. These premises could yield a capital receipt or alternatively could be used to provide an opportunity for regeneration. The latest asset valuations for these assets were identified as follows;

Poole Civic Centre	Asset Valuation 2019	£3,160,000
Poole CC Annexe	Asset Valuation 2018	£1,380,000
Christchurch Civic Centre	Asset Valuation 2017	£2,270,000
Bournemouth Town Hall Annexe	Asset Valuation 2016	£1,820,000

38. Work is also ongoing to consider an exit strategy for the leased office accommodation at Newfields, which has an annual operational budget of £161,000 (including £36,000 business rates).

Project Review

39. The June Cabinet report set out the implications of a review of all projects (revenue and capital) to determine the extent to which they can be deferred, cancelled or refinanced to release resources to support either the in-year 2020/21 position of the council or the funding of the £37.6 million transformation programme.
40. The proposal now is to take the refinancing of some capital schemes a step further with the process designed to release resources back into revenue in direct support of the 2021/22 budget of the Council. Where capital expenditure is being refinanced the intention is to borrow to fund these schemes with the cost spread of the life of the asset. Where the expenditure is of a revenue nature the intention is to fund the cost as part of the budget for year in which the expenditure is programmed to fall. This

approach is clearly different from the historic approach adopted by the Council however it will enable the Council to match the cost of investments with their benefits. It will also enable the Council to manage its resources over the period it expects its transformation programme will take to mature and deliver the full scale of its benefits.

41. Examples of such schemes include the ICT Investment which will be refinanced via borrowing and the transformation programme which will be refinanced through a mixture of borrowing and future year revenue commitments. Should any future year revenue commitments not be deliverable then the underlying programme will need to be curtailed at that point. Borrowing commitments are a first call on the resources the Council is annually able to generate.

Government Lobbying

42. Financial planning is difficult at the best of times let alone during a public health emergency and outside of a clear financial planning framework from government. Such a framework is normally provided by three- or four-year government spending reviews which set the departmental spending limits and although not at a local authority level provide a degree of certainty and stability for the council's own financial planning. The last multiyear spending review ended in 2019/20 and a one-year spending round was issued for 2020/21. As part of his summer statement the Chancellor announced that he will introduce measures to support the longer-term recovery through a budget and spending review in the autumn. It has been announced that a further one-year spending round will be issued for 2021/22 with a longer-term spending review deferred until 2021 at the earliest.
43. Councils will keenly await any announcements in this spending round / review especially those relating to;
 - Any further actions taken to continue to meet the government promise that councils will get all the resources they need to cope with this pandemic.
 - The scheme introduced by Robert Jenrick as part of his announcement on the 2 July 2020 of a comprehensive new funding package for councils to help address coronavirus pressures and cover lost income during the pandemic and specifically the system to allow council and business rates tax deficits to be repaid over 3 years instead of one.
 - Council tax referendum limits for 2021/22 onwards.
 - Whether the funding introduced annually by the government over the last two years to prevent the removal of negative revenue support grant will continue. Scenario A of the MTFP refresh currently assumes this funding will continue. This assumption maybe vulnerable due to the government's previous commitment to a levelling up every part of the country and investing in every region.
 - The future replacement for the new homes bonus. A £920,000 provision is currently provided for in next year's MTFP to reflect the reducing profile of payments for legacy allocations.
 - Social care funding and the extent to which specific government grant funding will continue in line with the current planning assumption.
 - The timing and impact of the implementation of a 75% Business Rates retention model and the Fair Funding Review.
 - Impact of the Social Care Green Paper.
44. It is therefore proposed that the council continue to lobby to ensure the government can continue to demonstrate that it has met its commitment to cover the cost of anything it has asked the council to do in response to Covid-19, be that protecting

vulnerable children, the provision of social care or housing support for rough sleepers. The council continues to be active in this area through direct representation to both the Treasury and the Ministry of Housing, Communities and Local Government, letters to local MPs so they can campaign on our behalf, and via the work with both the Local Government Association (LGA) and south west councils. This included undertaking a case study as part of the LGA work to demonstrate the financial impact of Covid-19.

45. It is also recommended the Council support submissions to the Government as part of the autumn spending review and directly lobby in respect of the impact of the pandemic on the level of income that can be assumed in 2021/22 not just around council tax and business rate yields but also sales, fees and charges. The Government are cited as saying consideration to such issues, which they refer to as an example of "covid19 scarring costs" will be referenced in the spending round / review.
46. Opportunities will also be taken to continue to bid for government investment in key projects and infrastructure in support of the council's corporate strategy. Examples include bidding for funding from Homes England to support the delivery of affordable housing or bidding for funding from the Transforming Cities Fund to support key transport infrastructure.

Fundamental Review of Services

47. The target set for transformation clearly demonstrates the shift away from a service-based savings approach and towards delivering savings at an enterprise level. However, there is a high degree of risk associated with the delivery of the transformation programme especially as a strategic partner is unlikely to be appointed until early in the 2021 calendar year. It is also recognised that the £15 million target for transformation is insufficient in the first instance to close the funding gap for 2021/22.
48. On that basis it is recommended that Portfolio Holders work with each of the Corporate Directors and Service Directors to challenge the additional resources they have requested as part of the fundamental annual rebase of the MTFP and to explore the extent to which additional savings and efficiencies can be delivered.
49. Notwithstanding the specifics of this approach, work still to be carried out includes:
 - A review of models for the delivery of the council's housing stock and to consider a consistent future operating model.
 - Consideration of the extent to which services should be reset following the public health emergency.
 - Creating consistent service standards by April 2021.
 - Alignment of fees and charges policy by April 2021.
 - Consideration to increasing all fees and charges annually in line with the Government's 2% inflationary target.

It is the stated intention of the council to create consistent service standards and align fees and charges policies by next April to ensure consistency with the intention to harmonise council tax from 1 April 2021 onwards.

Reserves

50. Consideration will be given as to extent to which the 2021/22 Budget can and should be supported by reserves. For example, it might be appropriate to mitigate the risk associated with legacy impact of Covid-19 to use the specific earmarked reserve established in the current 2020/21 financial year to support the uncertainty associated with future income streams. However, this would only be possible in

circumstances where the reserve is not needed to support, as set out in the June Cabinet report, the balancing of the 2020/21 budget.

Ongoing Review of Resources and Provisions

51. It is proposed as part of this financial strategy that the council also continues with the previously commissioned workstreams in respect of considering inherited amounts from predecessor councils relating to s106 deposits and the community infrastructure levy receipts to ensure they have been applied as anticipated.
52. This review of baseline resources will also consider the adequacy or otherwise of historic provisions for business rates appeals and provisions.

Council Tax Strategy

53. The 2020/21 budget endorsed a council tax harmonisation strategy designed to ensure consistent levels of tax are charged across the conurbation from 1 April 2021 onwards (2021/22 financial year). At its core this strategy was underpinned by a 3.99 per cent assumed increase as adjusted for the impact of the precept for Chartered Trustees in 2020/21. The changes in each town being as follows in Figure 9;

Figure 9: Council Tax Strategy Budget Report 2020/21

2020/21 Financial Year					
<ul style="list-style-type: none"> - Poole and Bournemouth = 2019/20 charges plus 3.99%, as adjusted for the impact of the Chartered Trustees precept. - Christchurch = 3.5% reduction which is to a level of tax consistent with the 2021/22 estimate for Poole. 					
2021/22 Financial Year					
<ul style="list-style-type: none"> - Poole = 2020/21 charge plus 2.99% - Bournemouth = 2020/21 charge plus 0.76% which would mean harmonisation with Poole and Christchurch. - Christchurch - Frozen for 2020/21. This is on the basis that their 2020/21 rate is equivalent to that proposed for Poole in 2021/22. 					
Harmonised Council Tax achieved in 2021/22					
	2019/20	2020/21	Increase	2021/22	Increase
Christchurch	1,598.30	1,541.57	-3.55%	1,541.57	frozen
Bournemouth	1,473.40	1,530.00	3.84%	1,541.57	0.76%
Poole	1,441.53	1,496.81	3.83%	1,541.57	2.99%

- Please note the above table excludes the impact of the separate Chartered Trustee council tax charge in Poole and Bournemouth which will be applied from 2020/21 onwards.
- The above table also excludes any potential adjustment to the Bournemouth area council tax arising from the establishment of the Throop and Holdenhurst parish on 1 April 2021.

54. The intent in harmonising council tax over the first three years of the new BCP Council has been to align with the period required to deliver consistent levels of service.

55. As part of 2019 spending round the government announced that the council tax referendum threshold was 3.99 per cent for 2020/21, made up of a 1.99 per cent core increase and a 2 per cent adult social care precept. Such a move was consistent with the strategic approach taken by government in its 2015 spending review which was to increase council tax as a mechanism for funding local services, and within that the use of the adult social care precept as a means of asserting national direction on how such resources are applied.
56. In respect of the legislation which supported the creation of BCP Council the Secretary of State was keen to strike the right balance between ensuring council tax payers do not experience a large increase in bills and not allowing residents in any one part of the area to be concerned that they are effectively contributing more to the cost of services than others in the area. Therefore, BCP Council are permitted to consider either;
1. harmonising over a maximum of seven years with a fully equalised council tax to be set by the start of year eight at the latest (2026/27).
 2. harmonising at the average council tax across the area in any year prior to 2026/27. Option B in the table below.
57. The regulations also allow BCP Council to apply the annual referendum principles in any year before harmonisation to either the average council tax across the whole area, or to the council tax in each predecessor area.

Adam Richens - 20 October 2020

CABINET



Report subject	Adult Skills & Learning relocation
Meeting date	11 November 2020
Status	Public Report
Executive summary	<p>The Adult Skills and Learning service currently use the Oakdale Learning Centre as a base for the western side of the BCP Council area. This building is life expired and replacement has been a long-held ambition for the Borough of Poole.</p> <p>An options report which includes a mix of housing and a new adult learning hub for the Oakdale site has been developed but is unaffordable at this time. An alternative site for the Adult Learning Service has come forward at the Dolphin Shopping Centre and subject to the relevant planning approval and with excellent public transport routes would be ideally located for the service users.</p> <p>Housing options for the Oakdale site will be brought forward when developed.</p>
Recommendations	<p>It is RECOMMENDED that Cabinet:</p> <p>(a) Considers the options set out in the Oakdale Learning Centre Options Report (Appendix 1), to build a new learning centre on Site 2 (or alternative site), and releasing Site 1 for residential housing, to be unaffordable at this time.</p> <p>(b) Approves the relocation of Skills & Learning to premises in the Dolphin Centre on a 10 year lease with no break clause.</p> <p>c) Approves a £920k increase in capital investment programme for adaptation work at the new Skills and Learning premises, on the basis that prudential borrowing repayments will be charged to the Skills and Learning service.</p> <p>d) Accepts a contribution of £400k from Legal and General towards the cost of £920k adaptation works.</p> <p>e) Notes the resulting £123k revenue pressure on the Council's Medium Term Financial Plan for loss of annual Service Charge</p>

	<p>income from the Skills & Learning service.</p> <p>(f) Delegates authority to the Corporate Property Officer to agree the detailed terms of the lease and all associated documents in liaison with the Section 151 Officer, Monitoring Officer and the relevant Portfolio Holder/(s).</p> <p>g) Notes that a further paper on housing options at the Oakdale site will be brought forward in due course.</p>
Reason for recommendations	<p>To improve access to employability and enterprise skills, Maths, English, vocational and digital skills, a Job Club, well-being and professional development for unemployed and underemployed people and those with the greatest barriers to learning and work.</p> <p>To enhance the vibrancy of Poole Town Centre with a dynamic and modern Skills campus likely to attract more passing footfall and increasing awareness of the service among residents and business.</p> <p>To relocate the service with a reduced overall space requirement having considered the impact of Covid-19.</p> <p>To ensure the council deliver on the 'Promoting Lifelong Learning' objective of the Fulfilled Lives, Brighter Futures and Connected Communities corporate plan by maintaining the delivery of adult community education in Poole.</p> <p>To resolve the council's increasing essential maintenance and repairs costs for the Oakdale Centre and register Skills and Learning's need for suitable alternative accommodation.</p> <p>To release land for residential development in the Oakdale ward as identified in the local plan.</p>
Portfolio Holder(s):	Councillor Nicola Greene – Covid Resilience, Public Health and Education
Corporate Director	Bill Cotton – Director of Regeneration and Economy
Report Authors	Chris Saunders/ Lesley Spain
Wards	Oakdale; Poole Town;
Classification	For Decision

Background

1. Skills and Learning provides employability, vocational, well-being and leisure learning opportunities for over 5600 learners and 130 employers operating from over 60 sites across Dorset with the Oakdale Centre being the busiest of these. The provision of learning opportunities for low skilled adults and people in jobs without training: reduces unemployment and economic inactivity, improves productivity, extends working lives, increases progression into well paid jobs, improves health & mental ill health, social mobility and community cohesion.
2. The Adult Skills and Learning service has its own governing body made up of Council members and officers from across BCP Council and Dorset Councils together with staff and several external appointments.
3. The service has a budget of £4.5m for the academic year 2020/21. £4.1m is generated from Education Skills Funding Agency grants and the remainder from learner and employer fees. The service operates at nil cost to the council and pays £500k for support services which includes £123k for the use of the Oakdale Centre site.
4. In August 2020 the Council's Corporate Property Group reviewed the Full Business Case Options Report and agreed a recommendation to Cabinet that the £7.396m preferred control option new build learning centre scheme was unaffordable at this time. It was agreed to progress the alternative option for relocation of the service to an alternative site and release both Oakdale sites 1 and 2 for housing.

Oakdale Centre

5. Oakdale is the customer service and business support headquarters and critical to the performance of the service. Accommodation includes a main reception and café; 5 classrooms; 2 IT suites; 3 hairdressing & beauty studios; an art room and office space for desk-based staff. It accommodates 2000 learner enrolments per year attending 13,000 timetabled course hours. In addition, there are 500 hours of related activity including exams, awarding body visits, meetings, CPD training, interviews, course break out rooms etc. There are 40 full time and part time core staff operating out of the centre.
6. The centre also hosts the Oakdale Residents Community Association (ORCA), a small volunteer run membership-based community group who occupy an office, storage area and a part time community café (Acorns) within the current learning centre. The centre also accommodates around 70/80 workforce development courses each year, delivered by the Social Care Learning & Development Team. Dorset HealthCare University NHS Foundation Trust undertake client interviews for their PPED Steps 2 Wellbeing programme – these are delivered across 3 days a week using the Centre's interview room – and Ansbury who deliver Careers Advice to the unemployed.
7. The centre is situated across two sites, the larger (Site 1) adjoins the A35 Blandford Road and contains the current main learning centre, and the smaller (Site 2) contains temporary classrooms and car parking. Together Sites 1 and 2 have a gross developable area of 0.78 Ha. The buildings are in urgent need of essential maintenance works with £748k of immediate works now required, with an additional £350k over the next 15 years to ensure the service is being provided in a safe

environment. The Horsa cabin on Site 2 is dangerous and needs to be demolished imminently, having been constructed in 1948 with an estimated 40-50 year life span. The porta cabins also on Site 2 are not fit for purpose, having only been added in 2009 as a temporary measure, and with a life span of 10 years. The essential maintenance and repairs costs estimated on site are in excess of the costs of relocation and are subject to availability of replacement parts. As the building is now 112 years old (constructed in 1906), there is increased risk the costs of these will accrue the longer the building is left to operate.

Oakdale Outline Business Case and Full Business Case

8. An Outline Business Case to appraise options for site redevelopment was completed in 2018 (Appendix 2) and the decision made to progress to Full Business Case for detailed design options for a new learning centre build on Site 2 (to RIBA Stage 2) and costs (RICS Formal Cost Plan 1), (minus the site abnormalities) and residential housing on Site 1. Transferring the location of learning centre from site 1 to site 2 releases the larger site 1 for residential housing development and car parking for 60 units. The Full Business Case Options Report (Appendix 1) was completed and appraised by the Oakdale Steering Group in March 2020. The following report extract presents the options as follows:

	Option	Footprint (sqm)	Cost (m)	Parking spaces
Derby's lane site 2	Preferred Control option – 2 & 1 storey	1699	£7.396	53
	2 storey	1739	£7.405	59
	3 storey	1732	£7.644	59
Alternative site (exc' land & site specifics)	2 storey	1739	£8.170	70
	3 storey	1732	£8.245	70

9. In 2018 officers submitted a £4.3m bid to Dorset Local Enterprise Partnership pipeline funds for the preferred split site scheme (housing on site 1 and new build learning centre on site 2). This bid was unsuccessful.

Housing

10. The Oakdale sites are located in a highly populated area where there is little land available for the development of additional housing. A development would provide additional housing in a very sustainable location close to the town centre with good transport links. In the Poole Local Plan, the sites are identified as having potential for a mixed-use development in PP9 site reference U9, incorporating 60 housing units. The Poole Local Plan is based on the EASTERN Dorset Strategic Housing Market Assessment 2015. This identifies need for 710dpa. The policy makes clear that the site could accommodate around 60 homes alongside re-provision of the Adult Education Centre and other community uses. The 60 units specified is a

minimum figure and does not prohibit a higher number being achieved with an appropriate design.

11. If a suitable alternative site is agreed for Skills and Learning, this will free up both Sites 1 and 2 for housing. Based on the figures from the OBC, a total of £2.6m could be generated from housing for Site 1 and Site 2 if through a housing association and achieving 100% affordable housing, or potentially £2.4m from market sale of the land and achieving 40% affordable housing.

It is proposed that a supplementary report be brought to Cabinet/Council in due course, presenting a refreshed financial review of the sites and housing development options.

Skills and Learning Relocation Dolphin Centre

12. In planning for the future, the service has acknowledged the situation posed by Covid-19 and reviewed the classroom and office space requirements for a new learning facility. It has responded by migrating 38% courses to distance/e-learning courses and will continue to offer more wholly online or a 'blended' mix along with face to face tuition, giving learners the opportunity for increased flexibility and choice.

However, many specialist and license to practise subjects such as Beauty, Hairdressing, Counselling or Art & Craft, Employment Support courses require a classroom environment. In addition, many people with low level basic and digital skills and those from disadvantaged groups (long term unemployed, mental health, learning disabilities) require human interaction and Learning Support staff working alongside them.

13. A second bid was submitted to Dorset LEP in June 2020 for £950k Pipeline Project funding to support the costs of a service relocation and alterations to 6 retail units in the Dolphin Centre, however this bid was also unsuccessful.
14. Negotiations have taken place with the owners Legal and General, to determine the costs of Skills and Learning relocating to 6 units along the landing of the Dolphin Centre. The location meets the minimum site requirements for a service relocation i.e a multi-use site based in Poole on a public transport route, access to car parking spaces, 1000 – 1500 sq m, DDA compliant, sufficient toilet facilities including staff toilets and a safe, modern, bright, climate controlled environment.

Draft plans for the 6 units will accommodate 8 classrooms with IT equipment for employability, Job Club, vocational qualifications, digital, professional development, English, Maths and well-being courses including 2 large specialist rooms for beauty, massage, nail technologies, hairdressing and barbering. The design includes a reception and communal area, toilets, staff and storage areas.

Benefits

15. Estimated essential maintenance and repairs works at the current Oakdale Learning Centre over 10 years are around £1m – which is higher than the initial costs of the £750k relocation to the Dolphin Centre. These are purely essential maintenance

costs, and do not create the modern learning facility that can be achieved from a relocation to a new site.

16. Other benefits include:

- energises the town centre with a dynamic and vibrant modern Skills Shop campus likely to attract more passing footfall
- increased Skills and Learning 'brand' awareness, promotional opportunities and public perception of higher quality services
- provides accessible employability and enterprise skills, maths, English, vocational and digital skills, a Job Club, well-being and professional development training for un/underemployed people and those with the greatest barriers to learning and work
- provides opportunity to develop links with town centre businesses to progress learners into jobs or work placements or volunteering
- increased income from full cost courses in a professional and industry standard training venue that would appeal to employers and businesses
- increased centre occupancy rates in the region of 95%
- potential growth in enrolments by 30% increasing social return on investment
- more sustainable and efficient operations in a newly adapted town centre building

17. The available space in the Dolphin Centre does not accommodate all arts and leisure provision currently delivered from Oakdale. Alternative delivery sites have been identified including The Spire, St George's Church, The Lighthouse, Upton House and Poole High School. The service will need to arrange storage facilities for equipment/stock, exam tables, archiving utilising council sites.

Oakdale and Poole Town Ward Councillors have been consulted and are supportive of the service relocation. Ensuring accessibility to art and leisure provision is a concern and will be included in curriculum planning. Oakdale Councillors are positive about the opportunity to regenerate the area with a new housing scheme and any opportunities for integral community facilities.

18. Up to 40 staff worked out of the Oakdale Centre prior to the lockdown and move to homeworking. The majority of staff have welcomed the Smarter Working policy and working from home will continue to be the preferred method. However, some touch down desk space will be required in the Poole Central Library and Children's Centre office areas to accommodate visiting staff carrying out quality monitoring and facilities management. The service has additional offices at Bournemouth, Ferndown, Christchurch and Blandford learning centres.

Financial options, implications and risks

19. Legal and General are keen to accommodate Skills and Learning in the town centre and have offered the Council two 10 year rent free lease options with incentives, subject to contract and final board approval:

Option A - £250k towards the estimated £920k adaptation and design costs for the adult learning centre in the Dolphin Centre. This is based on 10 year rent free lease with a tenant's only rolling break at Year 5.

Option B - £400k towards the estimated £920k adaptation and design costs for the adult learning centre in the Dolphin Centre. This is based on a straight 10 year rent free lease a straight with no break clause. (Preferred option)

Option B is the preferred option as it provides greater third-party financial contribution towards the cost of service relocation. The Council acknowledges that this commits the service to the Dolphin Centre site for 10 years, but notes that the likelihood of the Service seeking to relocate again within the next 10 years is low. Additionally, the Service would retain the right to assign or underlet the lease before 10 year expiry if required.

20. The Skills and Learning service currently pay the Council £123k p/annum for the use of the Oakdale Centre. This covers essential maintenance, repairs and cleaning at the Oakdale Centre which will now have to be borne by the Council's General Fund. Specific financial provision will have to be made by the Council for this in the medium-term financial plan. Based on proposed timeline for works and planned post July 2021 relocation date, the Council will continue to budget £31k for the first quarter of the annual service charge in 2021/22. The resulting revenue pressure for the General Fund in 2021/22 is therefore £92k, increasing to £123k from 2022/23 onwards.

The Skills and Learning service would repurpose the £123k currently paid to the General Fund to cover anticipated spend at the Dolphin Centre, as outlined in the table below.

Relocation to Dolphin Centre: annual service costs	£000
Dolphin Centre rental charge (rent free for 10 years)	0
Dolphin Centre service charge, rates and insurance costs (estimate)	72
Dolphin Centre cleaning costs (estimate)	10
Additional room hirings for leisure, arts, crafts, well-being and fitness courses (estimate)	40
Sundries	1
Total	123

21. The Skills and Learning service estimates the total cost of relocation from Oakdale to the Dolphin Centre to be £950k. This covers design fees, adaptation work to 6 Dolphin Centre units, 20% contingency (to cover additional unforeseen costs and risks of price increases from Covid 19), and new fixtures and fittings (in addition to those removed from Oakdale). This investment will result in access to a new fit-for-purpose asset with a minimum 10 years life (aligned with length of initial lease).

It is recommended that the council accepts the lease Option B (10 year rent free lease with no break clause). The Skills and Learning service would then benefit from a £400k contribution towards adaptation capital outlay at the Dolphin Centre from Legal & General. Figure 1 below details capital outlay anticipated along with proposed funding sources.

Figure 1 – costs of Skills and Learning service relocation

Relocation of Skills & Learning from Oakdale to Dolphin Centre, Poole		£000
Architects fees	estimated to be incurred pre March 2021	25
Adaptations to 6 Dolphin Centre units	estimated works delivery April to June 2021	700
Professional fees & contingency	@ 20% of works costs - mitigate unforeseen spend / impact of Covid 19	145
Fixtures and Fittings	new fixtures - in addition to FFE relocated from Oakdale	50
Gross Capital Outlay		920
Removal costs	revenue spend - includes hire of temp external storage crates	30
Total costs of relocation		950
Skills & Learning 2020/21 budget		(25)
L&G - contribution to capital outlay		(400)
Skills & Learning Reserve - removal costs		(30)
Prudential borrowing		(495)
Funding identified		(950)

22. CIPFA accounting standards permit the capitalisation of all direct costs attributable to the establishment of a new asset. Cabinet approval is required to increase the Council's General Fund capital programme by £920k Dolphin Centre adaptation works. These capital works will be funded from a combination of Prudential borrowing (£495k), third party contribution (£400k from Legal & General), and Skills and Learning 2020/21 revenue budget (£25k).

In addition, removal costs of £30k are estimated. As these are not capital expenditure, they cannot be funded from prudential borrowing. It is therefore proposed the Skills and Learning service reserve balance is used to fund £30k removal costs.

23. The use of £495k prudential borrowing for the capital elements of the scheme will result in an annual borrowing repayment (principal and interest) of £55k over 10 years commencing 2022/23. It is proposed that this cost is recharged to the Skills & Learning service, to be managed within annual Skills and Learning revenue budgets. As borrowing costs will ultimately be funded by the Skills and Learning service as opposed to General Fund, the actual PWLB 10 year borrowing rate of 2.02% has been used to calculate interest on borrowing, in preference to the BCP Invest to Save low risk rate of 3.5%.
24. Skills & Learning Reserve - The service has ringfenced reserves to cover budget pressures that may arise as a result of changes to ESFA funding policy. A proportion of the reserve is earmarked to cover the impact of Covid-19 and increased pensions costs in 2019/20. Further potential utilisation is anticipated to offset any shortfall in fee income as a result of lower uptake of courses in the new academic year. The funding proposal for the Skills and Learning service relocation outlined above assumes immediate utilisation of £30k of the reserve to fund the revenue costs of removal. The residual Skills and Learning service reserve will remain available each year for the Skills & Learning service to draw upon to support its annual revenue budget if required. Forecast Skills and Learning Reserve (after allowance for Covid 19 and £30k removal costs) remaining is around 9% of annual forecast income. This is a financially prudent level of reserve, given current market conditions.

25. As the Skills and Learning service is a Dorset-wide service, the proposed funding model also ensures that all stakeholders contribute to the cost of service relocation (through repayment of borrowing and use of shared Skills and Learning service reserve).
26. VAT implications have been considered and, based on the partial exemption projection, there should be sufficient headroom allowing to reclaim all VAT incurred on relocation cost. Annual service cost would also be fully absorbed and despite the fact that the level of “exempt” VAT will directly impact the partial exemption threshold the limit would remain below 5%.
27. The Skills and Learning service is also exploring the potential for Dorset Local Enterprise Partnership (DLEP) funding as a potential additional funding stream for capital expenditure. In doing so, Officers are mindful of the potential need to spend any such funding by 31 March 2021.
28. Once the Skills and Learning service is relocated to the Dolphin Centre, the Council will be able to progress with development of the Oakdale site. This has the potential to generate additional future capital receipts for the Council’s use.

Financial risks

29. The financial risks associated with the proposal are to be managed by the Skills and Learning service, and not the Council’s General Fund. That said, initial cost estimates are further supplemented by 20% contingency for professional fees and contingency, which should mitigate the risk of unbudgeted capital outlay.
30. The Skills and Learning service are expected to manage the costs of borrowing repayments and the 2020/21 design related adaptation spend (£25k architects fees) from within revenue budgets. The Service is confident this can be managed by active management of course delivery and uptake throughout the financial year.
31. The Skills & Learning service will retain access to the Skills & Learning Reserve (a discrete reserve consisting of accumulated revenue surpluses built up by the service in previous years) to support the revenue budget where required.
32. Planning permission is yet to be obtained for the Dolphin Centre adaptations. Lengthy delays to receiving planning approval may increase the risk of capital funding contribution from Legal & General being withdrawn as a result of a lost confidence in delivering the proposed arrangements.

Value for Money

33. The proposal will require the investment of £550k public funds (£920k capital outlay + £30k removal costs - £400k third party contribution) into Skills & Learning service relocation. The investment will, however, result in a modern fit-for-purpose facility through which the Service will be delivered for the 10 year lease term.
34. Public funds in excess of £1m would otherwise have to be invested in the current Oakdale site to cover essential repair work. This is in excess of the estimated cost of service location.
35. The proposal also facilitates development of the Oakdale site into new housing, which would generate new capital receipt for the Council.

Other issues associated with the relocation

36. The outcome of a 'Change of use' planning application for the conversion of retail units to education use. Initial pre application discussions have been positive with the move towards increasing footfall into the town centre as a visitor experience. A planning application is underway.
37. Learners attending courses by car would incur parking costs. The service would promote the council's sustainable travel policy and encourage the use of public transport post covid. Learners on low incomes can apply for financial support to cover their costs of travel and parking. Learners are reimbursed from the Discretionary Learner Support Funds allocated to Skills and Learning.
38. The impact of future town centre developments. The Council would need to be reasonably confident that any plans for the Town Centre development do not impact negatively on the service and council investment in the medium to long term.
39. The Oakdale Residents Community Association café, office and storage facilities, are currently based in the Oakdale Centre. The Oakdale Library has potential to accommodate some of the functions however further consultation with ORCA is required to assess the needs of their operating model.
40. The avoidance of disruption to courses from building failure or relocation is paramount to achieving the grant payments of courses and avoidance of reputational and cost impacts. It would create a risk to the continued provision of some or all of the funding from the ESFA. A lower grant claim in one year would result in the grant(s) being rebased to a lower amount for the following year onwards.

Summary of legal implications

41. Canford Estate covenants restricting the Oakdale land to education use are in place and will need releasing or appropriation may instead be feasible. The cost for overturning the covenant would be included in a Housing project.
42. Corporate Estates were consulted throughout the Outline Business Case feasibility study. The title deeds for the land have been documented and checked. There is a section of unregistered land, which sits at the front of the current learning centre and was believed to be a historic vision splay – this has now been registered. There are some title constraints that are not insurmountable.

The public open space outside of the site is not permitted to be developed upon within the Local Plan unless the loss of this greenspace can be situated elsewhere.
43. A planning application for change of use from shops E(1/2/3) to non-residential education F1(a) is required. Relocating adult learning to the empty units complements the vision aspirations for the town centre as a destination and provides accessible learning opportunities within the Town Centre ward.

Summary of human resources implications

44. An initial consultation with staff is underway. The plans do not have any impact on volumes of staff required. Staff have welcomed the Smarter Working Policy and working from home will continue to be the preferred method. Staff will need to be

flexible about their work space working at home or the alternative Bournemouth, Christchurch, Ferndown and Blandford learning centres. The service is working with Poole Libraries to allocate touch down spaces for staff needing to visit the Dolphin Centre operations.

Customer Services staff and Tutors working out of the centre who park their cars nearby, will incur parking charges that they did not incur at the Oakdale Centre. The service will promote the council's sustainable travel to work policy; however the service will review the policy on staff parking permits.

Summary of sustainability impact

45. The proposal contributes well to reducing the council's carbon footprint. The Oakdale Centre is an inefficient 100 year-old building covering 1862sqm across the two sites. The rooms are predominantly ground floor with external walls and many have single glazed windows.

The Oakdale Centre currently has 8 offices for approximately 40 staff who work out of the centre. The implementation of the Smarter Working Policy removes the requirement to provide this scale of accommodation reducing the associated heating, lighting, cleaning and utilities costs.

Summary of public health implications

46. The perception of anti-social behaviour around the bus station area may have a potential impact on both enrolments (particularly evening) learner and staff welfare. The service will work with Town Centre Management and the police to address concerns.

Access to well-being courses improves the mental health of people with mild to moderate anxiety and/or depression. The service participated in the national Community Learning Mental Health pilots in 2018 which showed that over 49% of learners reported improved confidence and positive thinking as a result of attending their course. 29% of participants reported improvements in their symptoms of depression and 39% reported improvements in their levels of anxiety.

Summary of equality implications

47. The service equalities impact assessment has been reviewed in light of a service relocation to the Dolphin Centre. Staff who need to be centre based are generally earning lower incomes e.g. Customer & Business Support Officers and Variable Hours Teaching & Learning staff. These staff will incur parking charges therefore the service will review the policy on parking permits for those most affected.

Summary of risk assessment

48. The proposal assumes there is no objection to the planning application for the change of use from retail to education. Pre app discussions with planning officers have been positive. Work is underway on the application.

49. The Oakdale Residents Community Association and Social Services Training Team operations will be displaced by a change in use of the site. The Council will work with ORCA on their relocation including a review of facilities in Oakdale Library.
50. Skills and Learning business continuity and the avoidance of disruption to courses from building failure, refurbishment or relocation is paramount to achieving the grant payments of courses and avoidance of reputational and cost impacts. Disruption in course delivery would create a risk to the continued provision of some or all of the funding from the Education Skills Funding Agency. A lower grant claim in one year would result in the grant(s) being rebased to a lower amount for the following year onwards.
51. The Skills & Learning service would need to be fully operational at the Dolphin Centre by September 2021 at the latest. This means Council approval is needed by early 2021 at the latest in order for the new location to be included within course publications / brochures print deadlines in April 2021.
52. In endorsing the proposed service relocation to the Dolphin Centre, Members would also need to be satisfied this would provide no barrier to wider longer-term aspirations for Poole Town Centre redevelopment.

Background papers

None

Appendices

Appendix 1

Oakdale Learning Centre Options Report (Confidential)

Appendix 2

Oakdale Centre Outline Business Case

Appendix 3

Oakdale Site 1 and site 2 plan

By virtue of paragraph(s) 3 of Part 1 of Schedule 12A
of the Local Government Act 1972.

Document is Restricted

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Borough of Poole

Outline Business Case

Oakdale Learning Centre

Version:
Date Of Issue:
Author:

V8.0
December 2018
Cally Barnes

1. DOCUMENT DISTRIBUTION

This is a controlled copy document

Name	Job Title / Role	Action Required
Cally Barnes	Project Manager	

2. DOCUMENT VERSION CONTROL

Version	Date	Amended By	Summary Of Change
v1.0	18.10.2018	Cally Barnes	First draft submitted to project team for review
v2.0	23.10.2018	Cally Barnes	Second draft for project team to review
v3.0	26.10.2018	Cally Barnes	Amends following review
v4.0	30.10.2018	Cally Barnes	Amends following first draft discussion
v5.0	07.11.2018	Cally Barnes	Amends following discussion with SRO
v6.0	08.11.2018	Cally Barnes	Amends made following covering report discussion
v7.0	10.12.2018	Cally Barnes	Sections amended to reflect decision of covering report
v8.0	21.12.2018	Cally Barnes	Appendix references removed

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DEFINITIONS

HORSA	Hutting Operation for the Raising of the School-Leaving Age
ESFA	Education and Skills Funding Agency
Ofsted	Office for Standards in Education
ORCA	Oakdale Residents Community Association
OJEU	Official Journal of European Union
LEP	Local Enterprise Partnership
NPPF	National Planning Policy Framework
LGR	Local Government Reorganisation

3. EXECUTIVE SUMMARY

3.1. Purpose

The preparation of an Outline Business Case was approved in March 2018 to determine the feasibility of building a new learning centre, and housing on two adjacent sites in Oakdale. Currently the larger (site 1) adjoins the A35 Blandford Road and contains the current learning centre, and the smaller (site 2) contains temporary classrooms and car parking, used to support delivery of the service in the learning centre. Together they have a gross developable area of 0.78 Ha.



3.2. Background

Skills and Learning is the largest adult and community learning provider in Dorset, Bournemouth and Poole. It is managed by the Borough of Poole within the Culture and Community Service unit. The service headquarters are at Oakdale; the busiest of 7 main locations for the delivery of the service across Dorset. The service supports the delivery of the Council's priorities for economic development, community, and residents health and well-being, and it is currently provided at nil cost to the council.

The current learning centre is located on site 1, with the service also being provided through the use of porta cabins (in blue) on site 2, and a HORSAs building as storage (yellow), site 2.

ORCA also currently use some areas of the current learning centre, but the Borough of Poole do not have a legal obligation to provide space for them going forward.

3.3. The Needs and Issues

Oakdale Learning Centre Condition

The HORSAs building is being used for storage only, due to lack of space within the main centre. Property services have advised that the HORSAs building needs to be demolished as soon as possible – it has asbestos in the roof which has become displaced following previous strong winds, and it cannot be refurbished due to the asbestos. The porta cabins are beyond life expectancy and were only provided as a temporary measure in 2009. These only have an estimated two year life span left. The learning centre itself is not fit for purpose and is overdue essential maintenance which currently equates to £485k of immediate works required, and an additional £300k over the next 20 years. These are purely essential maintenance costs, and do not achieve a refurbishment of the centre, which is what the centre needs. If nothing is done bar essential maintenance of the learning centre, the service will lose space of around 322sqm through the loss of the HORSAs building and porta cabins.

Housing

The Borough has requirements relating to the housing need which are currently being considered as part of the proposed Local Plan. Site 1 is considered suitable for housing development alongside retention of the learning centre. The emerging Poole Local Plan proposes to allocate the sites for a mixed use development comprising new learning centre and housing. Housing options are therefore being considered alongside the need for a new learning centre.

Continuity of Service Provision

Any interruption to the service from building failure would create an urgent situation with high reputational and cost impacts. Any break to the service provision for construction would impact adversely on current learners and opportunities for future skills development and create a risk to the continued provision of some or all of the funding from the ESFA. If the essential maintenance of the learning centre is achieved but no replacement of the space used through the HORSAs and porta cabins, then learning activity and current funding available through ESFA will be reduced indefinitely.

The risk of doing nothing

The risk of doing nothing must also be considered with the following possible consequences: large sums of money are continued to be spent on the learning centre in trying to keep it in working order, however the prediction is that the building is on an unknown timescale before it is declared unsafe, and the service will cease to operate due to no alternative options to deliver the service identified.

3.4. Indicative Programme

An indicative programme based on option 1 has been completed.

3.5. Decisions Required

Following completion of the Outline Business Case and the funding gap exhibited, approval is sought to conduct a Full Business Case with the aim of reducing the funding gap on the preferred option (using the current Oakdale site 2).

3.6. Risks and Mitigations

The project will maintain a full risk register with clear ownership for actions to mitigate those risks.

3.7. Conclusions and Recommendations

The options appraisal and subsequent Outline Business Case detail the feasibility of building a new learning centre on site 2, and housing on site 1. Through the initial feasibility study, a funding gap was identified. This caused the project team to look into alternative options, and an alternative option 2 is detailed throughout the Outline Business Case. Option 2 involves refurbishment of the current learning centre and removing the HORSAs and porta cabins, and building housing on site 2. Both options still pose a funding gap, although the gap has been reduced in option 2. Further feasibility on option 1 could potentially reduce the funding gap through: modifying the learning centre design, determining additional/alternative funding options, modifying the housing design, and reducing cost for associated infrastructure.

4. BACKGROUND

Skills and Learning is the largest adult and community learning provider in Dorset, Bournemouth and Poole. It is managed by the Borough of Poole within the Culture and Community Service unit. It provides training and learning opportunities for over 5600 learners and 130 local employers to improve the skills, employability and well-being of our local communities. <http://www.skillsandlearningbdp.co.uk/>
The service operates from over 60 sites across Dorset, with 7 main locations and Oakdale being the busiest of these.

The service provides accredited and non-accredited programmes in English, Maths, ICT, Employability, Business Administration, Health & Social Care, Customer Service, Management, Bookkeeping, Counselling, Supporting Teaching & Learning in Schools, Teacher Training, Personal & Professional Development GCSEs, Languages, Hair, Beauty & Therapies, Arts & Crafts, community learning & engagement. 'Train & Grow' programmes – (CPD and mandatory trainings), E-learning, Apprenticeships and Traineeships, 'Ready 4 Work' programmes, 'Living Well' (mental health recovery workshops), community engagement programmes & projects, Services to Business, 20+ Job Clubs across Dorset.

Quality Assurance: Ofsted (Grade 2, 2017), Matrix Accredited (2017) for Information, Advice and Guidance. Approved centre for 11 awarding organisations including C&G, OCR, AQA, NCFE, ILM.

Skills and Learning has a budget of £4.5m for the academic year 2017/18. £4.1m is generated from ESFA grants and the remainder from learner and employer fees. The service operates at nil cost to the council and pays the council for support services and use of the Oakdale site.

Oakdale is the service headquarters and is a very well used learning location critical to the performance of the service. The buildings are considered inadequate to the needs of a modern learning service with no scope to develop additional services.

The ORCA is a small volunteer run membership based community group who occupy an office, storage area and a part time community café (Acorns) within the main building. A peppercorn rent and small apportionment of service costs are paid by ORCA to skills and learning. ORCA has provided the ideal requirements for the new building to ensure they are able to carry out their function.

In addition to ORCA, the Centre hosts around 70/80 workforce development courses each year, delivered by the Borough's Social Care Learning & Development Team. The Service also works with the Dorset HealthCare University NHS Foundation Trust who undertake client interviews for their PPED Steps 2 Wellbeing programme – these are delivered across 3 days a week using the Centre's interview room – and Ansbury who deliver Careers Advice to the unemployed.

5. THE NEEDS AND THE ISSUES

5.1. Needs

Learning Centre

The headquarters for skills and learning provision is at the learning centre, Oakdale. The current building is not fit for purpose and requires immediate refurbishment works which are now overdue, as advised by property services within the Borough of Poole. The HORSIA building is being used for storage but was previously also used for exams when there was no available space within the centre. As the building can only be used for storage now, this is causing an additional strain on space to deliver the service. There is asbestos within the roof and it has been deemed extremely dangerous and not fit for refurbishment, and should be demolished immediately. The porta cabins are also requiring maintenance, although these were initially installed as a temporary measure in 2009. The skills and learning provision is still widely used, and therefore the proposal for this project is to ensure the continuation of this service provision.

In planning for the future, the service recognises the need to adapt its services within a changing environment. It is responding to this challenge by offering distance/e-learning courses both wholly online or as a 'blended' mix along with face to face tuition, giving learners the opportunity for increased flexibility and choice. However, many subjects such as Beauty, Hairdressing, Counselling, Art & Craft and Employment Support courses require a classroom environment. In addition people with basic skills needs and disadvantaged groups (long term unemployed, mental health, learning disabilities) require human interaction in a classroom space. Skills & Learning are adept at encouraging the lowest qualified and those with learning disabilities or difficulties into learning and addressing social isolation. These individuals need face to face support within a learning centre and many require Learning Support staff working alongside them. Accordingly, whilst extending online courses, the service anticipates that over the long term this will not exceed 10-15% of their delivery. In contributing to the specification and design requirements, the

service will ensure a new centre is a flexible space that can be readily adapted to meet evolving technological and learning trends.

ORCA is holding over following the expiry of their lease meaning that there is no legal or statutory obligation to provide accommodation for them. Ward Members have requested that options are explored for retaining some flexible community meeting space in the replacement facility that might meet the needs of ORCA and other local groups.

Skills and Learning have consulted with ORCA to establish their needs. Both parties agreed on the principle of using shared spaces wherever feasible particularly the use of a larger space for well-being activities. ORCA's requirements have been considered when looking at the design of the new build, however in order to reduce costs and any funding gap for the project, ORCA's requirements will be in line with Skills and Learning, through the use of shared space.

Housing

The Borough has requirements relating to housing need which are currently being considered as part of the proposed Local Plan. The location of the sites is considered suitable for housing development alongside retention of the learning centre. The emerging Poole Local Plan thereby proposes to allocate site 1 for housing, and site 2 for the new learning centre. Housing options have therefore been considered along side the need for a new learning centre.

5.2. Issues

The following issues have to be considered in any proposal taken forward.

Learning Centre Condition

Currently there is no 'do nothing option'. The buildings are in such a dilapidated state that they are in urgent need of essential maintenance works in order to ensure the service is being provided in a safe environment. The HORSAs cabin is dangerous and needs to be demolished imminently, having been constructed in 1948 with an estimated 40-50 year life span. The porta cabins are also not fit for purpose, having only been added to the site in 2009 as a temporary measure, and with a life span of 10 years. The essential maintenance costs are subject to availability of replacement parts, and as the building is now 112 years old (constructed in 1906), there is increased risk the costs of these will accrue the longer the building is left to operate. The service is also operating at a nil cost to the council, and providing benefits to the council. If the building is not available for use/alternative provided, the service will have to cease.

Continuation of Service Provision

The ESFA methodology for grant funding Skills and Learning is paid on a formula funding model based on a monthly profile, matched with individual learners achieving qualifications and/or participation in class contact hours. A reduction or break in course delivery hours would result in an underpayment against the maximum grant value which has been assumed as part of the services annual budget. This would also be the case should there be any significant withdrawal of learners from courses as a result of disruption to courses caused by relocation, noise, interference.

Currently Beauty Therapies and Complementary Therapies courses and exams take place in the studios located on site 2. There is a risk of noise disturbance affecting this provision as a result of any building works on the site.

The avoidance of disruption to courses is paramount to achieving the grant payments of courses. Any plans would need to be developed around avoidance of disruption to class contact. A lower grant claim in one year would result in the grant(s) being rebased to a lower amount for the following year onwards.

Requirement for additional housing

The learning centre is located in the centre of a highly populated area where there is little land available for the development of additional housing. As the two sites are currently being under utilised, this provides a site within which the BoP can provide additional housing in a very sustainable location close to the town centre with good transport links.

The lack of funding to realise a solution

A funding gap for this project has been identified through the feasibility, and a potential resolution has been disclosed within the covering report.

The risk of doing nothing

There is no, 'do nothing option'. The buildings are in such a dilapidated state that they are in urgent need of essential maintenance works in order to ensure the service is being provided in a safe environment. The HORSAs cabin is dangerous and needs to be demolished imminently, and the porta cabins are also not fit for purpose. This causes a strain on the service due to reduced space to operate. The essential maintenance costs are subject to availability of replacement parts, and as the building is now 112 years old, there is increased risk the costs of these will accrue the longer the building is left to operate. The service is also operating at a nil cost to the council, and providing benefits to the council. If the building is not available for use/alternative provided, the service will have to cease.

6. BUSINESS OBJECTIVES AND BENEFITS

The aspirations for the site at Oakdale is multi-faceted with the ambition to build a new learning centre whilst releasing land to achieve a corporate objective, relating to the development of housing that meets local needs.

6.1. Business Objectives

Skills and Learning Service

Skills & Learning offer courses in 7 main learning centres, of which Oakdale has the highest occupancy rate and learner numbers, and in community venues such as St Aldhelms School. The Oakdale Centre accommodates 13,000 programmed hours of courses in addition to 500 hours of ad hoc activity including exams, awarding body visits, meetings, CPD training, course break out rooms etc. There is 40 full time and part time core staff along with the ORCA service based in the centre. The Oakdale centre is the Skills and Learning customer service and business support headquarters accommodating: a main reception and café; 5 classrooms; 2 IT suites; 3 hairdressing & beauty studios; an art room and office space for desk-based staff. The centre has storage facilities for curriculum resources, finance and data, archives, IT equipment, art, craft and professional salon products.

The curriculum staff, facilities staff and customer services teams support the 100+ Teaching and Learning staff working in the centre delivering courses and exams and Information, Advice and Guidance from 9am -9pm Monday to Thursday, all day Friday and some weekends. This is in addition to classroom activity teaching and learning staff attend network meetings and annual mandatory training to meet Ofsted requirements. There is a high level of support and training associated with staff using IT equipment and operating the Virtual Learning Environment and managers monitor the quality of delivery through teaching observations, feedback and mentoring.

Learners can enrol on courses using on line, telephone or post channels however many people visit the centres to seek personal advice and guidance on their educational choices. As the service targets people with the greatest barriers to learning, including the unemployed, underrepresented groups and disadvantaged learners, the service receives daily referrals from JobCentre Plus, and other support agencies in the town.

The business objectives of this project are to ensure that this adult education service continues to be provided, in a fit for purpose building and in so doing enable the service to contribute towards government agendas of:

- Raising Productivity
- Tacking health & mental ill health
- Increasing Social Mobility
- Strengthening Community Cohesion
- Extending Working Lives
- Enhancing progression into well paid jobs
- Reducing unemployment and Inactivity

The scheme will support:

- 30% growth in adults retraining over 2 years
- 95% positive outcomes for learners: upskilling and increased productivity, improved leadership/management capacity, employment, promotion, progression into higher level courses eg Level 4 Management, work experience
- the development of minimum 60 (2/1 bed) housing units by 2021 creating construction jobs and apprenticeships
- a reduced carbon footprint and increased financial sustainability from fit for purpose and efficient retraining facility
- employers and the community access to a wide range of training and learning
- opportunities to improve skills, life chances and quality of life
- a gain for the local community through a welcoming and modern, Information hub and café, internet café, employer zone, careers advice and Job Club facility
- stakeholders (ORCA, Social Care Training Team, Dorset HealthCare University NHS Foundation Trust, Ansbury) retaining the ability to use rooms within the new centre
- increased local awareness of modern hairdressing and beauty facilities offering affordable services to local people
- the ability to support DLEP, Local Authority & Government priorities and an increase in Social Return on Investment

Housing

Alongside the business objectives of the adult education service provision, an opportunity to create much needed housing is realised, using the remaining site.

Poole (and East Dorset) have the smallest proportional housing growth since 2009, with around 2% increase in dwellings between 2009-2015. The skills shortage vacancies and hard to fill vacancies reported in Dorset (particularly Bournemouth & Poole) may reflect a lack of housing, as well as other factors. The projected growth in employment in three of the seven priority sectors identified by the LEP (care, retail & tourism - with lower wage rates, part-time/seasonal/temporary employment), will require housing that staff in these sectors can afford.

In support of the release of public sector land, the project has taken into account the emerging planning policy in the draft Poole Local Plan, which was endorsed for further consultation by Council. In the Draft Plan, the sites are identified as having potential for a mixed use development in PP9 site reference U9, incorporating 60 housing units. The emerging Poole Local Plan is based on the EASTERN Dorset Strategic Housing Market Assessment 2015. This identifies need for 710dpa.

6.2. Success Criteria

The new learning centre gives opportunity for a 'rebrand' resulting in new business from learners/employers. The new facility would be a dynamic and vibrant modern campus able to support 30% growth in learner numbers compared with current figures. The proposed accommodation plan predicts the future required capacity

reducing the need for additional external room hire, decreasing the service costs for delivering courses. The new centre will increase current occupancy IRO 90%.

There would be a predicted increase in positive outcomes for learners through progression into further courses, employment, volunteering, independent living, community cohesion and reduction in social/community isolation. There would also be increase in staff morale resulting from the ability to work in a fully functioning, safe and welcoming work environment. Success criteria in terms of financial sustainability for the council would be achieved through reduced carbon footprint from a new building that can operate more sustainably.

The new build would also accommodate ORCA activities using shared space with Skills and Learning, removing pressures on other sites to accommodate ORCA. The service would also continue to achieve or exceed grant targets.

Further success includes the delivery of housing to reduce the number of people locally who are currently deemed to be in need of housing, such as the homeless.

6.3. Direct Benefits

- Local community retains access to a wide range of learning opportunities to improve their life chances, and quality of life.
- Stakeholders (ORCA, Social Care Training Team, Dorset HealthCare University NHS Foundation Trust, Ansbury) retain the ability to use rooms within the new centre.
- The local community gain a welcoming and modern café facility and information hub.
- There is an increase in local awareness of modern hairdressing and beauty facilities that offer affordable services to local people.
- The Borough retain the financial contribution from Skills & Learning of £366,000 pa for central support charges, and £122,000 for rent
- Increase in service ability to support DLEP, Local Authority & Government priorities.
- Growth in participation demonstrates an increase in Social Return on Investment.
- Using the second site to accommodate the learning centre, means land is released through section 77 application to the Secretary of State, thus enabling the delivery of housing for local people.
- More local people housed within their local community; reducing costs relating to temporary housing costs for local families.

6.4. Indirect Benefits

- Increased 'brand' awareness, promotional opportunities and public perception of higher quality services.
- Increased income from full cost courses recruiting as a result of being placed in a more professional and industry standard training venue that would appeal to employers and businesses.
- Improved prospect of achieving an Outstanding Ofsted outcome.

- Improved staff morale.
- Improved appearance of professionalism.
- New households may make use of a new adult resource centre including supporting any community outreach focused through the centre

7. OPTIONS APPRAISAL

Background

During the initial stages of feasibility, a brief for the new learning centre was provided by Skills and Learning. The architect created high level designs, and the cost consultant indicative figures for the completion of the project based on this brief. These figures are inclusive of additional project costs such as external works, demolition and contingency. This, combined with the indicative funding figures provided by housing association, caused a funding gap.

It was decided then that alternative options for the two sites were to be considered in order to ensure that any possible way for reducing the funding gap was achieved. There was a plethora of different options looked into, and these were narrowed down to two, and an essential maintenance option for comparison.

- Option 1

Site 1	Site 2
60 housing units	New learning centre

- Option 2

Site 1	Site 2
Refurbishment of current building including new build	28 housing units

There are a number of issues that arise with the second option. Site 2 does not lend itself to a similar number of units; the approximate number of units at initial design is 28. This is due to the site being smaller, but it would also be subjected to stricter planning conditions with regards to storey height being limited to 2 storeys. Site 2 is not included for housing under the Local Plan. Option 2 does not provide a new learning centre, and instead refurbishes the existing. It does not achieve the transformational improvements in learning facilities described in 6, and therefore provides less benefit to the delivery of the councils economic development priority. It also does not include ORCA's requirements. During works on the learning centre for option 2, money would be spent on temporary classrooms to continue to delivery the service, on site 2. The money invested in temporary accommodation would not provide a benefit to the new learning centre. There is a risk to funding for both options should the service be affected through the works.

A summary of the options and their funding gaps are included within 10, and the full Options Appraisal.

Conclusion

The appraisal has determined potential alternative options to reduce the funding gap on option 1. The options appraisal is purely indicative at Outline Business Case stage, and further investigation would need to be conducted in order to determine whether the funding gap could be reduced further. For the preferred option, (1), the next stage may include: modifying the learning centre design, determining additional/alternative funding options, modifying the housing design, and reducing cost for associated infrastructure. This is with the aim of closing the funding gap.

Option 2 exhibits a less positive outcome when compared with option 1; however the funding gap in option 2 is considerably less. If neither option 1 or option 2 is deemed feasible, the risk to the operation of the service (and any future funding received by ESFA) is extremely high, as the space Skills and Learning currently used will be reduced by 322sqm to demolish both the HORSA and the porta cabins.

8. WHO BUILDS AND WHO OPERATES – THE DELIVERY OPTIONS

The two elements of this programme, the learning centre and the housing will be discussed separately.

Oakdale Learning Centre

There is one option related to the delivery of the learning centre

- The local authority procures and builds the new learning centre, and the service is provided by Skills and Learning as it currently is.

New local housing

There are a number of delivery options relating to the delivery of housing. Each of these options would need the viability to be tested thoroughly to understand which option would achieve both the delivery, and value for money

- The local authority seeks planning for the whole site including the learning centre. It tenders and oversees the build contract for the learning centre and then works in partnership with a local housing provider or Poole Housing Partnership to deliver the Housing.
 - The scheme could be 100% affordable
 - The scheme could be mixed tenure but achieving 40% affordable housing which would be policy compliant
- The local authority seeks planning for the whole site including the learning centre. It then tenders the site to the open market with a brief stating the delivery requirements of a new learning centre and 40% affordable housing on site subject to viability.

9. FINANCIAL ANALYSIS

9.1 Summary of Project Costs

A summary of indicative project costs for both the learning centre and the housing is as per the Options Appraisal.

9.2 Added Value to the Authority

Added value of adult learning service to the authority

The provision of learning opportunities for low skilled adults and people in jobs without training improves: the productivity of the labour market, the productivity of local businesses and the area as a whole. A higher skilled workforce supports increased income and better health and well-being outcomes for residents. The provision of learning and well-being opportunities is proven to improve: mental and physical health, social mobility, employment and promotional prospects, family relationships and children's attainment reducing dependency on public service interventions. There would be contribution towards local authority Strengthening Communities and Dynamic Economy corporate priorities, and towards Dorset Local Enterprise Partnership Skills Plan objectives. Increased participation and fuller classes would increase the Social Return on Investment through more learners achieving positive outcomes eg. jobs, independence, improved mental health and well-being.

The benefits are greatest under Option One.

Added value of additional housing to the authority

The council has a requirement to meet housing targets set out by the government in order to meet its local needs. There are currently over 1,000 households awaiting affordable housing via the Council's housing register including a number of statutory homelessness placements that the Council is required to meet. This project could provide an opportunity to deliver additional housing which contributes to the affordable housing supply.

Significantly more housing is provided under Option One

9.3 Procurement Options

Procurement options

The options surrounding procurement of the construction of the learning centre will be determined dependent upon the outcome agreed at Full Business Case. The Full Business Case will develop an indicative Procurement Strategy. The major stages for the project are as follows:

- Procurement of design team
- Submission of planning application
- Detailed design and Contract Particulars through RIBA stage 3 and 4
- Contractor procurement and award (for learning centre)
- Demolition of site 2
- Construction of learning centre on site 2
- Demolition of site 1
- Site 1 handed over for housing

This timeline shows tendering for the design team through an approved framework, and then procuring the contractor through an Open, OJEU compliant procedure. Once site 1 is available for the housing, a Procurement Strategy will need to be drafted in order that a contractor can legally and compliantly be awarded the work to deliver the

housing. A timeline for the completion of the housing has not been achieved at Outline Business Case stage.

10. BUILD/FUNDING OPTIONS

Build Options

If option 1 is delivered, the learning centre would be constructed following demolition of HORSAs and porta cabins on site 2, and upon completion the service could move into the new centre. Works can then start on the housing on site 2 following demolition. If option 2 is to be delivered, demolition of the HORSAs building and porta cabins would have to be achieved before refurbishment works could be carried out to ensure that the service is provided through temporary classrooms on site 2. Once the refurbishment works is complete, the service can resume in the refurbished centre, and the construction of the housing can begin on site 2.

Option 1 does not require the service to be provided through temporary classrooms. It is possible that some works can be carried out whilst the current centre is open, however this will not be determined until Full Business Case stage.

Housing Valuation

In order to determine the receipts generated by developing either site 1 or site 2 for housing, both housing association, and commercial property agents used the design information by the architect to estimate an income to the council, for the land.

The options available for both sites are:

- Funding (100% affordable - housing association)
- Funding (40% affordable - housing association)
- Funding (40% affordable - commercial sale of land)

Other funding options

Other funding options are contained within the covering report and include DLEP funding and prudential borrowing. There may also be other avenues for funding the project through the Local Government Reorganisation.

11. RISK MITIGATION

A risk register will be continually updated throughout the project.

12. STAKEHOLDER ANALYSIS

The project will require the support of, or have impacts on a range of external stakeholders and stakeholders within the Council. The feasibility study has consulted with relevant agencies and stakeholders including:

12.1 External Stakeholders

- The Education and Skills Funding Agency
- Dorset County Council
- Bournemouth Borough Council
- The Health and Safety Executive
- Social Services Training Team
- Contaminated Land Authorities
- Poole Housing Partnership
- Current and future students of the learning centre
- Current and future residents in Oakdale
- The Planning Authority
- The Transportation Authority
- The Environment Agency
- Owners and managers of nearby facilities, including the shops along Dorchester Road
- Local Media
- ORCA
- Potential development contractors
- Utility companies with apparatus on or supplying the learning centre and telephone and internet connectivity

During the early stage of the Local Plan review, officers engaged with residents on this site to consider views on a mixed use housing led redevelopment. 43 responses were submitted to the 2016 Local Plan consultation providing the following feedback; 23 respondents commented on the retention of community facilities / green space, 9 respondents commented on potential traffic impact, 7 respondents had concerns with potential overlooking from flats and 6 respondents commented on heritage impact.

Initial consultation has taken place with ORCA, and they provided a schedule of their space requirements to operate a lively community offer. These have been incorporated within the design, however if delivering option 2, there is no allowance for ORCA's requirements. Consultation with the Social Care Learning & Development Team would also need to be aligned with their annual training planning activity.

From 2019 Combined Authorities in receipt of the Adult Education Budget will receive Education Funding Agency capital grants via their Local Enterprise Partnerships. A capital bid for funding through the Dorset LEP has been submitted, the outcome will be determined in 2019.

12.2 Internal Stakeholders

- Skills and Learning
- Oakdale Centre staff
- Housing and Community Services
- Corporate Communications
- Corporate Procurement

- Legal and Democratic Services
- Financial Services – Estates
- Financial Services - Accountancy
- Financial Services – Property Management
- Council and Council Members
- Ward Councillors

All internal stakeholders have been consulted regularly throughout the Outline Business Case, and have provided necessary input to ensure the project feasibility is portrayed as accurately as possible.

13. CONSIDERATIONS

13.1 Legal and Estates

Estates have been consulted throughout the feasibility study. The title deeds for the land have been documented and checked. There is a section of unregistered land, which sits at the front of the current learning centre and was believed to be a historic vision splay – this has been requested to be registered by estates. The process can take anything up to 6 months. There are some title constraints that are not insurmountable.

The public open space outside of the site is not permitted to be developed upon within the Local Plan unless we can mitigate the loss of this greenspace elsewhere; therefore this has not been included within the designs.

13.2 Planning

The sites are not covered by any specific policy designation in terms of land use. The two most relevant policies in terms of principle are Core Strategy Policy PCS25: Safer Communities and DM2: Heritage Assets. Policy PCS25 seeks to prevent the loss of community facilities, which would need to be addressed by any proposal that proposed the loss of the Adult Education Centre. Policy DM2: Heritage Assets is a key policy as the existing Adult Education Centre is a Locally Listed Building, and therefore a designated heritage asset in terms of the NPPF. The NPPF and DM2 seek to retain heritage assets unless their loss can be outweighed by overriding public benefits.

The prospect of an enhanced adult education facility and affordable homes are considered to be important factors in favour of a comprehensive redevelopment of the site. Planning have been involved during the process of the feasibility study, and a pre-application has been submitted to mitigate potential risks should the project be approved post feasibility stage. The development would also need to comply with the Council's design policies to ensure an acceptable form of development can be achieved, and the project has taken into account the emerging planning policy in the draft Poole Local Plan, which was endorsed for further consultation by Council in July 2017. In the Draft Plan, the sites are identified as having potential for a mixed use development in PP9 site reference U9.

The pre-application focuses on the preferred option; whereby planning have agreed that the proposal has merit. This is based purely upon the feasibility study, and residents have not been visited and their properties assessed for implications if the proposal were to take place, therefore this is an indicative approval at this stage.

The draft policy makes clear that the site could accommodate around 60 homes alongside re-provision of the Adult Education Centre and other community uses. The 60 units specified in the draft Local Plan is a minimum figure and does not prohibit a higher number being achieved with an appropriate design.

13.3 Transportation

Transportation have advised that a development of 60-80 flats would generate less vehicle movements over a day than what is presently being observed on site 1. This would have to be determined through further surveys. There would also be highway safety gains in the proposal if the access to the flats is off the rear road (Darbys Lane) and the existing Dorchester Road access is closed off. In the pre-application the entrance to the new learning centre is currently too close to the signals, therefore if the development access is off Dorchester Road then Transportation would support the proposal, if this access is moved further east along Dorchester road. Transportation have also requested that a 0.8m wide strip of land along the Dorchester Road frontage be secured as Highway land for a potential future junction improvement scheme on Dorchester Road. This strip of land can remain as a landscape strip until such time as the junction improvement scheme comes forward.

Transportation have also advised that a minimum of 0.8 car parking spaces is required per 3 room unit, if the spaces are unallocated. This is the lowest size unit the parking policy includes. Therefore for every 1 bed unit, a minimum of 0.8 spaces will need to be provided. For every two bed unit under the Council's parking guidelines 0.8 parking spaces will be accepted if the units are open plan lounge/kitchen/dining (ie 3 room units), although 1 space per unit would be preferred. The 0.8 parking space ratio would again need to be unallocated parking. If any 3 bed units are included within the design, then the Council's parking guideline would seek 1 parking space per unit if the parking bays are unallocated and if they are also open plan lounge/kitchen/dining room (ie. 4 room units), although for these larger units 2 spaces per unit would be preferred. 1 and 2 bed units are being proposed for this project, 20% of which are 1 bed, with no parking. This is consistent with Housing and Community Services support of the scheme.

13.4 Constraints

- Construction of a new learning centre is only possible if a sustainable funding stream is secured. The development of housing on site 1 is only possible if the learning centre is demolished and relocated to site 2.
- The development of the new learning centre must comply with all relevant building bulletins and internal and external space requirements.
- All changes to the site must comply with planning, environmental and health and safety regulatory requirements during the design, construction and on-going operation stages.

13.5 Communications Plan

Consultation with the communications team has been carried out, with a view that no public consultation is required unless the project is approved to progress to Full Business Case.

13.6 Regeneration of Oakdale

Through the release of public sector land and the utilisation of a specified site located in a sustainable travel to work location, a minimum of 60 affordable housing residences will contribute to current local shortages and the aspirations of the Local Plan and the DLEP Supporting Dorset's Economic Growth – Future Housing Provision guidance policy. The projected growth in employment in three of the seven priority sectors identified by the LEP (care, retail & tourism, with lower wage rates, part-time/seasonal/temporary employment) will require housing that staff in these sectors can afford.

The Oakdale site meets the sustainable criteria in a travel to work area with good access to public transport links and services. The project delivers multiple benefits for the local area ensuring that the local community would retain access to a wide range of learning opportunities to improve their life chances and quality of life. A forecast 30% increase in participation, (equating to nearly 500 more workers and un/under employed people), would benefit from the new adult skills retraining facility. The community will gain a drop in community careers and enterprise information hub and internet café to support local business start ups, recruiting employers and jobseekers and a study skills centre. Up to 300 new business start ups would be an outcome of the enterprise hub offer supporting people into self employment as a progression from Digital, Creative Industries, Hair/Beauty & Complimentary Therapies and Finance qualifications.

Residences will benefit from the adjacent Oakdale park facility and children's play area, retail units, GP and library. The housing would also be adjacent to the medical centre, shops, library, and nearby schools and has good public transport links. The site is suitable for a high density scheme making use of taller buildings.

13.7 Surveys

Whilst a number of surveys have been completed for the aims of the feasibility study it must be acknowledged that further surveys would need to be conducted in order to create more accurate costs.

Topographical, utilities, and geotechnical and ground condition surveys were undertaken. The utilities search did not pose any problems, with sufficient gas capacity available, however further confirmation on the electric supply would need to be provided by SSE, and it is predicted that additional substations may be required. Utilities survey also highlighted that only capacity of water sufficient for a domestic supply to the development would be available. Further surveys would need to be conducted in order to inform if commercial supply would be possible.

The geotechnical survey was completed at desktop level, and it is recommended physical surveys are taken from the site, as there could be the potential for ground contamination. No ecological issues were raised, but further surveys would be needed if taken to Full Business Case. There is not believe to be any arboriculture issues, however no surveys were conducted at this stage.

13.8 Alternative service delivery models

The Outline Business Case has not looked at alternative models of delivering the current service.

14. EQUALITY IMPACT ASSESSMENT

An equality impact assessment has been completed.

15. FULL BUSINESS CASE

Phase two feasibility would complete a detailed business case including developed design to RIBA Stage 3. A budget for this second phase is likely to be in the region of £200k.

16. CONCLUSIONS AND RECOMMENDATIONS

Through the options appraisal two options have been identified: option 1 and option 2. Both options exhibit a funding gap. Further feasibility on option 1 could potentially reduce the funding gap through: modifying the learning centre design, determining additional/alternative funding options, modifying the housing design, and reducing cost for associated infrastructure.

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Appendix C – Oakdale Site 1 and 2 Layout

465



Site 1

Site 2



Site 1

Site 2

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Decision Impact Assessment Report

Adult Skills and Learning Relocation

DIA Proposal ID: 167

Assessment date: 18th September 2020

Assessor(s): Lesley Spain

Support: Roxanne King



The Decision Impact Assessment (DIA) is a requirement of BCP Council's Financial and Procurement Regulations. It has been developed to help project managers maximise the co-benefits of proposals, reduce risk and ensuring that sustainable outputs and value for money are delivered through every project, plan, strategy, policy, service and procurement.

The following report highlights the opportunities and potential issues associated with the above titled proposal. It has been assessed against a number of themes and shared with BCP Council Theme Advisors for internal consultation. The RAG ratings and additional information have been provided by the project manager and may or may not have incorporated feedback from theme advisors. Results should be scrutinised by decision-makers when considering the outcome of a proposal.

The results of this DIA will be combined with all other assessments to enable cumulative impact data across a wide range of data sets. Individual DIA reports should be included in proposal documentation and made available to decision makers for consideration. Cumulative impact reports will be produced annually or as required by the Climate Action Steering Group and Members Working Group.

For questions and further information, please contact Sustainability Team at DIA@bcpcouncil.gov.uk


Please note: This report is in a draft format and may appear different to future DIA reports.

Decision Impact Assessment

DIA Proposal ID: 167

Proposal Title: Adult Skills and Learning Relocation

Welcome Roxanne King



[Review registration](#)

Home Page

Climate Change & Energy	Complete	<div style="width: 20px; height: 20px; background-color: green; border-radius: 50%;"></div>
Communities & Culture	Complete	<div style="width: 20px; height: 20px; background-color: green; border-radius: 50%;"></div>
Waste & Resource Use	Complete	<div style="width: 20px; height: 20px; background-color: green; border-radius: 50%;"></div>
Economy	Complete	<div style="width: 20px; height: 20px; background-color: green; border-radius: 50%;"></div>
Health & Wellbeing	Complete	<div style="width: 20px; height: 20px; background-color: green; border-radius: 50%;"></div>
Learning & Skills	Complete	<div style="width: 20px; height: 20px; background-color: green; border-radius: 50%;"></div>
Natural Environment	Complete	<div style="width: 20px; height: 20px; background-color: yellow; border-radius: 50%;"></div>
Sustainable Procurement	Complete	<div style="width: 20px; height: 20px; background-color: yellow; border-radius: 50%;"></div>
Transport & Accessibility	Complete	<div style="width: 20px; height: 20px; background-color: green; border-radius: 50%;"></div>

Key

- Not yet assessed
- Serious challenges - remedial action required
- Some challenges - further thought and mitigation action required
- On target - positive or no negative impacts identified
- No positive or negative sustainability impacts identified

Submit Proposal

Ask for help







Proposal Title	Adult Learning and Skills Relocation Project
Type of Proposal	The release of the Oakdale Centre and sites for housing and the relocation of Skills and Learning to 6 units within the Dolphin Centre, Poole.
Brief Description	
Assessor	Lesley Spain, Principal Learning Manager
Directorate	Regeneration & Economy
Service Unit	Destination & Culture
Estimated Cost	Between £25k and OJEU threshold
Ward(s) Affected	Oakdale, Poole Town

Sustainable Development Goals (SDGs) Supported



RAG reasoning and proposed mitigation/monitoring actions

Theme	RAG	RAG reasoning <i>Details of impacts including evidence and knowledge gaps</i>	Mitigation and monitoring actions <i>details of proposed mitigation/remedial action and monitoring (inc. timescales, responsible officers, related business plans etc)</i>
Climate Change & Energy	●	Essential maintenance and repairs in the current accommodation is unviable due to the inefficiency and poor building standard (120 yrs.). Current building has insufficient insulation/glazing/lighting; new premises will improve energy efficiency and working conditions.	Project to be delivered within 10 months. Investigate energy sources used by Dolphin Centre.
Communities & Culture	●	Project will provide a community learning centre in Poole town centre which will improve footfall and provide education provisions for unemployed, under employed, people with learning difficulties or disabilities and those from ethnic minorities. Key benefits are to energise the Town Centre and add purpose to the visitor experience. This project could have positive impacts on the anti-social behaviour at Poole bus station. Some of the curriculum courses on offer will include culture and media.	Possibility that additional security could be employed in partnership with the landlord and other stakeholders. Collect and analyse data on participation, retention, achievement, attendance and success rate by equality groups.
Waste & Resource Use	●	Reduction in office requirements including resource use and waste generation (space from 2000m2 to 700m2) 40% delivery moved online has positive impacts on printing, consumables and associated waste production.	Dolphin Centre will invoice for service charges, usage will be metered and costs monitored.

		Fewer staff onsite and use of shared facilities within Dolphin Centre will reduce water consumption.	
Economy		A range of courses offered will equip learners and entrepreneurs with business skills e.g. web design, bookkeeping, social media for business, excel, ECDL etc. Main purpose is to move people closer to work and equip them with the skills to progress in work. This will contribute to improving the productivity of local businesses. Job Club for referral partners, including Job Centre Plus and housing associations, will run onsite.	Corporate monitoring includes three KPIs: 1) number of people progressing into work, volunteering or further learning, 2) percentage of learners that achieve qualifications, 3) percentage of learners recruited that are unemployed.
Health & Wellbeing		Strong link between skills and health and wellbeing - participation in community learning improves mental health in people with existing mild to moderate anxiety and depression. See Community Mental Health Pilots (DfE) 2019. Location of new premises will encourage sustainable and active transport.	Learner surveys have evidenced improved confidence, positive feeling of wellbeing, fewer doctor visits, and other indicators. Local and national surveys monitor the benefits of skills on health.
Learning & Skills		Approximately 150 apprenticeships are supported through the service, this will be their assessment centre and essential knowledge delivery site, accompanying online learning. It is expected that participation will increase by 30% as a result of this move.	OFSTED and Matrix are formal inspectorates which monitor the quality and performance of service delivery. Corporate performance indicators monitor outputs. Service self-assessment will include occupancy rate, which is hoped to be improved with relocation to the Dolphin Centre. Participation growth will be monitored by internal management reporting system (Learner Track).
Natural Environment		Relocation will free up the Oakdale sites for redevelopment (single storey to multi-storey) which will likely have negative impact on the natural environment, depending on the construction and use of buildings.	Impacts will be identified in the housing development options report.
Sustainable Procurement		Procurement of the architects and builders to modify Dolphin Centre retail units to education facilities.	Sustainable procurement team to be consulted.
Transport & Accessibility		Relocation will place services within a more densely populated area with higher indices of multiple deprivation. New site benefits from close proximity to bus, train, community bikes and taxi stations, encouraging use of public transport and improving accessibility for learners with disabilities.	Investigate cycle security and storage facilities at the Dolphin Centre.

CABINET



Report subject	Estates and Accommodation Project
Meeting date	11 November 2020
Status	Public Report
Executive summary	<p>The delivery of the council's Estates and Accommodation Strategy will enable the organisation to reduce its exposure to a large and inefficient office accommodation estate, whilst at the same time supporting the development of single council identity where staff work in modern and flexible ways, delivering services that are transformed in order to be as customer focused and financially efficient as possible.</p> <p>The creation of the BCP Council Civic Centre and relocation of the customer service offer to local libraries will enable modern ways of working whilst bringing Council services closer to their communities. This represents the first phase in the council's Estates and Accommodation Strategy and comprises the necessary investment in the Bournemouth campus and libraries, plus the associated work required to allow for the development of the legacy Poole and Christchurch civic offices.</p>
Recommendations	<p>It is RECOMMENDED that Cabinet:</p> <ul style="list-style-type: none"> a) Notes the progress being made on the 3 stage process towards delivering the council's 'New Normal' accommodation ambitions, specifically the BCP Council Civic Centre and associated customer services centres b) Approves the decoupling of the service and civic elements of the Estates and Accommodation Project, and to establish a Member Working Group to inform future civic requirements to be delivered separate from the service accommodation phase of the project c) Approves the project budget set out in Appendix 1 for onward Recommendation to Council and delegates authority to the BCP Council Corporate management Board to approve expenditure from this budget to deliver the project

	d) Authorises the commencement of the procurement process and delegates authority to award contracts to the Chief Executive in consultation with the Leader and appropriate senior officers as appropriate, in accordance with delegated authorities and the council's financial regulations
Reason for recommendations	To approve the budget and procurement approach required to successfully deliver the BCP Council Estates and Accommodation Strategy, specifically the remodelling of Bournemouth Town Hall Campus as the BCP Civic Centre and administrative hub and the creation of customer service centres within Bournemouth, Poole and Christchurch libraries.
Portfolio Holder(s):	Cllr Drew Mellor, Leader of the Council
Corporate Director	Julian Osgathorpe, Corporate Director Resources
Report Authors	Matti Raudsepp, Director of Organisational Development
Wards	Council-wide
Classification	For Decision and Recommendation

Background

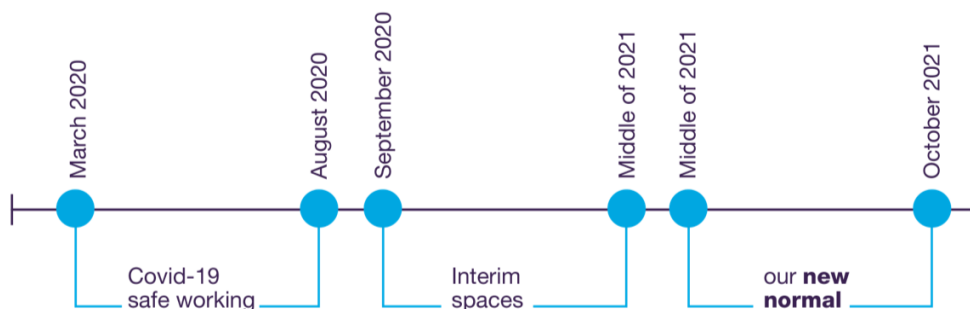
1. In February 2020 Cabinet endorsed the recommendation to refurbish the current Bournemouth Town Hall complex as the preferred approach to delivering a single BCP Council Civic Centre. This followed the outcome of the organisational design process reported to Cabinet in November 2019, and the recognition that BCP Council would require a single main office location and civic centre to support its future service delivery. At that time a comprehensive review was requested by Members to evaluate the most suitable delivery option.
2. In June 2020 Cabinet considered the impact of the ongoing Covid 19 pandemic on its transformation plans and in particular the impact on planned timescales for the Estates and Accommodation strategy. The rapid and necessary rollout of new technology to support remote working at scale quickly demonstrated the potential for the council to move more quickly to its objective of introducing flexible working. Furthermore, the absence of staff within council workplaces demonstrated the opportunity that existed to increase the pace of change in the delivery of the first phase of the Estates and Accommodation Project.
3. As a consequence of the unprecedented situation created by the pandemic on the council's activities Cabinet agreed in June to accelerate the transition of staff from Christchurch and Poole (plus the Bournemouth Learning Centre due to its planned repurposing) to the new BCP Civic Centre, and thereby release these legacy buildings for disposal as soon as possible. It was also agreed that a more pragmatic and scaled back approach would be taken to the refurbishment of the new civic centre, reflecting the financial implications the council was dealing with

as a result of the pandemic. It was not possible at that stage to provide a detailed budget requirement but it was agreed that one would be provided to Cabinet as soon as it was available.

4. By releasing the requirement for the capital receipts from the Poole and Christchurch Civic Centres from the financing of the Accommodation Strategy this will enable more timely development opportunities to be considered for both of these sites to maximise their benefits for the needs of their specific communities. Specifically the intention is no longer to dispose of the Poole Civic centre in its entirety but to maintain ownership of the core building to protect the Mayoral connection and to consider alternate uses.

Delivery strategy

5. The Estates and Accommodation Strategy has been developing during an unprecedented public health crisis and consequently it has been necessary to develop a staged process to deliver its outcomes at the same time as mitigate the health risks to our staff and customers. This has resulted in a 3 stage process being identified with an anticipated timescale for delivery.



6. The priority during the last 6 months has been to ensure our workplaces are safe for those staff who need to continue to use them (Stage 1). Whilst a significant proportion of the council's workforce has been able to work remotely that has not been the case for all, and more recently as the lockdown has been relaxed we have seen an increase in staff working from, or visiting, our offices. Consequently work has taken place to ensure our offices and workplaces are appropriately prepared to mitigate risks to staff and customers.
7. Stage 2 establishes Interim Spaces, which are areas within each of our current three civic offices that are available to staff who need to work from an office location. These spaces will contribute to the more effective and efficient management of our buildings, whilst freeing up other parts of our buildings in readiness for remodelling or disposal. This stage was delivered at the beginning of October and is now operational.
8. Stage 3 refers to the delivery of the remodelled BCP Council Civic Centre, at which time it will be possible to completely vacate the surplus civic buildings in Christchurch and Poole, and make them available for repurposing and development as soon as appropriate. This will be contingent upon the effective transfer of existing Christchurch and Poole customer services centres to local libraries to ensure a seamless continuation of service to our customers. The

transfer of the Bournemouth customer services function will also transfer to the central Bournemouth library but that move is not required immediately as continued provision from the new BCP Civic Centre will be possible. Services will move to the new BCP Council period in tranches according to the completion of remodelling works, and it is currently anticipated that all services will have made their moves by October 2021.

9. A pre-market engagement exercise took place in May 2020 to inform the design and procurement options for the remodelling of the Bournemouth Town Hall campus. This process was valuable and fed into the project's design and procurement assumptions, particularly the level of concern and/or risk associated with any redesign and refurbishment of the Civic areas within the older, listed part of the Town Hall building. In addition the challenges of delivering the 3 stages within an ambitious timeframe and in the midst of a volatile and changing Covid pandemic landscape. Consequently it is now considered that the two key elements of the BCP Civic Centre project, ie civic and service accommodation, should be decoupled.
10. It is therefore proposed that the service accommodation aspect of the project is delivered as a priority and the civic element should follow. This will allow for a greater focus on ensuring the delivery of the space necessary in the Bournemouth campus to support the timely vacating of the Christchurch and Poole civic offices. At the same time this will allow an appropriate opportunity for members to become fully engaged in establishing the requirements for improving and adapting the civic space within the new BCP Civic Centre. To this end it is proposed to establish a Member Working Group at the earliest opportunity to perform this function and furthermore to provide wider oversight of progress across the project as a whole.
11. It is important to recognise the interdependencies between the delivery of the BCP Civic Centre, the timescales for disposal of surplus civic buildings in Christchurch and Poole, and the associated requirement for alternative but equally appropriate and effective customer services provision in Bournemouth, Christchurch and Poole libraries. Consequently there is a need to plan for, fund and deliver the alternative customer provision in Poole and Christchurch libraries more quickly than in Bournemouth due to it being possible to retain the Bournemouth customer offer in its current location for the short term.

Estates and Accommodation Delivery Budget

12. The budget requirement for the delivery of the Estates and Accommodation is £6.6 million, inclusive of a 17% contingency. This comprises £5.8 million in capital costs and £0.8 million in one off revenue costs, inclusive of contingency. The budget breakdown is set out in Appendix 1. The budget is based on the outcome of the pre-market engagement process, the revised focus on delivering a scaled back, more financially pragmatic solution, and the extensive knowledge and experience that exists within a range of council services involved in the project. The uncertainty that accompanies a project of this scale and complexity means that a 17% contingency is considered appropriate.
13. The budget requirement should be viewed in the context of the originally anticipated budget for accommodation of £29 million which has since been

deemed inappropriate given the impact of the Coronavirus Pandemic on the financial position of the Council, and our ways of working.

14. It was anticipated that the project capital budget requirement would be funded from capital receipts relating to the disposal of legacy civic buildings (Poole Civic Centre and annexe, Christchurch Civic office). The project capital budget will now be funded through prudential borrowing which will take advantage of historically low interest rates and will have the added benefit of matching expenditure to the useful economic life of the asset rather than front loading payment. Additionally this will allow for more timely analysis of what will represent best value for both the Poole and Christchurch sites.
15. A number of assumptions have been identified in order to build the project budget, and these are summarised as follows:
 - a. The budget is largely based on estimates rather than tendered costs
 - b. Asbestos surveys have been completed but only to a non-invasive level at this stage. More detailed survey work may identify additional costs in due course
 - c. The emphasis is on reuse of suitable office furniture and equipment in order to limit refurbishment costs
 - d. Civic space design and build costs are not included at this stage, as it is important to allow Members the opportunity to contribute to the design of these elements, and then properly test them with the market in light of the risks and complexities associated with listed buildings projects
 - e. Exit costs are based on a scope comprising Poole and Christchurch. Inclusion of additional buildings in phase 1 will create additional financial implications
 - f. Costs for the interim travel plan to support transition are outside the scope of the budget, and will be resourced separately
 - g. Design and remodelling costs connected to the Citizens Advice Bureau are not known and no allowance is made within the project budget at this stage
 - h. Whilst the council is keen to reduce its reliance on paper use and storage, the cost of any future records management solution are not yet known, and are therefore not included in the project budget requirement at this stage.
16. The budget can be most clearly understood in terms of the following breakdown:
 - a. the closure of legacy offices, including office clearance, ICT and relocation costs
 - b. works to the Bournemouth campus that are not directly required by the project but which would be necessary in the immediate future in any event eg, essential building repairs and replacement costs
 - c. Refurbishment costs, including the BCP Civic Centre, and alterations to Bournemouth, Poole and Christchurch libraries to accommodate new customer services facilities, and to establish new coroners accommodation.

17. In line with the project's focus on pragmatism and financial prudence the office refurbishment costs are limited to those works that are either essential in order to optimise the use of the available space for a much larger workforce, or are necessary in order to establish a modern and suitable workplace from which BCP Council can operate successfully going forward. As far as practically and financially possible it is the intention to create a look and feel within the office environment that is smart, professional and conducive to flexible working, and which can also contribute to our ability to attract and retain the best possible workforce for the council going forward. Whilst a balance between cost and quality must always be struck it is considered that the approach being adopted is proportionate and represents value for money for the council.

Recommended procurement process

18. In order to deliver the Estates and Accommodation Project as quickly as possible a combination of in-house and externally sourced design and professional skills capability will be used. This ensures that the various strands of the project can be developed concurrently which will assist in managing the interdependencies that exist within the project, and also represents the best use of internal resource.
19. With regard to the build elements of the project these will be procured in line with the council's normal procurement guidelines, and the most appropriate approach and breakdown of works will be identified once the outcome of the design phase is known.
20. Given the timescales for developing the design elements of the project along with the subsequent procurement, mobilisation and implementation stages the current expectation on timescales indicates that services will begin to move into their new accommodation in the middle of 2021, with completion of moves expected by October 2021.

Next steps

21. Stages 1 and 2 of the 3 stage process are now complete, so the focus of the project is now on the design and delivery of the BCP Civic Centre and customer services offers in the three town's libraries. This stage also involves planning for how the new space will be occupied ie, which services and teams are located where within the campus, and the sequence of moves that will be necessary to bring these changes about, taking into account the need to minimise disruption to service delivery and introduce new ways of working at the same time.
22. The process for developing a repurposing and development strategy for the Christchurch and Poole legacy civic offices has also begun and the options relating to these disposals will be reported to Cabinet in due course.
23. Running in parallel to the activities referred to above, and in order to progress the decisions around the future of the council's wider estate, an Asset Management Plan is now being developed. This piece of work will inform subsequent stages of the Estates and Accommodation project, and in particular the requirements and

disposal opportunities relating to the delivery of the Hub and Spoke objectives of the project as a whole.

Summary of financial implications

24. Full financial implications and underlying assumptions are provided in Appendix 1 – Budget Requirement and Financial Strategy.
25. The Council intends to use Prudential Borrowing to finance the capital elements of the Estates and Office Accommodation budget. These are estimated to be around £5.7m (including contingency of £0.8m) and will result in an annual borrowing repayment requirement of £0.2m per annum. Annual borrowing repayment costs will be met from savings anticipated in revenue 'building operational spend' budgets (utilities, rates, repairs and maintenance, insurance). These budgets will no longer be required for Poole and Christchurch Civic Centres as the sites are vacated and disposed of.
26. The use of prudential borrowing enables the Council to utilise capital receipts from the future disposal of vacated premises as funding for the wider capital investment programme or to support its strategic regeneration ambitions.
27. Both one-off revenue costs of £0.9m (including £0.1m contingency) and £0.5m for spend on surplus assets up to the point of disposal will have a direct impact on the Council's revenue budget. Whilst the funding model in Appendix 1 forecasts a (£43k) net revenue saving over the three years of the MTFP, Members are asked to note that this consists of net revenue pressures £0.25m in 2020/21 and £0.38m in 2021/22, offset by net revenue saving of (£0.68m) in 2022/23 (once building related savings from assets disposed of are realised).
28. There is scope to reduce the immediate £0.25m net revenue pressure in 2020/21 by reviewing the profile of planned one-off revenue spend within the funding model. This would, however, only defer the costs to 2021/22. One-off revenue costs do include £0.1m for redecoration, £0.1m for the development of estates asset management plans as well as £0.1m contingency. These estimates could potentially be reduced to help relieve MTFP pressure.

Financial risks

29. All costs included within the Budget are estimates only at this stage. There is a risk that final spend requirements could be higher than planned as work progresses. The inclusion of 17% contingency reduces this risk.
30. The funding model also includes desktop estimates for items including site security and statutory repair & maintenance at vacant sites up to disposal. These are allowances only, and estimates could change as the project progresses.
31. The Prudential Code only permits prudential borrowing to be used for capital expenditure. Whilst officers have reviewed the £5.7m 'capital outlay' spend to ensure it meets this definition, this review has been based on high level spend descriptions only. Any expenditure that does not ultimately satisfy the definition of capital expenditure will be treated as revenue, impacting directly on the MTFP.
32. Building related budget savings from the disposal of Poole and Christchurch Civic Centres are assumed commence from 31 October 2021. There is a risk that these savings will not be realised to the same extent if premises are not vacated to planned project timeline.

33. The funding model assumes third party contribution of 50% of the costs of relocating the coroner's service – this has yet to be formally confirmed / secured.

Value for Money

34. The Estates and Office Accommodation Strategy has the potential to realise significant ongoing financial savings to the Council from estates rationalisation. The immediate financial benefit is a reduction in buildings operational budgets, as surplus sites are vacated. Further financial benefits from the realisation of capital receipts from the ultimate disposal of these assets are also anticipated.

Summary of legal implications

35. The council has the power to enter into contracts pursuant to section 1 of the Localism Act 2011. The council will undertake the procurement in accordance with the Public Contracts Regulations 2015 and subject to any relevant implications arising from the UK's transition from the jurisdiction of the European Union on 31st December 2020.

Summary of human resources implications

36. The creation of the BCP Council Civic Centre and the associated disposal of the legacy civic centres in Poole and Christchurch means that many staff will require a change to their contractual workplace location. This will be effected through a collective agreement currently being negotiated with the council's recognised trade unions.
37. The process of transitioning to a new working environment at the same time as introducing new ways of working can cause anxieties for staff. Plans are being developed to support that transition process to ensure the wellbeing of our workforce and the successful continuity for service provision during this period of change. It should be noted however that for most staff the Covid 19 response has already brought about an acceptance and enthusiasm for more flexible working post pandemic. This is supported by a recent staff engagement survey where the overwhelming majority of respondents expressed satisfaction with working differently, despite the current arrangements requiring a greater of remote working than will be necessary as part of this project. This provides reassurance that our workforce is ready for a permanent change in the way they work in the future.

Summary of sustainability impact

38. The introduction of new ways of working to accompany the outcomes of the Estates and Accommodation Project will reduce travel, with most staff spreading their working time across home and office locations. Investment made in remote working technology as a result of the Covid 19 pandemic has already demonstrated the potential in this regard, and we know following recent staff surveys that the workforce is overwhelmingly enthusiastic about working differently.
39. The consolidation of the council's office accommodation footprint will bring about reductions in its carbon footprint and whilst the more intensive use of the Bournemouth campus may create additional impact in that location it is anticipated that such impact will be offset by the closure of the aging and environmentally inefficient legacy civic buildings in Poole and Christchurch.

- 40. The creation of an Interim Travel Plan is being progressed to support the project and it will identify measures to both encourage positive changes in travel behaviour and to discourage unnecessary travel both to/from work and whilst performing duties related to work.
- 41. A Decision Impact Assessment Report is attached at Appendix 2 for further information.

Summary of public health implications

- 42. There are no public health implications arising from this report.

Summary of equality implications

- 43. An Equalities Impact Needs Assessment (EINA) is attached at Appendix 3.

Summary of risk assessment

- 44. The financial risks arising from the project principally relate to the degree of uncertainty around establishing firm costs ahead of procurement processes.
- 45. The decoupling of civic and service based aspects of the project will result in a longer timescale for addressing the deficiencies in the current Bournemouth Campus civic offer. To ensure this aspect of the project is given due attention and progress is made in line with member expectations Cabinet is asked to consider the establishment of a Member Working Group in order to identify the requirements for the Civic space, as well as to regularly review progress, risks, issues, benefits realisation and the budget of the programme.
- 46. There are potential risks to the project from the EU transition process and any Covid 19 second wave, with regard to the availability of contractors and building materials which could affect delivery timescales.
- 47. A full risk register is in place to support the project.

Background papers

Cabinet, 13 November 2019

Cabinet, 12 February 2020

Cabinet, 24 June 2020

Appendices

Appendix 1 – Budget Requirement and Financial Strategy

Appendix 2 - Estates and Accommodation Project, Decision Impact Assessment Report

Appendix 3 – Estates and Accommodation Project, Equalities Impact Needs Assessment

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Estates and Accommodation Strategy

Core Assumptions

- 1) Primary BCP office accommodation from 1st November 2021 will be Bournemouth Town Hall & Extension, and various existing smaller satellite locations. Poole and Christchurch civic estates will be disposed of between 1 April 2022 and 31 October 2022. Capital receipts arising from disposal of surplus civic estate will be available to help fund the Council's wider capital investment programme or to support the Council's regeneration ambitions and are not earmarked to fund Estates and Accommodation Strategy.
- 2) Estimated cost of move is £6.6m, including £1m contingency for unforeseen spend. This consists of £5.7m capital spend and £0.9m one-off revenue spend. CIPFA accounting permits the use of prudential borrowing for capital expenditure, where future savings are identified from which to repay loan and interest. The model assumes use of £5.5m prudential borrowing (£5.7m total capital less £0.2m third party contribution) to fund capital outlay. This will be repaid over the useful life of the asset (estimated 40 years) at 2.47% (current 40 year PWLB interest rate). This is equivalent to a revenue cost of £0.2m per annum.
- 3) £5.7m capital outlay includes £1.2m (pre contingency) for the cost of relocating BCP customer contact centres to within Bournemouth, Christchurch and Poole libraries. In addition £0.4m (pre contingency) is included for relocating the coroners' service. This is a shared Dorset wide service, the relocation of which will require the approval of all stakeholders. Allowance of £0.3m (pre contingency) is included for Covid related measures. This is still pending scrutiny and review by the BCP Health & Safety Team. Allowances for fires safety works at Southcote Road Depot (to facilitate archive storage facilities) is also included at £0.1m at this stage. Building works include internal staff time for programme delivery of £0.6m (pre contingency). Whilst all spend estimates have been subjected to internal officer 'test and challenge', they should still be treated as indicative estimates at this stage.
- 4) One-off revenue spend of £0.9m consists of temporary staff employed to facilitate relocation, costs in relation to archiving and document storage, removal costs and civic estate decoration. Contingency of £0.1m is included within this balance. This spend cannot be treated as capital as it does not directly result in an identifiable asset with a useful life greater than one year. The funding model therefore assumes one-off revenue costs will directly impact the MTFP in the year in which they arise. There is scope to reduce this pressure as the costs include a blanket 17% contingency allowance, which may not be required. Additionally spend includes £0.1m for redecoration - arguably desirable rather than essential spend.
- 5) The funding model assumes base budget revenue provision for building operational expenditure at Poole and Christchurch civic centres will be available to repay both the cost of one-off capital outlay borrowing and one-off revenue costs for relocation to Bournemouth Town Hall. Clearly such savings can only be realised once the sites are no longer in use. The model assumes both locations will become 'vacant' from 1 November 2021. Subsequent costs anticipated up to site disposal (1 April 2022 for Poole Civic and 31 October 2022 for Christchurch Civic) are included within the model. These include rates, insurance, site security and indicative allowance for statutory repairs and should be treated as indicative estimates only at this stage. The model assumes an earlier disposal date for the Poole Civic Estate because of the potential for its transfer to the Housing Revenue Account for future housing development. There is less certainty over Christchurch Civic Centre, which is reflected in an indicative disposal date of 1 November 2022. Note that further consideration should be given to the potential relocation of solar panels on the Poole Civic MSCP, which are currently budgeted to generate £5k income each year
- 6) Net building operational spend savings of £0.7m (after repayment of borrowing) are anticipated each year following disposal of surplus civic sites (from 2023/24 onwards). Note that the one-off revenue spend also includes £100k (pre contingency) to undertake strategic asset / estate management plans. One potential outcome from this work is the identification for further rationalisation of the Council's civic estate (further capital receipts and annual building related revenue savings)
- 7) One-off revenue reserve contribution of £0.1m (consisting of historic staff travel plan contributions) is earmarked within the model to help offset one-off revenue costs of relocation in 2020/21
- 8) The Council retains the option of using capital receipts from disposal of Poole and Christchurch civic estates to fund the cost of relocating to single Bournemouth hub. Whilst this would remove the need to utilise prudential borrowing (and save the Council £3.2m in interest payments over 40 years), it would mean less capital reserves are available from which to meet both current and future capital spend requirements across the Council. Based on current asset book values (as opposed to potential development value), the Council could expect to generate at least £6.8m capital receipts from disposal of these sites. The model assumes Bournemouth Town Hall Annexe will remain in use by the Council.

One-off Capital Investment	2020/21	2021/22	Total	Key Financials - over 40 years	
	£	£	£	Medium Term Financial Plan impact (absolute - not incremental)	£m
Building alterations	579,149	776,313	1,355,463	one-off revenue relocation costs (including contingency @ 17%)	0.90
Fixtures & Fittings	190,538	156,962	347,500	one-off costs on surplus civic estate up to disposal (October 2022)	0.48
ICT investment	649,870	43,400	693,270	borrowing repayments @ 2.47% over 40 years	0.34
CCTV reroute	211,799	0	211,799	reduced building op ex from surplus civic estate disposal	(1.65)
Control room relocation	34,615	40,385	75,000	application of one-off historic revenue reserve	(0.11)
Coroners relocation	0	350,000	350,000		(0.04)
Customer Service Centres (in libraries)	449,694	776,923	1,226,618		
Covid specific measures (subject to H&S review)	265,000	0	265,000	Financial impact over 40 years (absolute not incremental)	£m
Transition / interim office space	190,129	0	190,129	Net saving to BCP over MTFP (2020/21 to 2022/23)	(0.04)
Fire safety works at Southcote Road	110,000	0	110,000	Net saving to BCP for next 10 years (2023/24 to 2032/33)	(7.31)
Additional security investment	40,000	0	40,000	Net saving to BCP for next 10 years (2033/34 to 2042/43)	(7.31)
	2,720,795	2,143,982	4,864,779	Net saving to BCP for next 10 years (2043/44 to 2053/54)	(7.31)
contingency @ 17%	462,535	364,477	827,012	Net saving to BCP for next 10 years (2054/55 to 2062/63)	(6.70)
Capital Outlay	3,183,330	2,508,459	5,691,791	Total 40 year revenue budget saving (absolute)	(28.67)
Capital Funding	2020/21	2021/22	Total	Project Total Spend	
	£	£	£		£m
Third Party contribution towards coroners relocation	0	204,750	204,750	Capital	5.69
Prudential Borrowing	3,183,330	2,303,709	5,487,041	Revenue	0.90
Capital Funding	3,183,330	2,508,459	5,691,791	Total	6.59

One-off revenue costs	2020/21	2021/22	Total
	£	£	£
Strategic estate management plans	25,000	75,000	100,000
Temporary staff to facilitate relocation	111,323	129,877	241,200
Removal costs (including archiving)	121,576	141,838	263,414
Site clearance	0	52,250	52,250
Redecoration	50,822	59,292	110,114
	308,721	458,257	766,978
contingency @ 17%	52,483	77,904	130,386
One-off revenue costs	361,203	536,161	897,364



Decision Impact Assessment Report

Estates & Accommodation

DIA Proposal ID: 126

Assessment date: 24th August 2020

Assessor(s): Joelle Price

Support: Roxanne King

The Decision Impact Assessment (DIA) is a requirement of BCP Council's Financial and Procurement Regulations. It has been developed to help project managers maximise the co-benefits of proposals, reduce risk and ensuring that sustainable outputs and value for money are delivered through every project, plan, strategy, policy, service and procurement.

The following report highlights the opportunities and potential issues associated with the above titled proposal. It has been assessed against a number of themes and shared with BCP Council Theme Advisors for internal consultation. The RAG ratings and additional information have been provided by the project manager and may or may not have incorporated feedback from theme advisors. Results should be scrutinised by decision-makers when considering the outcome of a proposal.

The results of this DIA will be combined with all other assessments to enable cumulative impact data across a wide range of data sets. Individual DIA reports should be included in proposal documentation and made available to decision makers for consideration. Cumulative impact reports will be produced annually or as required by the Climate Action Steering Group and Members Working Group.

For questions and further information, please contact Sustainability Team at DIA@bcpcouncil.gov.uk

Please note: This report is in a draft format and may appear different to future DIA reports.

Decision Impact Assessment

[Review registration](#)

[Climate Change & Energy](#)

[Communities & Culture](#)

[Waste & Resource Use](#)

[Economy](#)

[Health & Wellbeing](#)

[Learning & Skills](#)

[Natural Environment](#)


[Sustainable Procurement](#)

[Transport & Accessibility](#)










DIA Proposal ID: 126

Proposal Title: Estates and Accommodation


Welcome Roxanne King





Home Page


Complete	
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Key

 Not yet assessed

 Serious challenges - remedial action required

 Some challenges - further thought and mitigation action required

 On target - positive or no negative impacts identified

 No positive or negative sustainability impacts identified

[Submit Proposal](#)

[Ask for help](#)





Proposal Title	Estates & Accommodation
Type of Proposal	Project
Brief Description	Creation of the BCP Council Civic Centre
Assessor	Joelle Price, Programme Manager
Directorate	Resources
Service Unit	Organisational Development
Estimated Cost	Between £25k and OJEU threshold
Ward(s) Affected	No Wards

Sustainable Development Goals (SDGs) Supported



RAG reasoning and proposed mitigation/monitoring actions

Theme	RAG	RAG reasoning <i>Details of impacts including evidence and knowledge gaps</i>	Mitigation and monitoring actions <i>details of proposed mitigation/remedial action and monitoring (inc. timescales, responsible officers, related business plans etc)</i>
Climate Change & Energy		Reducing 3 buildings to one will reduce carbon emissions and need to travel between sites. All energy and environmental measures to be considered alongside cost, resources and timeframes.	Cabinet decision to be taken on the scope, scale and climate ambition of works, approx. Oct 2020
Communities & Culture		Overall Estates and Accommodation Strategy will consider community benefits through community hubs; this project is focussing on the corporate office provision and civic space. Cultural activities possible in civic space. Many outcomes will be dependent on the funding and resources available, but desire to create welcoming community and staff site.	EINA assessments carried out for staff and public implications. Need to look at disability access and customer access into the building
Waste & Resource Use		Positives include less paper use from flexible working; reduced emissions from both business and commuter travelling. Furniture, IT consumables and other resources will be recycled on campus or will be offered to staff and community groups. Minimal reconstruction of existing buildings. No water usage in Poole and Christchurch, but no plans to invest in toilet/water efficiencies in Bournemouth.	Product specification and efficiency measure to be decided. Spatial and Transitional planning workstream will consider the aspects in due course.
Economy		Positive economic impacts for Bournemouth Town Centre, but possible negative impacts for Poole and Christchurch. Sustainability impacts and use of local suppliers will be supported when possible.	None
Health & Wellbeing		The perceived impacts could be positive or negative for staff depending on individual mindset and situation. Reduced parking capacity will encourage active travel.	Regular pulse surveys will be carried out.

Learning & Skills		Value of project is less than £10m so project will not directly support an apprenticeship. Staff will undergo training on Teams and other new technology such as Digital Mailroom.	Training will be delivered through Champions and online resources.
Natural Environment		Opportunities for natural or artificial plants to be discussed. External view of the building and surrounding areas will not be affected by this project. Air quality improvements likely through reduced business and commuter travel.	Air quality and circulation regulations/guidance due to Covid 19 to be considered.
Sustainable Procurement		Initial procurement through existing contracts and suppliers. Procurement to advise.	Procurement of additional goods and services will be assessed if required.
Transport & Accessibility		Reduced travel for people working remotely; possibly increased travel for staff travelling to Bournemouth from Poole and Christchurch. Reduced per person parking capacity and parking charges will encourage sustainable and active travel modes. Increase in changing facilities for active travel.	Business mileage can be monitored. Engagement needed with staff regarding changes to car parking arrangements. Consider communications/provisions for staff safety to/from TH site.

BCP Equality Impact Assessment Template

Executive Summary and Conclusions

Once the Equality Impact Assessment Template has been completed, please summarise the key findings here. Please send a copy of your final document to the Policy and Performance Team.

As a response to the Covid 19 pandemic, the Council has changed the way it works and engages with customers and the community. The proposal to maintain the momentum of flexible modern ways of working across the BCP Council estate and repurpose council buildings overall appears to offer more positive than negative outcomes for protected characteristics.

Customer access points will still be available for face to face contact for those that choose to access council services this way but in more central and accessible sites in Poole and Christchurch.

Most Council staff are already working differently and have adapted to flexible and remote ways of working.

Modern and more accessible ways of working will make BCP Council a more accessible and open employer. Most staff will have seen a reduction in travel to work time and costs and there is likely to have been a positive impact for people with limited access to public transport. Generally staff have had more options about how they fulfil their duties which promotes BCP Council as an employer of choice.

However, there are some potential negative impacts for staff that the Council should commit to addressing through its Workforce Strategy as the impact on individuals is better understood. Learning from the staff survey and Accommodation Occupancy Diagnostic tool will help inform this. This equality impact assessment should continue to be reviewed and updated in light of further feedback.

In summary:

- Online working and learning does not suit all ages and over a third of BCP Employees in the three main offices are over the age 55.
- Some staff may not have access to a suitable, safe workspace outside of an office environment and no access to space to have confidential discussions.
- The pace of change and working with new technology may have impact on people's health and wellbeing as there is an increased risk of loneliness and poor mental health
- It may present some staff with safeguarding issues, for example domestic violence, and greater frequencies in home working may increase risks to affected employees, particularly women

The working practices survey identified negative impacts for protected characteristic groups, however it should be noted **that it will not be a requirement for staff to work from home, it will be an option** under the smarter working arrangements and we will be creating office service zones to suit everyone's needs.

BCP Equality Impact Assessment Template

Part 1 - The Project	
Policy/Service under development/review:	Estates and Accommodation Strategy
Service Unit:	Organisational Development
Service Lead:	Julian Osgathorpe
Equality Impact Assessment Team:	Sarah Ray- Dene Julian Osgathorpe Matti Raudsepp Joelle Price Bridget West Sam Johnson Vicky Edmonds Graeme Smith
Date assessment started:	19/05/20: Updated 18/08/2020
Date assessment completed:	Ongoing
What are the aims/objectives of the policy/service?	<p>To maintain the momentum of flexible modern ways of working across the BCP Council estate and repurpose council buildings.</p> <p>To consolidate the Council's office footprint and reduce the impact of climate change through the ways people use and access council buildings and services.</p> <p>The report to Cabinet in Feb '20 set out the current Estates context, the options for achieving a single council hub and the evaluation criteria to be applied to the options, and the recommended way forward for the delivery of a single BCP Council Civic and administrative hub.</p>

BCP Equality Impact Assessment Template

Part 1 - The Project

What outcomes will be achieved with the new or changed policy/service?	<ul style="list-style-type: none"> • Flexible ways of working which will benefit all staff • Protection of vulnerable members of staff and customers with more effective adoption of social distancing guidance • Reduction in the council's carbon footprint • Financial savings which will enable the more efficient delivery of public services • Safe and accessible buildings, kit and equipment • Relocation of customer access points in Poole and Christchurch to local libraries which are more accessible than existing sites.
Are there any associated services, policies or procedures?	<ul style="list-style-type: none"> • Customer Access Strategy – being developed • Digital Strategy – being developed • Medium Term Financial Strategy • Asset Management Plan • Employee Pay & Reward (terms & Conditions) – being developed • BCP Council Travel Plan – being developed • Corporate Strategy • Climate strategy • People Strategy • Health and Safety Policy • Lone working procedures • Corporate Safeguarding policy • Organisational Design Programme
Please list the main people, or groups, that this policy/service is designed to benefit, and any other stakeholders involved:	<ul style="list-style-type: none"> • BCP Staff, agency workers, Councillors and Contractors • Customers, residents, visitors with improved and more central customer contact centres. • Community groups

BCP Equality Impact Assessment Template

Part 1 - The Project

With consideration for their clients, please list any other organisations, statutory, voluntary or community that the policy/service/process will affect:

- Trade unions
- Citizens Advice Bureau and their customers
- Public Health
- Community and voluntary sector groups and third parties who use the Town Hall for their meetings and events

Part 2 – Supporting Evidence

Please list and/or link to below any recent & relevant consultation & engagement that can be used to demonstrate a clear understanding of those with a legitimate interest in the policy/service/process and the relevant findings:

Employee First Data:

Payroll data from Employee First shows that across the authority almost 7% of the workforce on the payroll are 65 or over, rising to 9% in the main offices. This increases to 30% and 33% respectively when including those 55 and over. Those under 25 make up 5.5% of the total workforce falling to under 3% in the main offices.

68% of the workforce identifies as female with that figure falling to 66% in the main offices.

3% of the workforce is identified as having some form of disability with similar figures for the main offices.

Note: A third of officers have chosen not to fill in this part of the monitoring form.

Updated workforce profile data for the 30 June 2020 is available on the [website](#). Some of the numbers differ slightly to those above.

We undertook a staff survey of working arrangements implemented during Covid 19 to help understand the impacts on staff and inform the strategy. The survey was undertaken during May and June 2020. 1869 responses were received. In general, the headline results support the initial assessment set out later in this document.

The headline results are:

BCP Equality Impact Assessment Template

Part 2 – Supporting Evidence

- Most respondents able to work at home
- More than half enjoy working at home, one in ten do not enjoy it.
- No commuting is the biggest benefit
- Isolation and difficulty keeping in touch are the greatest difficulties
- Around a quarter do not have a suitable workspace and a third do not have the equipment they need
- A third of employees have had childcare responsibilities – a quarter of these have had sole responsibility for childcare

The survey asked about seven personal characteristics that are protected under the Equalities Act: Age, Disability, Ethnicity, Gender, Religion, Sexual orientation and Transgender. There were insufficient numbers to be able to provide analysis for transgender so this is not reported. The survey also asked about childcare responsibility, since school closures and home schooling will have created added stress for parents during the lockdown period.

Each of the survey questions has been broken down by each set of characteristics. The appended results have been tested for statistical significance and some of the extracts are pulled out below. For the [full survey results](#) and [comment analysis](#) is available on the intranet.

Age:

16 - 44 year olds

- less likely to have a suitable and comfortable workspace and some office equipment at home
- more likely having more personal/family time

45 - 54

- more likely to find it easier to focus
- more likely to say that plenty of information is being fed through to them

55 +

- more likely to say that one of the most difficult things about working from home is IT problems
- more likely to agree that they're able to maintain a healthy work/life balance compared to all other age groups

Disability:

With a disability

BCP Equality Impact Assessment Template

Part 2 – Supporting Evidence

- less likely to agree that their manager keeps in regular contact with them and checks up on their wellbeing compared
- less likely to agree that they are involved in regular team meetings and are able to contribute in team meetings
- less likely to agree that they feel like they are trusted to work from home

Ethnicity: Due to the small numbers of respondents in individual ethnicity categories, results have been grouped into white British, other white and Black, Asian and Minority Ethnic (BAME)

BAME

- least likely to have a desk and office chair
- least likely to agree that they had created a suitable workspace
- most likely to disagree that they are trusted to work at home
- most likely to have a work phone and

Gender

- Females were more likely to agree that they have established a good work routine, that they are able to maintain a healthy work/life balance, that they are more productive and are still able to have social interactions with colleagues.
- Males and females were equally likely to have had childcare responsibilities while working at home during lockdown. Of these a third of females had sole responsibility for childcare compared to only 3% of males.

Religion: The two largest groups identified are Christian and no religion. All other religions have been grouped together to provide a suitably large group for analysis.

Other religions:

- more likely to have mentioned social isolation and too many distractions as difficulties.
- more likely to say they have data security concerns.
- less likely to have mentioned IT problems as a difficulty when working at home

Sexual Orientation: Due to relatively small numbers of respondents of some sexual orientations, results have been grouped into Heterosexual / straight and Lesbian / Gay / Bisexual / Other (LGB).

LGB Employees:

- more likely to say they really do not like working at home
- more likely to say that they can't separate living and work space and that they lack private space for confidential work.

BCP Equality Impact Assessment Template

Part 2 – Supporting Evidence

- more likely to say that they are not able to contribute in team meetings.

Childcare:

Those with childcare responsibilities

- more likely to find the best things about working from home are more flexible hours and more personal/family time
- more likely to find the most difficult things about working from home are that it's hard to separate work and home life and there are interruptions from family
- likely to agree they're able to maintain a healthy work/life balance and that they've created a suitable work space

Accommodation Occupancy Diagnostic tool is being completed by service managers to understand office accommodation needs
Staff parking permit data from the existing Bournemouth Town Hall site will be used to help understand mobility issues and parking demand.

Customer Data:

Limited data available on footfall at the main offices so further work needs to be undertaken to establish if there are wider access issues if customer access points are changed. However, 11,500 customers visited the Poole Civic offices between April 19 and March 2020. Of those, approximately 270 people attended to discuss disability related issues.

A better understanding of channel shift will also help determine if there are wider negative impacts. An example is improving the digital offer combined with moving to an appointment based operation Revenues & Benefits service reduced customer drop in footfall by approximately 70% on Poole site from 13,656 customers in 2016/17 to 4,021 customers in 2019/2020 (not included March 2020 due to office closure).

[Wider population data](#), [ward profile data](#) and the [State of BCP report](#) are here:

More detailed community and economic impact assessments are currently being prepared. This will help us better understand the full impact of Covid 19 on people's health and financial wellbeing, on the business community and in the workplace.

BCP Equality Impact Assessment Template

Part 2 – Supporting Evidence

If there is insufficient consultation or engagement information please explain in the Action plan what further consultation will be undertaken, who with and how.

Please list or link to any relevant research, census and other evidence or information that is available and relevant to this EIA:

- [Tableau dashboard workforce profile](#)
- [BCP Diversity Data](#)
- Refuge have reported a 66% increase in calls and enquiries to the national domestic abuse helplines since lockdown began. <https://www.refuge.org.uk/refuge-reports-further-increase-in-demand-for-its-national-domestic-abuse-helpline-services-during-lockdown/>

Please list below any service user/employee monitoring data available and relevant to this policy/service/process and what it shows in relation to any Protected Characteristic:

If there is insufficient research and monitoring data, please explain in the Action plan what information will be gathered:

BCP Equality Impact Assessment Template

Part 3 – Assessing the Impact by Equality Characteristic

Use the evidence to determine the impacts, positive or negative for each Equality Characteristic listed below. Listing negative impacts will help protect the organisation from potential litigation in the future, it does not mean the policy cannot continue. [Click here](#) for more guidance on how to understand the impact of the service/policy/procedure against each characteristic. If the impact is not known please explain in the Action plan what steps will be taken to find out.

	Actual or potential positive outcome	Actual or potential negative outcome
Common to every characteristic	<ul style="list-style-type: none"> • Customer access points in more accessible central locations • Modern and more accessible ways of working will make BCP Council a more accessible and open employer • BCP council becomes an employer of choice • Reduction in travel to work time and costs • Positive impact on people with limited access to public transport • Flexible working hours allows good work life balance • More options about how you fulfil duties 	<ul style="list-style-type: none"> • Online working and learning may not suit officers • Increased loneliness and poor mental health • Lack of space to have confidential discussions
1. Age ¹	<ul style="list-style-type: none"> • Older people may be able to manage health conditions and health appointments by being able to work flexibly 	<ul style="list-style-type: none"> • Young people may not have access to suitable workspace outside of an office environment. • Older people may be affected more severely by the pace of change and working with new technology and this may impact on people's health and wellbeing

¹ Under this characteristic, The Equality Act only applies to those over 18.

BCP Equality Impact Assessment Template

Part 3 – Assessing the Impact by Equality Characteristic

Use the evidence to determine the impacts, positive or negative for each Equality Characteristic listed below. Listing negative impacts will help protect the organisation from potential litigation in the future, it does not mean the policy cannot continue. [Click here](#) for more guidance on how to understand the impact of the service/policy/procedure against each characteristic. If the impact is not known please explain in the Action plan what steps will be taken to find out.

	Actual or potential positive outcome	Actual or potential negative outcome
2. Disability ²	<ul style="list-style-type: none"> Positive impact on those with a mobility impairment More likely to keep disabled people in employment 	<ul style="list-style-type: none"> Dedicated workstation set up at work may not be the same at home or in new shared spaces Some people may be more at risk if lone working/working from home Bournemouth Town Hall is compliant with the Equality Act but access is not always easy for those with limited mobility
3. Sex	<ul style="list-style-type: none"> For women - opportunities for flexible working hours could help reduce costs of childcare because predominantly childcare responsibilities fall to women and single parent families are headed up by women For women – could allow more options to increase their working hours or take up employment which suits their family commitments. 	<ul style="list-style-type: none"> Safeguarding issues (domestic violence) - women are more likely to be victims of domestic violence, and greater frequencies in home working may increase risks to affected employees
4. Gender reassignment ³		
5. Pregnancy and Maternity	<ul style="list-style-type: none"> Opportunities for flexible working hours could help reduce costs of childcare because predominantly childcare 	

² Consider any reasonable adjustments that may need to be made to ensure fair access.

³ Transgender refers people have a gender identity or gender expression that differs to the sex assigned at birth.

BCP Equality Impact Assessment Template

Part 3 – Assessing the Impact by Equality Characteristic

Use the evidence to determine the impacts, positive or negative for each Equality Characteristic listed below. Listing negative impacts will help protect the organisation from potential litigation in the future, it does not mean the policy cannot continue. [Click here](#) for more guidance on how to understand the impact of the service/policy/procedure against each characteristic. If the impact is not known please explain in the Action plan what steps will be taken to find out.

	Actual or potential positive outcome	Actual or potential negative outcome
	responsibilities fall to women and predominantly single parent families are headed up by women <ul style="list-style-type: none"> • May support with mobility concerns in the later stages of pregnancy • May support with tiredness and fatigue during pregnancy 	
6. Marriage and Civil Partnership		
7. Race		<ul style="list-style-type: none"> • Online working/learning doesn't suit everyone – English not first language • Difficult to find suitable space as members of BAME communities more likely to have larger families, live in smaller accommodation, more people per household, and be proportionately on lower incomes etc.
8. Religion or Belief	<ul style="list-style-type: none"> • People can balance commitments to work and particular beliefs, such as prayer times, with a flexible approach to managing their time 	<ul style="list-style-type: none"> • Need to maintain contemplation room as an option for staff on site
9. Sexual Orientation		<ul style="list-style-type: none"> • Difficulty in finding suitable space may be because LGBT people are more likely to live in smaller households and occupy smaller accommodation

BCP Equality Impact Assessment Template

Part 3 – Assessing the Impact by Equality Characteristic

Use the evidence to determine the impacts, positive or negative for each Equality Characteristic listed below. Listing negative impacts will help protect the organisation from potential litigation in the future, it does not mean the policy cannot continue. **Click here** for more guidance on how to understand the impact of the service/policy/procedure against each characteristic. If the impact is not known please explain in the Action plan what steps will be taken to find out.

	Actual or potential positive outcome	Actual or potential negative outcome
10. Armed Forces Community	<ul style="list-style-type: none"> People can commit more easily to reservist commitments with flexible working arrangements 	
11. Any other factors/groups e.g. socio-economic status/carers etc ⁴		<ul style="list-style-type: none"> Some people may have limited access to ICT and limited internet/broadband packages Maybe an increase personal cost, electricity, heating etc if working from home Poor broadband connectivity may be an issue for some
12. Human Rights	<ul style="list-style-type: none"> We may have a greater opportunity to share skills in a collaborative and online environment. Technology encourages a more equal contribution from all in an online setting. 	<ul style="list-style-type: none"> We may have less opportunity to share skills from working in a collective environment.

Any policy which shows actual or potential unlawful discrimination must be stopped, removed or changed.

⁴ People on low incomes or no income, unemployed, carers, part-time, seasonal workers and shift workers

BCP Equality Impact Assessment Template

Part 4 – Equality Impact Action Plan

Please complete this Action Plan for any negative or unknown impacts identified in the assessment table above.

Issue identified	Action required to reduce impact	Timescale	Responsible officer
For those staff who cannot work from home.	It will not be a requirement for staff to work from home, it will be an option under the smarter working arrangements and we will be creating office service zones to suit everyone's needs.	Present	HR / Project Team
Safeguarding issues (domestic violence) - women are more likely to be victims of domestic violence, and greater frequencies in home working may increase risks to affected employees	To provide information to staff on support available. This has already been undertaken and information is available here. https://bcpcouncil.sharepoint.com/sites/covid19	Ongoing	HR
Online working and learning doesn't suit all ages or where English is not the first language	This needs to be reflected in the workforce strategy, specifically around training. Consider tailored training.	Ongoing	HR
Young people may not have access to suitable workspace outside of an office environment.	No action - It will not be a requirement for staff to work from home, it will be an option under the smarter working arrangements and we will be creating office service zones to suit everyone's needs.	N/A	

BCP Equality Impact Assessment Template

Part 4 – Equality Impact Action Plan

Please complete this Action Plan for any negative or unknown impacts identified in the assessment table above.

Issue identified	Action required to reduce impact	Timescale	Responsible officer
Pace of change and working with new technology may have impact on people's health and wellbeing.	Consider in Health and Wellbeing and Health and Safety guidance and training. Change management training and online support will be available for managers.	Ongoing	HR / Project team
Increased loneliness and poor mental health	Consider in Health and Wellbeing and Health and Safety guidance and training.	Ongoing	HR
Lack of space to have confidential discussions	The project team are engaging with services to understand the requirement for confidential space and this will be build into the proposed layout for the BCP Civic Centre	Jan 2021	Project Team
Dedicated workstation set up at work may not be the same at home or in new shared spaces	Considered in DSE assessments and Health and safety guidance.	Ongoing	
Some people may be more at risk if lone working/working from home	It will not be a requirement for staff to work from home, it will be an option under the smarter working arrangements and we will be creating office service zones to suit everyone's needs. Managers will need to be aware of staff who are at risk if lone working and ensure appropriate arrangements are in place	Ongoing	HR / Managers
Bournemouth Town Hall is compliant with the Equality Act but access is not always easy for those with limited mobility	Pragmatically the project team are considering access implications to the site and understanding through service engagement which individuals have limited mobility so that this is taken account of in design and layout.	Jan 2021	Project Team

BCP Equality Impact Assessment Template

Part 4 – Equality Impact Action Plan

Please complete this Action Plan for any negative or unknown impacts identified in the assessment table above.

Issue identified	Action required to reduce impact	Timescale	Responsible officer
Need to consider contemplation room as an option for staff on site	No action - The intention is to maintain the existing contemplation room in BCP civic centre.	N/A	
Some people may have limited access to ICT and limited internet/broadband packages	No action - If people have poor or limited broadband at home then they consider working from the office or an alternative site.	N/A	
Maybe an increase personal cost, electricity, heating etc if working from home	No action – People will have the choice whether to work from the office or home. They will need to consider the cost of commuting to the office and parking versus the cost of electricity, heating etc from working at home.	N/A	
Poor broadband connectivity may be an issue for some	No action - If people have poor connectivity at home then they consider working from the office or an alternative site.	N/A	
We may lose the opportunity to share skills from working in a collective environment.	Smarter working is about using the appropriate balance of face to face and technology collaboration time. Managers should ensure that their teams have suitable opportunity to interact and engage during the working week.	Ongoing	Managers

Key contacts for further advice and guidance:

Equality & Diversity:
performance@bcpcouncil.gov.uk

BCP Equality Impact Assessment Template

Consultation & Research:
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CABINET



Report subject	Adult Social Care Charging Policy
Meeting date	11 November 2020
Status	Public Report
Executive summary	<p>Since the formation of BCP Council on 1st April 2019, the council has operated under the three legacy Adult Social Care Charging policies for Bournemouth, Christchurch and Poole. It is therefore necessary to adopt a new single charging policy in order to operate a fair and equitable approach to adult social care charging. A public consultation was launched on the proposals for the new policy in January 2020 and concluded in March 2020. The results of this consultation have informed the drafting of a new single policy. This new Adult Social Care Charging policy, subject to Cabinet approval will be implemented on 1st April 2021.</p>
Recommendations	<p>It is RECOMMENDED that Cabinet:</p> <p>(a) Approve the new Adult Social Care Charging Policy</p> <p>(b) Approve the mitigation measures as recommended by Health and Adult Social Care Overview and Scrutiny Committee which are set out in paragraphs 18 to 22 of this report</p>
Reason for recommendations	<p>The outcome of the consultation has been used to inform the development of this policy and demonstrates that the majority of respondents do not object to the introduction of charges which would apply equally to all BCP residents. Establishing a new single policy with clear and fair underpinning principles is necessary to introduce equitable charging for residents who receive Adult Social Care services from BCP Council.</p>

Portfolio Holder(s):	Cllr Karen Rampton
Corporate Director	Jan Thurgood, Corporate Director Adult Social Care
Report Authors	Pete Courage, Head of Strategic Development David Vitty, Service Director Adult Social Care Services
Wards	Council-wide
Classification	For Approval

Background

1. BCP Council operates three legacy Adult Social Care (ASC) charging policies inherited from the three preceding councils. It is important that the inconsistencies between these legacy arrangements are replaced by a single charging approach for all residents within the BCP Council. Currently, individuals in Bournemouth with identical income and financial assets to those in Christchurch, for example, will be charged different amounts to attend the same Day Centre due to the legacy policies currently in place.
2. Following recommendation from the Health and Adult Social Care Committee in November 2019 and approval from Cabinet in December 2019, an 8-week public consultation on the proposal to introduce a new single charging policy for Adult Social Care was launched on 20th January 2020.
3. The consultation sought views about the principle that those who can afford to do so, should pay the full cost for care services. Of the legacy charging policies, the Bournemouth Borough Council policy was the most recently reviewed and operates to this principle, as does the policy for Poole residents. Conversely, the former Dorset County Council policy, which applies to residents in Christchurch, had not been reviewed in recent years and does not reflect this principle, with some charges falling below the real cost to the council of providing the service. Since LGR, Dorset Council has implemented a new charging policy which increases its maximum charges to "the full cost of provision".
4. The consultation process ended on 16th March 2020 and was unaffected by the COVID19 pandemic.
5. The Charging Policy is now put to Cabinet for approval following endorsement by Health and Adult Social Care Overview and Scrutiny Committee in September.

Summary of Consultation Findings and Impact Assessment.

6. In total, 536 responses to the questionnaire were received. This number includes online responses, paper questionnaires and Easy Read questionnaires. In addition to the consultation questionnaire there were a series of seventeen drop-in sessions held at libraries and day centres across the BCP Council area and a focus group hosted by DOTS Disability.
7. Across all of the activities there was no overall objection to introducing one single set of charges for all of BCP Council. There was less support for measures relating

to deferred payment charge, although there was not an overall objection to these charges. There was also less support for including travel charges as part of the day centre charge rather than applying this as a separate charge. Many people felt that this arrangement may limit an individual's choice and control, force people who currently walk to make use of transport as they would be paying for it and disrupt current routines.

8. There was strong support for people paying the full-cost of services if they can afford to do so with day centres, transport and bathing, but there was a less clear picture in relation to charges relating to deferred payments where the majority of respondents (36-38% across set up fees, annual admin and closing fees) responded "neither agree nor disagree".
9. As well as gauging support for the proposals, the impact of these proposals on individuals was analysed. Tables below summarise the impact from the perspective of those who currently use the service.
10. With regard to expected impact, it should be noted that even if charges are increased, many clients will see no change in the amount that they contribute. Clients who are assessed as being unable to make any contribution will be unaffected as will those who contribute some proportion of the costs, but not the full amount. Therefore, the biggest individual impact will be on those who are able to contribute the full cost of their care.
11. As a result of the COVID-19 pandemic, care services have been disrupted and consequently this report uses pre-COVID modelling in order to estimate the impact of these measures. Accordingly, unless otherwise stated, the data below is based on the cohort of clients receiving services in October 2019, as this data is more reflective of long-term patterns of service and financial contributions than the data in the first six months of the 2020/21 financial year.
12. For the increase in Day Centre charges the impact will vary depending on which legacy authority an individual was from. Bournemouth day centre users, for example, will experience no difference as they are currently being charged the amount proposed in the consultation. Likewise, in Poole the impact would be minor due to a close similarity with the current charges, but in Christchurch the impact will be greater with approximately 20 full charge payers seeing an increase in their charge. In total there are 714 Day Centre attendees across BCP Council.
13. Of approximately 2000 individuals who receive domiciliary care 4%, or 80, are full charge payers. As these clients pay for domiciliary care based on fixed contract rates which are the same across BCP, they would not be impacted by the policy unless they also attended a Day Centre as part of their package of care.
14. For Day Centre Transport charges, clients from Bournemouth are currently being charged a very similar sum to the proposed new rates. In Poole, transport costs are currently included in the Day Centre charge, so between 20 and 30 full charge payers would see an additional separate charge for transport. There are approximately 10 to 15 clients in Christchurch who may experience an increase in their transport costs.
15. The number of individuals who regularly received baths in Day Centres is very small (under 10 across the conurbation) and the differences between the three pre-existing charges was equally small (within £1.50). Modelling in October 2019 did not suggest that any of these individuals were full charge payers and consequently there will be no anticipated impact on those who attend a day centre for a bath.

16. In regard to Deferred Payments, the newly proposed charges would only impact new deferred payments and based on previous figures, BCP Council is likely to receive between 20 and 30 new applications for a deferred payment each year.

Proposal	% 'Disagree' or 'Strongly Disagree'	Users of the service who answered that they expected to be impacted 'a lot'
To introduce a single charge for Day Centre attendance at the cost of the service to the local authority	18%	38%
To introduce a single charge for day centre transport	22%	40%
To include Transport costs as part of the Day Centre charge	43%	35%
To introduce one charge for bathing at Day Centres	17%	9% (This result refers to all those who attend Day Centres not just those who are bathed at Day Centres)

Table 1: Table to show those in disagreement with the proposals and the expected impact of the proposals on individuals who use the service currently

17. As the deferred payment proposals only impacts new applicants, and not those with existing agreements in place, the table below refers to the expected impact to all respondents rather than users of the service as in Table 1 above.

Proposal	% Disagree / Strongly Disagree	Expected impact all respondents
To introduce one set up fee	24%	20%
To introduce one annual admin charge	25%	20%
To introduce a fee for closing or ending the deferred payment	32%	23%

Table 2: Table to show those who disagreed with the proposals in regard to deferred payments and the expected impact on all respondents.

Mitigations

18. Whilst no individual will be required to pay more than they can afford towards the cost of their care under the new Charging Policy some of the changes consulted on would result in an increase in some charges for a small number of individuals. Equally the perceived impact, may be lessened if a series of mitigations are put in place. It is therefore appropriate to plan for a number of mitigations which will enable individuals to transition smoothly onto the new charges. As equity is one of the fundamental underpinning objectives of introducing the new Charging Policy, it is important that these mitigations are applied to all of the charges and to all client groups.
19. The following mitigations are all recommended as together they will support those individuals who are impacted to transition to new charges and, in exceptional circumstances, allow for charges to be waived.
20. The first recommended mitigation is to introduce a notice period which would give individuals more time to plan for the changes and to engage with any additional support they require. Early notification to each client would be provided between two and three months before charges were changed with final and more detailed and personalised notifications following no less than four weeks before this change.
21. Within the notice period, it will be important to ensure that there is adequate support, information and advice on offer for individuals. A telephone helpline will be established, to allow those affected to ask questions and seek support. When appropriate the new policy, if agreed, will be publicly available along with any associated guidance and factsheets. Where necessary, alternative formats and hard copies will be made available.
22. Finally, for individuals facing exceptional circumstances or severe financial hardship it will be possible for the Director of Adult Social Care Services to sanction a full or partial waiver of charges.

Policy principles

23. Following the consultation, a new BCP Adult Social Care Charging Policy has been drafted (Appendix).
24. The new Charging Policy is, underpinned by a number of key principles which were established through the public consultation, namely:
 - Adult Social Care charging will be fair, consistent and equitable across the BCP Council area, all client groups and all services
 - All client contributions towards the cost of their care are based on a person's ability to pay and no one will be asked to pay more than they can afford
 - All maximum charges will be based on the actual cost to BCP Council of delivering the service
 - Clear and accessible information as to how a client's contribution is calculated will always be provided
25. The new policy also includes the mitigations mentioned above and notes that charges will be regularly reviewed to ensure they accurately reflect the costs of services which may increase or decrease.

The Health and Adult Social Care Overview & Scrutiny Working Party

26. Proposals have been shared with the Health and Adult Social Care Overview & Scrutiny Working Party which met on three occasions and reported into the Health and Adult Social Care Overview and Scrutiny Committee on the 26 September 2020.

Summary of financial implications

27. The purpose of introducing a single charging policy for BCP Council is to fairly and consistently charge residents for adult social care services. There will, however, be a limited increase in income which will help to support the overall ability of BCP Council to provide adult social care services. Based on the provisional proposals set out in this paper, a full year increase of annual income between £30,000-£60,000 could reasonably be anticipated. The expected total income from adult social care fairer charging and direct payments this year is approximately £8m.

Summary of legal implications

28. The legislation establishing BCP Council mandated that, under the Structural Change Order, BCP Council has two years to reach equitable approaches to key services. Therefore, as well as it being desirable to create a new Charging Policy to achieve equity, it is also essential that this is achieved in order to reduce the potential of legal challenge. Whilst it is clear that there must be a single policy (and a single set of charges) applied by BCP Council there is scope within the legislative framework set out by the Care Act to determine what services are charged for and what these charges should be. It is also clear that where there is a change in local authority charging policy, consultation is required, without it the council would be liable to challenge.
29. The legislative framework which governs the contents of these policies is contained in the Care Act 2014 which, together with the related statutory instruments and regulations, provides a single framework for charging for care and support. Section 14 of the Act affords local authorities the power to charge individuals in receipt of care and support services, for these services where the local authority is permitted to charge.
30. The overriding principles of charging in all settings is as follows:
- ensure that people are not charged more than it is reasonably practicable for them to pay
 - be comprehensive, to reduce variation in the way people are assessed and charged
 - be clear and transparent, so people know what they will be charged
 - promote wellbeing, social inclusion, and support the vision of personalisation, independence, choice and control
 - support carers to look after their own health and wellbeing and to care effectively and safely
 - be person-focused, reflecting the variety of care and caring journeys and the variety of options available to meet their needs
 - apply the charging rules equally so those with similar needs or services are treated the same and minimise anomalies between different care settings

- encourage and enable those who wish to stay in or take up employment, education or training or plan for the future costs of meeting their needs to do so
 - be sustainable for local authorities in the long-term
31. The draft Charging Policy (Appendix 1) complies with all these legal regulations and principles and was written following appropriate public, stakeholder and legal consultation.

Summary of human resources implications

32. Staff are in place within current structures to implement the new Charging Policy and to staff a helpline for individual's impacted and therefore there are no anticipated human resources implications.

Summary of sustainability impact

33. The environmental impact is limited, but it is recognised that transport to and from day centres contributes to carbon emission and traffic congestion. The consultation process, informed by the Committee Working group, set out transport options which would mitigate such impacts. Respondents indicated that separating transport charges from the overall charge for day centres would be preferred, and this does indeed encourage people to use public transport or walk to day services, only using (and paying for) transport where there is no other alternative. It is therefore recommended that the charges for Day Centre attendance and transport are kept separate from one another.

Summary of public health implications

34. The ongoing provision of Adult Social Care Services which is, in part, supported by income received from charging for services is an important component of realising the wellbeing principle of the Care Act 2014.

Summary of equality implications

35. The consultation gave a greater insight into some of the equality impacts, notably that for those clients answering the questionnaires there is a direct impact on people with a disability or age-related frailty. It is also recognised that because these services are provided to more older people, the impact is likely to be greater on women than men as, with greater longevity, they make up a larger percentage of the client group. An equality impact assessment has been completed.
36. It is proposed that all the mitigations listed in paragraphs 18-22 of this report are adopted. This will see clear communications issued ahead of the changes including personalised letters to individuals who will be impacted by the changes alerting them to how they will be impacted. A helpline will also be established and all of this will happen in good time to give sufficient notice period before the changes take effect. Finally, waivers would be issued to those in severe financial hardship or in exceptional circumstances. This group of mitigations will, together, address the needs of those impacted by this change.

Summary of risk assessment

37. The impact on individuals has been noted in this consultation and it is expected that the recommended mitigations will limit this impact.

38. Whilst generally the introduction of the new charging policy may be seen as an increase in charges, that is only true for a limited number of individuals who can afford to contribute more towards their care than they currently do and the impact on those individuals will be mitigated by the financial assessment process and the principal guarantee that no one will contribute more than they can afford towards the cost of their care.
39. There is a risk that for some clients who will be asked to make a greater contribution to their care cost, there may be a disincentive to accept necessary care. It should be noted that when charging changes were made by preceding authorities, there was no reduction in service take-up and for those facing financial hardship who may consider cancelling care services, changes can be waived in exceptional circumstances to prevent this.

Background papers

Published works

- Care Act and Accompanying Statutory Guidance
- Department of Health and Social Care, guidance “Social Care Charging for local authorities; 2020-2021”
- BCP Health and Adult Social Care Overview and Scrutiny Committee, Adult Social Care Charging Policy, 18 November 2019
- BCP Cabinet Report, Adult Social Care Charging Policy, 20 December 2019
- [Adult Social Care Charging Policy, Health and Adult Social Care Overview and Scrutiny Committee papers, 26 September 2020](#)
- [Adult Social Care Charging Policy Equality Impact Assessment](#), Enclosure 6, Health and Adult Social Care Overview and Scrutiny Committee papers, 26 September 2020

Appendix

1 BCP Adult Social Care Charging Policy Draft



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1 Introduction

It is important that people engaging with Adult Social Care Services understand that they can be charged for the care and support they receive. Services provided through Adult Social Care are not free at point of contact, as may be the case with the National Health Service (NHS).

BCP Council's Charging Policy explains what care and support services a person may be charged for and how we calculate what is reasonable for a person to pay. We call this calculation a financial assessment.

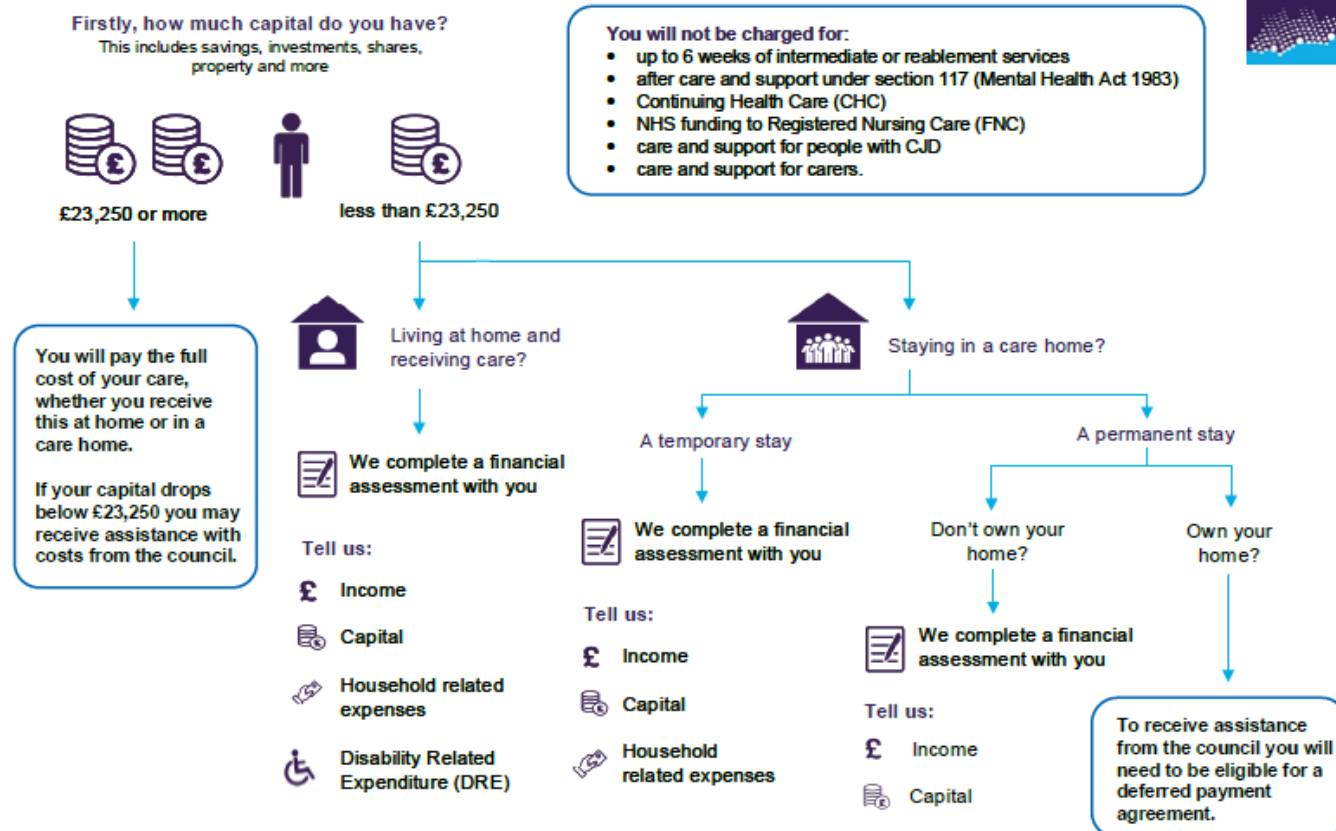
BCP Council's Charging Policy complies with the Care Act 2014. Our aim is to provide a consistent and fair framework for charging and financial assessment for all individuals who receive care and support services.

BCP Council may charge for other services provided by Adult Social Care that do not directly relate to care and support. For example, the provision of training. The administration of these charges is dealt with in separate Adult Social Care policies or guidance.

When we refer to 'we' this means Adult Social Care Services, as part of BCP Council. We also mean other departments or organisations who are supporting Adult Social Care Services in providing care and support services.

When we refer to the 'person' we mean the person who is receiving care and support. Where someone has a financial representative, 'person' also refers to the representative who is acting on behalf of the person receiving care and support.

How does BCP Council charge for the care and support I receive?



The financial assessment (if you have £23,250 in capital, or less)



Living at home and receiving care?	Staying in a care home? A temporary stay	Staying in a care home? A permanent stay
<p>£ Income We include most of your income, although we will not include some benefits and payments</p> <p>£ Capital We will not include capital that you have under £14,250</p> <p>If you have capital between £14,250 and £23,250 we will include £1 for every £250 you have over £14,250</p> <p>£ Your main or only home If you own the home you live in, we will not include it in the assessment</p> <p>£ Minimum income guarantee We will not include some of your income so that you have money to cover your normal living costs.</p> <p>£ Disability Related Expenditure (DRE) We will also not include some of your income because you use this to cover extra expenses you have, due to a disability or longterm condition.</p>	<p>£ Income We include most of your income, although we will not include some benefits and payments</p> <p>£ Capital We will not include capital that you have under £14,250</p> <p>If you have capital between £14,250 and £23,250 we will include £1 for every £250 you have over £14,250</p> <p>£ Your main or only home If you own the home you live in, we will not include it in the assessment</p> <p>£ Personal Expenses Allowance £24.90 per week from your income will not be included. This covers your day to day costs</p> <p>£ Household related expenses If you have expenses related to your normal home we will not include some of your income because you use this to cover these costs. For example, water bills</p>	<p>£ Income We include most of your income, although we will not include some benefits and payments</p> <p>£ Capital We will not include capital that you have under £14,250</p> <p>If you have capital between £14,250 and £23,250 we will include £1 for every £250 you have over £14,250</p> <p>£ Personal Expenses Allowance £24.90 per week from your income will not be included. This covers your day to day costs</p> <p>£ Savings Credit disregard Depending on what savings you have, you may get up to an extra £5.75 per week as a Savings Credit disregard</p> <p>£ Deferred Payment Agreements If you own your home, or another property, then normally you will pay the costs of your care and support yourself. However, if you are eligible, a deferred payment agreement may enable you to receive 'a loan' from the council, using the value of your home as security.</p>

2 Legal Framework and Principles

The [Care Act 2014](#) provides a single legal framework for charging for care and support.

Section 14 of The Care Act 2014 provides local authorities with the power to charge individuals who receive certain care and support services. Please see [4 When we won't charge](#) for a list of services that we do not charge for.

Section 17 of The Care Act 2014 allows BCP Council to assess a person's finances in order to confirm the amount an individual can contribute to the cost of meeting their eligible care and support needs. This is called a **client contribution** or an **assessed charge**.

BCP Council will refer to [Care and Support \(Charging and Assessment of Resources\) Regulations 2014](#) and [Care and Support Statutory Guidance](#) issued under the [Care Act 2014](#), in all regards for specific guidance relating to charging and financial assessment, and as such, these statutory regulations form the basis of this policy.

This guidance is subject to any national changes in legislation and/or regulations. There may be occasions of unprecedented change to local or national circumstances which will require BCP Council to adapt its charging framework for Adult Social Care, in line with the latest government guidance or legislation. The impact of any changes will be fully considered, and decisions recorded, with the aim of upholding the principles below.

2.1 Principles

The principles underpinning this charging policy are:

- To ensure a fair, consistent and comprehensive charging framework, where all contributions towards the cost of care and support are based on what is reasonably practicable for the person to pay.
- To ensure that the charge is based on the actual cost of the service to BCP Council and is sustainable for us in the long-term. Charges will therefore be reviewed annually and may be adjusted based on changes to the cost of services delivered.
- That our charging arrangements should support our work to promote wellbeing, as outlined in the Care Act 2014.
- That our charging arrangements are person-focused, reflecting the range of care and caring journeys an individual may experience and the variety of options available to meet their needs.
- To ensure that care and support needs are assessed separately from a person's ability to pay.
- To encourage and enable those who wish to stay in or take up employment, education or training or plan for the future costs of meeting their needs to do so.
- To support carers to look after their own health and wellbeing and to care effectively and safely.
- To be clear and transparent, so that people know what they will be charged and how their client contribution is calculated.
- That all efforts will be made to provide accessible information for every individual.
- To be fair and equitable to all.

This policy applies to charging arrangements for people previously assessed by the local authorities preceding BCP Council: Bournemouth Borough Council, Dorset County Council and Borough of Poole Council (from now on referred to as the Legacy Councils), as well as people coming to BCP Council Adult Social Care Services for the first time.

For ASC Staff and ASC clients' responsibilities, please see [23 Roles and Responsibilities](#).

3 How we charge: care and support received at home or in the community, residential care and support for carers

BCP Council calculates charges for care on a weekly basis, running Monday to Sunday.

For those receiving care and support at home or in the community, we will send an invoice to the person every four weeks.

Direct payments are paid to a person excluding their client contribution.

For people receiving care and support in a care home, we may pay the council's contribution to care homes directly, excluding the person's client contribution, and any top-up that may have been agreed. We will inform the care home of how much the person's contribution is and they will then invoice the person directly for that amount. These payments are made every two weeks. Alternatively, the council can pay the care home the full cost of the care and then invoice the person every four weeks for the amount of their assessed client contribution.

Care providers or care homes may request any payments made directly to them are at a different frequency, for instance monthly.

There are general rules as to how a person's capital and income are treated, the following chapters will explain this. Later chapters outline our position specifically in relation to:

- [14 Charging for care and support a person receives at home or in the community](#)
- [15 Charging for care and support a person receives in a care home or nursing home.](#)

We do not charge for services provided directly to carers.

3.1 When will a person's contributions start?

A person's contribution is payable from the date their chargeable care and support commences. Should a person receive details of their client contribution after their care and support has started, they should expect that their contribution will be backdated to this date and that they will be required to pay their assessed contribution in full.

We aim to advise individuals of their assessed client contribution as soon as practicably possible. The speed at which we can do this will sometimes depend on additional questions we may need to ask of the person or their representative, and how quickly we receive information to support the financial assessment.

If a person is concerned that the backdated payment is unaffordable, we ask that the person contact us at the earliest opportunity to discuss the situation. For more information please see BCP Council Debt Management Policy.

4 When we won't charge

As outlined in the [Care and Support Statutory Guidance](#) (Chapter 8, paragraph 14), BCP Council will not charge for:

- intermediate care for up to 6 weeks
- reablement services for up to 6 weeks
- aids and minor adaptations (up to a cost of £1000)
- care and support provided to people with Creutzfeldt-Jakob Disease (CJD)
- after care services and/or support provided under section 117 of the Mental Health Act 1983
- any service or part service which the NHS is under a duty to provide. This includes Continuing Health Care (CHC) and the NHS contribution to Registered Nursing Care (FNC)

- interim care funded by the NHS pending the outcome of a full CHC assessment
- assessment of a person's needs and care planning (a person contributes to the cost of meeting their care and support needs, they do not pay for the time spent assessing what those care and support needs might be).

BCP Council have also made the decision not to charge for the following, although the Care Act 2014 allows us the discretion to.

- services provided directly to carers
- administration costs relating to arranging care for those who have capital over the limit of £23,250, see [9 When a person is considered to be able to self-fund their care](#).

5 When we may charge

All other services arranged by Adult Social Care on behalf of BCP Council (those not showing in the above chapter) will be charged for. This may be the full cost of the service or a reduced amount, as decided by a financial assessment.

In some cases, a person may not be required to pay a client contribution because a financial assessment shows that their income is only just enough to cover their basic living costs, and their capital is lower than the lower capital threshold of £14,250, see [12.2 Capital limits](#).

6 Information, advice and engagement

Further to this policy, we will provide information explaining how we will conduct a financial assessment and what information and evidence we require from the person in order to do this. This will usually be in writing although we may also provide information and advice online, over the phone or in person.

We will always provide written confirmation of a person's assessed client contribution.

Where we identify that a person appears not to be receiving the benefits they are entitled to, we will inform them and advise where to make the application. In some situations, an increase in a person's income may result in an increase in their client contribution.

We look to provide information to the person using their preferred communication method. As outlined in our principles, we aim to make information accessible for all and will respond to individual requirements where we can.

The council will consult people receiving care and support services arranged by us on any major changes to its charging framework. However, this does not apply to legislative or regulatory changes that may affect what we charge. For example, the Personal Expenses Allowance (PEA) is set annually by the Government.

7 Financial representatives

A person who has mental capacity to manage their financial and property affairs may wish to nominate someone to act as a financial representative on their behalf. We require the person to sign a declaration to confirm this. A person may have already arranged for someone to act under power of attorney, we will require evidence of this.

A person who lacks mental capacity to make financial decisions may have:

- previously arranged for a person to act under registered power of attorney for property and financial affairs
- been granted a deputy for property and affairs by the Court of Protection or, if neither of these have been arranged
- an appointee for benefits who deals with any income they receive from the Department for Work and Pensions (DWP).

We require evidence that a financial representative has authority to act on the person's behalf for any of the above.

We strongly encourage people to consider appointing an attorney before they require the assistance of one. For more information go to gov.uk/power-of-attorney.

8 Mental capacity considerations

BCP Council will need to establish whether a person has the mental capacity to make financial decisions. Either way, the person must still receive a financial assessment to confirm the contribution they should pay.

However, if we have identified that the person does not have mental capacity to make these decisions, they will not be able to consent to a financial assessment. We will talk with family and friends to identify someone to act as an authorised financial representative.

If the person who is deemed to lack capacity has no-one acting under registered power of attorney or as a deputy, then an application to the [Court of Protection](#) for deputyship may be required.

There may be occasions where we have cause for serious concern as to how a person's money is being managed. We have a duty to report these cases to the Office of the Public Guardian and will do so, as well as making a referral to the Adult Social Care Services Safeguarding team.

8.1 Interim funding: paying costs of care and support whilst an authorised financial representative is put in place

Where a person lacks capacity to make financial decisions and does not have an authorised financial representative, they may find themselves in a situation where they are unable to access their money. In these circumstances, BCP Council may consider temporarily meeting the full cost of the care service to ensure that a person's care and support is not put at risk due to non-payment.

We will make these payments on the understanding that:

- no other arrangements can be made to secure the care and support being received
- someone is applying to become an appointee and/or a deputy
- this person is treating the application as a priority
- the appointee/deputy will advise us promptly once they have the outcome of the application
- the appointee/deputy will complete a financial assessment for the person receiving care and support once they have been authorised as a financial representative
- the appointee/deputy will arrange repayment of the backdated assessed charge from the person's available finances.

We require assurances from the person seeking to become the authorised financial representative that the application is progressing. Failure to provide these assurances may result in BCP Council seeking an alternative financial representative to act on behalf of the person receiving care and support.

Once a person has been made an appointee or deputy, we require them to promptly complete the financial assessment form and promptly arrange repayment once we have advised them of the person's assessed charge.

9 When a person is considered able to self-fund their care and support

Where a person has £23,250 or more in capital, they will be expected to fund their care and support without the assistance of BCP Council. See [12 Capital and the financial assessment](#) for information as to how this is calculated and what is included.

In some cases, it may be determined that a person receives a sufficient amount of income to pay for their care and support without the assistance of BCP Council. See [13 Income and the financial assessment](#).

Where a person is able to fund their care and support themselves, the council can still meet eligible care and support needs:

- if they are delivered outside of a care home setting
- and the person requests that we do so.

We will invoice the person for the full cost of the care and support provided. We will not make a charge for our administration costs. A care and support assessment will be needed to ensure that the care and support provided is necessary and/or appropriate.

Individuals who are self-funding their care and support may wish to approach the council for financial assistance once their capital drops close to £23,250. If contacted, we will look to complete a financial assessment to indicate what the person's client contribution may be if their capital drops below £23,250.

There may be occasions where a person is self-funding their care and support in a care home, and the cost of this is higher than our standard agreed rates with residential care providers. If a person becomes eligible for assistance from the council in this situation, they must bear in mind that they may have to either move to alternative accommodation or be able to arrange payment of a top-up. See [11 'Top-up' payments](#) for further explanation.

10 Carrying out a financial assessment

BCP Council will offer a financial assessment to everyone who is receiving, or is likely to receive, care and support services that we charge for. The financial assessment will confirm how much a person can afford to contribute to the cost of the services they receive.

We must complete a financial assessment to determine what a person's financial contribution will be. We will complete this before the chargeable care and support begins, where possible.

In most cases we require evidence to confirm a person's capital, income and relevant expenditure. It is the responsibility of the person applying for assistance with their care and support costs to provide evidence to support the financial assessment.

Once a financial assessment is completed, we will provide the person with a written record of the assessment. We will also confirm in writing what the client contribution will be and how often it should be paid.

10.1 What is capital and what is income?

We will treat a person's resources as either capital or income. We will not treat a resource as both because this would disadvantage the person receiving the financial assessment.

When we determine whether a resource should be treated as income or capital, we will take into account whether the resource is paid for a specific period and/or is intended to be part of a series of payments.

Please see the [Care and Support Statutory Guidance](#) (Annex B, paragraphs 8 and 55 – 57) for more information as to which type of payments are considered capital, and which type of payments are considered income.

10.2 'Light-touch' assessments

In some circumstances we will not require a person to complete a full financial assessment to confirm their client contribution. This is because we are satisfied that the available information already confirms how much the person can afford to pay.

Examples of where a light-touch assessment may be appropriate include:

- Where a person has significant capital, savings and/or income, and does not wish to undergo a full financial assessment for personal reasons. Please see [12 Capital and the financial assessment](#) for more information.
- Where we charge a small or nominal amount for a particular service which the person is clearly able to meet the cost of and would have the relevant minimum income left.
- When we are provided with evidence that an individual is in receipt of certain benefits, or someone else receives a benefit for them.

The decision to complete a light-touch assessment is at the discretion of BCP Council. If a person does not agree with the outcome of a light-touch assessment they can ask for a full financial assessment.

10.3 Reviewing the financial assessment

Financial assessments will normally be reviewed annually. However, a person may request a review of their financial assessment at any time.

If a person has a change to their income or a significant change to capital at any time, the person must contact us so that we can arrange a financial reassessment. In most cases the change to a person's client contribution will take effect from the date the person's financial circumstances changed.

10.4 Where we are unable to complete a financial assessment

Where a person or their representative declines or refuses a financial assessment, BCP Council is entitled to require the person pay for the full cost of their services.

In some circumstances, we may choose to base a financial assessment on the information currently available to us. This decision is at the discretion of BCP Council.

11 'Top-up' payments

Where possible, we will provide a choice of accommodation relevant to the person's eligible care and support needs and within the person's personal budget, as determined by their care and support assessment. BCP Council adheres to the relevant legislation governing choice of accommodation, as explained in the [Care and Support Statutory Guidance](#), Annex A.

However, a person may prefer a setting for their care and support that is more expensive than the choice of accommodation available within the person's personal budget, as outlined within their care and support plan. In accordance with the [Care Act 2014](#), BCP Council does not have a responsibility to meet the extra cost of this preferred accommodation.

A top-up payment will need to be arranged for the person to be able to move, or continue to stay, in their preferred accommodation. This regular payment will cover the difference between the maximum rate stated in the personal budget, and the actual cost of the preferred accommodation.

A top-up may be paid by the person receiving the care and support, or by a third party. This will depend on the circumstances and is explained in the chapters below: [11.2 First party top-ups](#) and [11.3 Third party top-ups](#).

Where we agree that a top-up arrangement is affordable and sustainable, we will place the person in their preferred accommodation, providing that:

- the accommodation meets the person's eligible care and support needs
- the accommodation provider will enter into a contract with us on the council's usual terms.

We will provide advice and information to assist the person in deciding whether a top-up arrangement is right for them. We also suggest that the person receive independent financial advice.

When a person enters into a top-up arrangement, they must sign an agreement. The agreement will include the details of the arrangement and the consequences of ceasing to make payment.

Please note, a top-up payment is paid **in addition** to a person's client contribution. Where a top-up payment is required, the client contribution is calculated based only on the maximum rate stated in the person's personal budget.

11.1 Agreeing a top-up arrangement

BCP Council has a responsibility to ensure, within reason, that the person who will pay the top-up payment is willing and able to do this.

We will refer to the [Care and Support Statutory Guidance](#) when we decide whether a top-up payment is affordable and sustainable. We may request information from the person who will pay the top-up to confirm their financial circumstances. This information will be processed in accordance with our data privacy notice.

We will advise the person who is to pay the top-up that they must expect:

- to be able to pay the top-up for the likely duration of the stay
- they may be liable for any increases due to changes in the accommodation's fees or changes to the financial assessment
- to be liable to repay any unpaid top-up payments to the council, where we have made payments to the provider to cover these unpaid fees
- they may face legal action if they refuse to repay the council
- the person who the top-up is paid for may need to move to best value accommodation if the top-up is not paid or is no longer affordable.

The person who is to pay the top-up must agree to the above if we are to arrange care and support in the preferred accommodation setting.

We will review top-up arrangements periodically to ensure that they continue to be affordable and sustainable.

11.2 First party top-ups

A person can only pay a top-up towards their own care and support if:

- they are subject to a [12-week property disregard](#)
- they have a deferred payment agreement in place with BCP Council, (the council will pay the top-up element, the amount will then be added to the sum that is deferred, see [Deferred Payment Agreement Policy](#))
- they are in accommodation provided under section 117 of the Mental Health Act 1983 for mental health aftercare.

The above conditions are all subject to BCP Council agreeing that the top-up is affordable and sustainable, as explained in [11.1 Agreeing a top-up arrangement](#).

Where a person is paying a top-up from their capital during the 12-week property disregard, it should be noted that this will not reduce the level of tariff income that applies during those 12 weeks, see [12.4.1 Tariff income](#).

11.3 Third party top-ups

A third party is not obliged under national regulations to provide their financial information and/or evidence to the council for the purposes of assessing their ability to pay a top-up. However, we may ask for information and evidence to support a person's top-up request.

The applicant should understand that providing information and/or evidence will help us in reaching a more accurate decision. Where we do not have enough evidence that a top-up is affordable, we are likely to turn down the request.

11.4 Paying the top-up

Once agreed, the person liable to make top-up payments can either:

- pay the top-up payment directly to the care home provider
- pay the top-up payment to BCP Council. We will pay this to the care home provider and invoice the payee for the arranged top-up amount
- have the agreed top-up amount added to their deferred charge. This only applies for individuals who have a deferred payment agreement, see [Deferred Payment Agreement Policy](#).

The arrangement will be agreed with the payee and the care home provider in writing. This will include frequency of payments.

11.5 Consequences of ceasing to pay a top-up

BCP Council will ensure payments continue to the care home provider in the event of non-payment by the person who has agreed to pay the top-up. We will consider doing this as a short-term measure only, to ensure the person's living and care arrangements are secure whilst alternative arrangements are made.

However, we are not obliged to continue to fund the extra cost of the care where an alternative arrangement can be made. Should there be a break down in the top-up arrangement, we will investigate as to whether another person can make these payments. We will also review the person's care and support plan.

Where there is no option for a top-up to continue to be paid, the person in the preferred accommodation may need to move to an alternative setting. In making this decision we will take into account the outcome of the care and support plan review.

The Care Act 2014 gives BCP Council the power to recover any payments we have made to the accommodation provider, due to unpaid top-up payments. The person who has agreed to pay the top-up is liable to make these repayments. We will therefore pursue repayment in these cases. This can also include legal action and we reserve the right to recover our legal costs. For more information, please see BCP Council Debt Management Policy.

12 Capital and the financial assessment

A person's capital is taken into account when financially assessing the client contribution that the person will pay. Firstly, we will look to see whether the amount of capital a person has will affect their eligibility to receive financial assistance, see [12.2 Capital limits](#). Secondly, where a person is

eligible for financial assistance, we will calculate how the amount of capital will affect how much the person's client contribution will be, see [12.4.1 Tariff income](#).

12.1 What is capital?

Capital is any financial resource available to use, even if not immediately available. This may be savings, land, property, stocks and shares, trust funds or cash. There are many other financial resources that may also be considered capital.

When deciding what should be treated as capital, we will consider the advice given in the [Care and Support Statutory Guidance](#) (Annex B).

BCP Council will not include a person's financial resources twice in the financial assessment. For example, if a person has an annuity, we will not include this as capital and as income from payments.

12.2 Capital limits

When we assess how much a person can afford to contribute to their care and support, we will apply an upper capital limit of £23,250 and a lower limit of £14,250.

A person with capital over £23,250 will be considered able to self-fund their care and support without financial assistance from the council.

A person with capital between £14,250 and £23,250 will have the amount of their capital taken into account as part of the financial assessment, see [12.4.1 Tariff income](#).

A person with capital below £14,250 will not have the amount of their capital included in the financial assessment.

12.3 Who owns capital

Normally the owner of capital will be the person whose name the capital is held in. They are the legal owner. However, there are cases where someone may be a 'beneficial owner'. The [Care and Support Statutory Guidance](#) (Annex B, paragraph 10) explains further what we will consider when determining if a person should be considered a 'beneficial owner'.

In some cases, there may be a dispute regarding ownership of a capital asset. Where ownership is disputed, we will require written evidence to prove who the owner is. If it cannot be adequately proved that the person does not: own the capital asset, is not a beneficial owner, or is legally unable to access the value of the capital asset, it will be included as capital in the financial assessment.

12.4 How we assess/treat capital

In general, the value of capital will be included at the current market rate or surrender value. For how we assess the value of a property, please see, [12.5.2 How we financially assess property](#).

12.4.1 Tariff Income

Where a person has capital between the lower capital limit of £14,250 and the upper capital limit of £23,250 we will include 'tariff income' in the financial assessment.

For every £250 of capital, or part of £250, we assess that a person can contribute £1 per week towards the cost of their eligible care and support. This is their tariff income. Please see the [Care and Support Statutory Guidance](#) (Annex B, paragraph 27) for an example.

12.4.2 Treatment of investment bonds

Due to the range of investment products on offer, we may seek advice from our legal department if it is unclear as to how we should treat capital held in an investment bond.

12.4.3 Capital held abroad

Where capital is held abroad and it can be transferred to the United Kingdom, we will assess the current value using the relevant exchange rate. Capital held jointly abroad will be treated the same as if it were capital held jointly in the UK.

Where capital cannot be wholly transferred to the United Kingdom, please see the [Care and Support Statutory Guidance](#) (Annex B, paragraphs 21 and 22) as to how this will be treated.

12.4.4 Capital which is not immediately accessible

Where capital cannot be made immediately available due to notice periods, the current value will still be taken into account in the normal way and at its value on the date of the financial assessment.

12.5 Property

Property is a form of capital and so may be included as part of the financial assessment. Property is usually a person's home, but may also be other buildings or land that a person owns, co-own or has a 'beneficial interest' in. Where it is included in the assessment, the assessed value (see [12.5.6 How we financially assess property](#)) is taken into account from the date of the financial assessment, unless a 12-week property disregard applies (see [12.5.4.2 The 12-week property disregard: for individuals residing permanently in a care home](#)).

However, we will first establish if the property should be disregarded.

12.5.1 When we disregard property

We will only consider disregarding a person's main or only home. Any other property, such as a second home, property that is let and/or land, will be included as part of the financial assessment. This includes property held abroad which must be declared.

The following chapters explain when we will disregard a person's main or only home.

12.5.2 How we treat property when a person receives care and support whilst living in their own home

We will disregard a person's main or only home in the financial assessment when someone receives care and support services whilst living in their own home.

12.5.3 How we treat property when a person temporarily stays in a care home or hospital

We will disregard a person's main or only home when the person temporarily stays in a care home (including as a respite stay) or in a hospital, as long as the person:

- intends to return to this home (and it is available for them to return to) or
- is taking reasonable steps to dispose of this home so that they can buy a more suitable property which they intend to live in.

12.5.4 How we treat property when a person permanently moves to a care home

Where a person moves permanently to a care home we will normally include their former home as capital in the financial assessment, as explained in [12.5.6 How we financially assess property](#). However, we may be able to disregard the person former home in the circumstances explained below.

12.5.4.1 Disregarding property when the main or only home is still occupied

Where a person has moved permanently to a care home we may be able to disregard the property in the financial assessment if another person (referred to as the occupier) from the following list lives there.

The disregard will only apply if this occupier lives at the property as their main or only home and they lived there before the person receiving care and support moved to a care home.

The occupier must be either:

- the partner, former partner or civil partner of the person receiving care and support (unless they are estranged)
- a lone parent if they are the person's estranged or divorced partner
- a 'relative' (this must be a relative from the list below) or member of the relative's family, who is also either:
 - aged 60 or over
 - is a child of the person receiving care and support aged under 18
 - is incapacitated.

When we refer to a 'relative' we mean someone from the list below.

- parent (including an adoptive parent)
- parent-in-law
- son (including an adoptive son)
- son-in-law
- daughter (including an adoptive daughter)
- daughter-in-law
- step-parent
- step-son
- step-daughter
- brother
- sister
- grandparent
- grandchild
- uncle
- aunt
- nephew
- niece
- the spouse, civil partner or unmarried partner of the first 11 referenced above (from parent to sister).

When we refer to a 'member of the relative's family', we mean someone who is living with the relative as their partner or spouse.

When we refer to someone who is incapacitated, we mean someone who is receiving disability benefits or would receive a disability benefit if they applied for it. We may ask for medical evidence if it is unclear that someone should be considered incapacitated.

When we say occupy, we mean that it is the person's main or only home. If it is unclear, we will ask for more information and/or evidence in order to decide whether a person can be considered to occupy the property.

12.5.4.2 The 12-week property disregard: for individuals who permanently live in a care home

During the first 12 weeks stay in permanent residential accommodation, the value of a person's main or only home is disregarded where they have been assessed as having eligible needs for care and support, and the person is eligible for assistance with funding.

This will only apply from the date:

- the person first enters a care home as a permanent resident. For example, a 12 week-disregard does not apply if a person has been self-funding their care in a care home before approaching the council for assistance with funding
- the property disregard relating to the person's partner occupying the property ends. This may be because the partner has themselves moved to a care home or has died.

After 12 weeks, unless there is a statutory disregard of the property, the value of the property is included as a capital resource in the financial assessment. At this point BCP Council can only continue to assist with funding if a deferred payment agreement can be arranged. For more information regarding other disregards of property please see [Care and Support Statutory Guidance](#) (Annexe B, paragraphs 34 - 42).

12.5.5 Discretion to disregard property

There may be other circumstances where we will consider disregarding a property. The purpose for offering a discretionary disregard is to safeguard certain occupiers from the risk of homelessness.

We will determine whether there is a risk based on the information available and we reserve the right to refuse a property disregard if we do not consider it is appropriate. We will have reference to the [Care and Support Statutory Guidance](#) when making this decision.

12.5.6 How we financially assess property

Where property is not disregarded it will be included as part of a financial assessment. We will initially complete a light-touch assessment to confirm the likely equity in the property.

Once we have confirmed the amount of estimated equity, we will disregard 10 per cent of the figure to allow for expenses associated with selling property.

If it is clear from the light-touch assessment that the estimated equity, and any other capital the person holds, totals more than the upper capital limit of £23,250, we will confirm in writing that the person is not eligible for financial assistance from the council.

However, if the combined value is close to £23,250, or there is not enough information to complete a light-touch assessment, we will require more evidence. This will include:

- a land registry search
- a desk-top valuation
- evidence of any outstanding charges held against the property, such as a mortgage
- any other evidence that we consider required to complete an accurate assessment.

In all cases, we reserve the right to conduct a full assessment where we are not satisfied that a light-touch assessment is appropriate. If we feel the evidence provided is not

sufficient to make an accurate assessment, we reserve the right to assume that the value of the property is higher than the upper capital limit of £23,250.

12.5.7 Property and a deferred payment agreement

A deferred payment is a way of deferring the costs of care and support against the value of an asset, usually the home of the person who is receiving care.

This means a person delays part of their payments towards their care and support costs by agreeing that BCP Council will pay this part now, and they will pay the money back later, usually when the deferred payment agreement ends.

A deferred payment agreement can only be considered in certain circumstances and only when a person is in permanently living in a care home (and occasionally where someone is living in supported living accommodation). For more information, please see [Deferred Payment Agreement Policy](#).

12.6 Capital that is disregarded

We disregard some types of capital in the financial assessment. For a current list of capital that we must disregard under national regulations, please see the [Care and Support Statutory Guidance](#) (Annex B, paragraph 33).

Other capital may be disregarded for a limited time period. For a current list of capital that we will disregard under national regulations, and for how long the disregard will apply, please see [Care and Support Statutory Guidance](#) (Annex B, paragraphs 47-52).

BCP Council will disregard capital that a person holds in a business for a reasonable period of time if we are satisfied that steps are being taken to obtain their share of the asset as soon as practicable. This is relevant where capital held in a business is not readily accessible. When making this a decision as to whether this capital should be disregarded, and for how long, we will have due regard to The [Care and Support Statutory Guidance](#) (Annex B, paragraphs 50-52).

12.7 Capital available on application and notional capital

The [Care and Support Statutory Guidance](#) distinguishes between:

- capital already owned by a person, but which they must apply in order to access the money (capital available on application) and
- capital not owned by the person, or not held directly in their name, but which will become theirs if they requested it (notional capital).

12.7.1 Capital available on application

Where a person needs to apply for capital but has not yet done so this will be treated as already belonging to the person, apart from the following:

- capital held in a discretionary trust
- capital held in a trust derived from a payment in consequence of a personal injury
- capital derived from an award of damages for personal injury which is administered by a court
- a loan which could be raised against a capital asset which is disregarded, for example the person's main or only home.

12.7.2 Notional capital

In some circumstances we may treat a person as having capital, even if it is not held directly in their name. This is called notional capital and could be capital which:

- would be available to the person if they applied for it
- is paid to someone else, although it is for the person
- the person has deliberately deprived themselves of to reduce the amount they have to contribute to the cost of their care and support.

We will include notional capital from the date that the person could have received it. For example, this may be based on the date that they were aware that they could apply for the capital. The [Care and Support Statutory Guidance](#) (Annex B, paragraph 60).

Where a person has been assessed as having notional capital, we reserve the right to include the maximum of what we consider could be available to the person.

The value of notional capital will then be reduced weekly by the difference between the weekly rate the person is paying for their care and support, and the weekly rate they would have paid if notional capital did not apply. For an example, please see The [Care and Support Statutory Guidance](#) (Annex B, paragraph 31).

More information on how notional capital is identified in deprivation cases can be found in [16 Deprivation](#).

13 Income and the financial assessment

13.1 How we treat income

In order to accurately assess how much a person can contribute to their eligible care and support needs we must know what their income is. We will gather this information, and evidence where needed, as part of the financial assessment.

Income will always be taken into account unless it is disregarded under national regulations, please see [13.2 Income that is disregarded](#) and [13.3 Income that is partially disregarded](#).

The amount of income we include in the financial assessment will always be after the deduction of any tax or National Insurance contributions.

Where a benefit payment has been reduced, for instance due to a previous overpayment, we will take into account the amount the person is entitled to before the reduction.

Only the income of the person receiving care and support will be taken into account in the financial assessment. Where this person receives income as one of a couple, we will assume that they have an equal share of that income.

Where a person lives with a partner or spouse and receives care and support whilst living at home, we will consider the impact of this on their financial situation.

13.1.1 How we treat income from pensions and annuities

In most cases when we complete a financial assessment, the amount a person receives as a pension or annuity is taken into account in full as income. However, there are some exceptions.

In the cases below we will assess pension income differently, in line with the [Care and Support Statutory Guidance](#):

- Where a person has removed pension or annuity funds and placed them in another product or savings account, this will be treated according to the rules for that product.

- Where a person is only drawing a minimal income from an annuity product, or choosing not to draw an income, we may apply notional income. This will be the maximum income that could be drawn under an annuity product. Please see, [13.4 Notional income](#).
- Where a person is drawing down an income that is higher than the maximum available under an annuity product, the actual income that is being drawn down will be taken into account.

13.2 Income that is disregarded

We disregard employed and self-employed earnings in full. For what we mean by earnings, see [Care and Support Statutory Guidance](#) (Annex C, paragraphs 9-13).

For a list of income from benefits that we will disregard under national regulations, please see [Care and Support Statutory Guidance](#) (Annex C, paragraph 15).

We include Working Tax Credits when we assess what a person can afford to pay towards the cost of their care and support in a care home. However, we disregard Working Tax Credit when we calculate what a person will contribute to the cost of their care and support arranged other than in a care home.

An annuity will only be disregarded if it:

- was purchased with a loan secured on the person's main or only home
- is a gallantry award, such as the Victoria Cross Annuity or George Cross Annuity.

For a list of other income that we will disregard under national regulations please see [Care and Support Statutory Guidance](#) (Annex C, paragraphs 29 – 32).

13.3 Income that is partially disregarded

Where a person is in a care home and paying half of the value of their occupational pension, personal pension or retirement annuity to their spouse or civil partner, we will disregard this payment.

There are circumstances where we can disregard parts of income from an annuity purchased as a 'home income plan'. Please see, [Care and Support Statutory Guidance](#) (Annex C, paragraphs 22 – 25).

There are circumstances where we can disregard parts of income from a mortgage protection policy. Please see, [Care and Support Statutory Guidance](#) (Annex C, paragraphs 27 – 28).

For a list of other income that we will partially disregard under national regulations, please see [Care and Support Statutory Guidance](#) (Annex C, paragraph 33). This includes information relating to savings disregards for individuals and couples.

13.4 Notional income

In some circumstances we may treat a person as having income, even if they don't receive it. This is called notional income and could be income which:

- would be available to the person if they applied for it
- is due to the person but they have not received it yet
- the person has deliberately deprived themselves of the income to reduce the amount they have to contribute to the cost of their care and support.

The above also includes where a person of qualifying age has a pension plan but has not purchased an annuity which would allow them to access the annuity income that would be available.

BCP Council calculates notional income from the date it could be expected the person would have begun to receive the income. For example, the date a person is made aware they could claim a disability benefit would be the date that they could apply for that benefit.

Where notional income is included in a financial assessment, we treat this in the same way as actual income. Therefore, we will disregard any notional income that would be disregarded as income in a financial assessment.

There are some sources of income that we will **not** treat as notional income:

- income payable under a discretionary trust
- income payable under a trust set up with a payment made as a result of a personal injury where the income would be available, but has not yet been applied for
- income from capital resulting from an award of damages for personal injury that is administered by a court
- an occupational pension which is not being paid because:
 - the trustees or managers of the scheme have suspended or ceased payments due to an insufficiency of resources
 - the trustees or managers of the scheme have insufficient resources available to them to meet the scheme's liabilities in full
- Working Tax Credit.

14 Charging for care and support which a person receives at home or in the community

This chapter relates to charging for services such as:

- home care
- day centres and day activities
- bathing at a day centre
- transport to and from day centres
- supported living
- personal budgets and direct payments
- support in an extra care housing scheme that is not counted as home care
- shared lives scheme.

This chapter also relates to how we charge people in prison for care and support services arranged by BCP Council's Adult Social Care Services.

So that we can complete a financial assessment, we will ask about the person's income and capital. We will also ask about certain household expenditure and disability related expenditure that the person has.

For information as to how we treat capital and income, see [12 Capital and the financial assessment](#) and [13 Income and the financial assessment](#).

However, the value of a person's main or only home will be disregarded when we assess a person's contribution to the above types of services. Any other property they own will be taken into account, as explained in [12.5.6 How we financially assess property](#).

14.1 Minimum income guarantee (MIG)

When someone is receiving care and support at home or in the community, we will arrange that a person keeps a minimum amount of income, after paying towards the cost of their eligible care and support needs.

We call this the minimum income guarantee (MIG). The Government sets the MIG rates for England annually, see [Social care charging for local authorities](#). The MIG should enable the person to cover their necessary living costs and assist them to live independently.

Further to these nationally set rates, where a person lives with a partner or spouse and receives care and support whilst living at home, we will consider the impact of this on their financial situation.

14.2 Disability Related Expenditure (DRE)

When a person has a disability, or disabilities, they may spend extra money because of this. For example, they may spend extra on laundry, or have higher than average heating bills due to a disability. We call this Disability Related Expenditure (DRE).

As part of a person's financial assessment, we will ask a person to confirm their DRE. Every individual is different, and so their DRE will be too. We therefore consider the individual's circumstances, including their care and support needs, when deciding what can be considered as necessary DRE, and how much to disregard from the financial assessment.

Where necessary to support our decisions, we will consider the advice given in the [National Association of Financial Assessment Officers' \(NAFAO\) Guide to Disability Related Expenditure](#). This guide is updated annually.

The NAFAO guide is just that. Therefore, in some circumstances we may consider allowing for items not included in the NAFAO guide or allow for a higher cost than suggested in the guide. Similarly, whilst an expense or allowance may be suggested in the NAFAO guide, we may consider that in certain individual cases, that expense or allowance is not necessary, and therefore would not be disregarded in the financial assessment. Allowances for DRE are at the council's discretion and evidence to confirm an expense may be requested.

The following principles will inform our decision as to what is considered necessary DRE:

- Only items where the person has no choice other than to incur the DRE in order to maintain independence should be allowed.
- A DRE assessment will normally apply for a full year. However, it may be reviewed more frequently if the person requests this.
- We will consider the individual's care and support needs when making a decision.
- Only the most cost effective and reasonable form of DRE will be allowed within the financial assessment.
- Evidence/receipts may be requested to verify the expenditure. It may be that items will not be included within the financial assessment if no evidence of expenditure is provided.
- Items will be allowed based on past expenditure not future expenditure.
- If Disability Living Allowance/Personal Independence Payment mobility component is in payment, the costs of transport considered eligible as DRE can only be included if the amount paid each week exceeds the amount of the Disability Living Allowance/Personal Independence Payment mobility component. Generally, the Disability Living Allowance mobility component should cover the cost of transport.

A person can request their DRE allowance be reconsidered if they are unhappy. Final decision-making authority rests with the Service Director for Adult Social Care.

15 Charging for care and support which a person receives in a care home

So that we can complete a financial assessment we will ask for details of the person's income, capital and value of assets they own. If someone is staying temporarily in a care home, we will also ask about certain household expenditure that the person has, see [15.2 Temporary and short-term stays in a care home](#) for more information.

For information as to how we treat capital and income, please see [12 Capital and the financial assessment](#) and [13 Income and the financial assessment](#).

We will take into account some state benefits a person receives, for example Attendance Allowance. This may be different to the state benefits we take into account when someone is receiving care and support in their own home. For a full list of benefits that we take into account, and what we disregard when someone is residing in a care home, please see the [Care and Support Statutory Guidance](#) (Annex C, paragraphs 14-16).

15.1 Personal Expenses Allowance (PEA)

When someone is receiving care and support in a care home, we will arrange that a person keeps a minimum amount of income, after paying toward the cost of their eligible care and support needs.

This is referred to as a person's Personal Expenses Allowance (PEA). The Government sets the amount of PEA annually, see [Social care charging for local authorities](#). A person should be able to spend their PEA as they wish.

Although national legislation advises councils that they must leave a person with the nationally set amount of PEA, this does not override our right to charge a tariff income or include notional capital or income in a person's financial assessment. Please see [12.4.1 Tariff income](#), [12.7 Capital available on application and notional capital](#) and [13.4 Notional income](#) for more information.

There are some situations where we would consider allowing more than the minimum PEA, please see [Care and Support Statutory Guidance](#) (Annex C, paragraph 46) for more information.

15.2 Temporary and short-term stays in a care home

Following the assessment of a person's eligible care and support needs, it may be decided that a person would benefit from a temporary stay in a care home.

A decision that a person should stay temporarily in a care home will be agreed with the person and will be written into their care and support plan.

15.2.1 What is a temporary stay and what is a short-term stay?

A temporary stay in a care home is a stay that is intended to be for a limited period of time and there is a plan for the person to return home. Usually this would be for a stay of less than 52 weeks, although there may be exceptional cases where the stay may be longer.

There may be occasions where a person is staying in a care home on a permanent basis however, a change in circumstances allows for them to return home. In terms of the person's financial assessed client contribution, we will treat the person as being a temporary resident from the date of admission in these cases.

Where a temporary stay becomes permanent, we will update the financial assessment from the date the care plan is amended and agreed with the person.

A short-term stay in a care home is a stay of no more than 8 weeks.

Charges for respite stays are dealt with separately to this policy as part of Adult Social Care Services respite arrangements.

15.2.2 How we charge for temporary stays

BCP Council will include a person's capital and income in the financial assessment, as explained in [12 Capital and the financial assessment](#) and [13 Income and the financial assessment](#).

However, certain disregards will apply because the person will have a main home to maintain whilst they are temporarily staying in a care home.

We will disregard the person's main or only home, as long as the person:

- intends to return to this home (and it is available for them to return to) or
- is taking reasonable steps to dispose of this home so that they can buy a more suitable property which they intend to live in.

We will disregard part of their income to cover some costs relating to their home. What we allow is based on what we consider necessary so that their home is in a fit condition for them to return to. For example, contents insurance.

Where they are not the only person living in their home, the amount disregarded will be based on what we would reasonably consider is their portion to pay. For example, 50 per cent of the council tax if they live with another adult who is liable for the council tax bill.

Where the person's partner or spouse remains at home, we will consider whether they have sufficient income to cover their necessary living costs. For example, we may disregard half of the private or occupational pension of the person who is temporarily staying in a care home, if the partner or spouse would normally rely on this income to meet their day to day living costs.

We will disregard Attendance Allowance, Disability Living Allowance and Personal Independence Payments if the person is receiving any of these.

We will also disregard certain payments the person receives, such as Housing Benefit, the housing element of Universal Credit and income from sub-letting part of their home. Where a person has income from a boarder, we will disregard the first £20 of the income, plus half of any balance over £20.

15.2.3 How we charge for short-term stays

Usually a person's contribution to a short-term stay will be financially assessed as above.

However, in exceptional circumstances we may consider that a person requires short term residential care, due to difficulties in resourcing specific eligible care services to support and maintain the person living in their own home.

In these cases, we may assess and charge the person as if they were receiving the care and support they are eligible for in their own home. The decision to do so is at the discretion of BCP Council, as outlined in the Care and Support Statutory Guidance (Annex F, paragraph 8).

15.3 Permanent stay in a care home

A person residing permanently in a care home is likely to contribute most of their income towards their cost of care and support. As explained in [15.1 Personal Expenses Allowance \(PEA\)](#), PEA will be taken into account in the financial assessment.

Property will usually be taken into account, although certain disregards may apply, please see [12.5.1 When we disregard property](#) and [12.5.4.2 The 12-week property disregard: for individuals residing permanently in a care home](#). Where a property cannot be disregarded we will first determine whether the equity in the property will result in the person having over £23,250 in capital, see [12.5.6 How we financially assess property](#). If so, the person may have the option to pay for their care and support using a deferred payment agreement. Some information is provided

in [12.5.7 Property and a deferred payment agreement](#) however, for more detailed information see [BCP Council's Deferred Payment Agreement Policy](#).

When a person begins a permanent stay in a care home, they will be entitled to a 28 day 'run-on' of Attendance Allowance and the care components of other disability benefits (although a run-on may not apply if the person was in hospital before moving to a care home). We will include the relevant benefits in the financial assessment for the time that the person is eligible to receive the run-on. We will then remove this income from the assessment. This will reduce the amount the person will be required to contribute to the cost of their care and support, in line with the fall in their income.

It should be noted that it is the person's responsibility to inform the Department for Work and Pensions (DWP), or other third parties, of changes in their circumstances. This includes if they move to a care home. It is not the role of BCP Council to ensure this has been done.

Where a person fails to do this, they may accrue an overpayment of benefits which they will have to pay back to the DWP. It is not BCP Council's role to inform third parties of a change in a person's circumstances.

16 Deprivation

When completing a financial assessment or review, BCP Council may identify circumstances that suggest a person has deliberately deprived themselves of capital or income. An example would be where a person gives away a large sum of money. There may be a valid reason for withdrawing this money.

However, the Care Act 2014 allows the council to include as part of the financial assessment any income and/or capital that we are reasonably satisfied:

- the person has deliberately deprived themselves of and
- that this was done to avoid or reduce their contribution to the cost of the care and support they receive.

We will refer to the guidance relating to the [Regulation of Investigatory Powers Act 2000](#) where we choose to investigate cases of possible deprivation.

BCP Council will also refer to the [Care and Support Statutory Guidance](#) when making a decision as to whether deprivation has occurred. Where there is information to suggest or suspect that an asset has been disposed of, it is for the person to prove to BCP Council that they no longer have the asset, or any beneficial interest in it.

Where a debt to the council is accrued, we have the right to recover this, either from the person who has deprived themselves of their capital/income or from the third party who has received the asset in question.

16.1 Recovering charges from a third party

Where a person has transferred capital and/or income to a third party to avoid or reduce their contribution, the third party is liable to pay BCP Council the difference between what we would have charged the person and what we have charged the person. This means we can send an invoice to a third party for money we have calculated is owed to the council.

This applies to every third party where capital and/or income has been transferred to more than one person. However, a third party is not liable to pay anything more than the benefit they received from the transfer.

For more information as to how we can recover money owed to the council, please see BCP Council Debt Management Policy.

17 Debt

The way we charge for Adult Social Care services adheres to the principles set out in this Charging Policy, namely that charging will be fair. Therefore, it is to be expected that any debt accrued will be repayable.

For more information as to how we will work with an individual to resolve a situation where debt has built up, please see BCP Council Debt Management Policy. Particularly attention should be given to the statements provided in the appendix relating to Adult Social Care debt.

18 Charging Schedule

BCP Council's charges for Adult Social Care are provided in the Adult Social Care Charging Schedule.

19 Safeguarding

Safeguarding concerns the protection of adults at risk from situations which may place them at risk of harm, neglect or exploitation. BCP Council policy and procedures on Safeguarding Adults will be followed.

We may identify situations where we have cause for serious concern as to how a person's money is being managed. We have a duty to report these cases to the Office of the Public Guardian and will do so, as well as making a referral to the Adult Social Care Services Safeguarding team. We will refer matters to the police if we suspect a crime has been committed.

20 Data protection

We are committed to protecting the privacy of people who use our services. For more information about how we use a person's personal information and protect privacy please visit bcpcouncil.gov.uk/About-BCP-Council/Privacy.

21 Equality and diversity

The council is required to treat people fairly and is committed to principles of equality and respect for diversity. In line with BCP Council's [Equality and Diversity Policy](#) we will not discriminate against people who access our services, including in those circumstances where services are provided by third parties on our behalf.

22 Complaints

If a person is dissatisfied with Adult Social Care services, a decision made by Adult Social Care and/or feel they have been treated unjustly by Adult Social Care, they have the right to make a complaint to the council. If the person is still not satisfied they then have the right to make a complaint to the Local Government and Social Care Ombudsman. For the for Adult Social Care complaints process, please see [Comments, Compliments and Complaints](#). The complaints team may be contacted at comments.adultsocialcare@bcpcouncil.gov.uk.

23 Roles and responsibilities

Director of Adult Social Care Services:

- has the authority to review charges on an annual basis and adjust these based on changes to the cost of the services delivered
- has the authority to waive charges in exceptional circumstances
- ensures this policy is kept up to date and reflects national government legislation and regulations.

Managers:

- ensure staff have read, understood, and comply with this policy in the context of their role within Adult Social Care
- ensure those involved in the financial assessment process uphold the principles within this policy
- where a person requests a reassessment of either their care and support needs or client contribution, consider the request equitably and provide a written response outlining the reasons for the decision (where not resolved, further requests are then dealt with through Adult Social Care's [complaints](#) procedure).

All staff:

- read and adhere to this policy relative to their role within Adult Social Care
- ensure this policy is applied equitably across BCP Council
- ensure appropriate information and advice is provided to clients, as outlined in this policy
- relative to their role, ensure that the outcome of reviews, the impacts of uprated income and uplifts in provider costs are communicated clearly to the person.

Individuals receiving our services and their financial representatives

If a person wishes to receive assistance from BCP Council towards the cost of their eligible care and support needs the person, or their representative, is expected to:

- provide truthful and accurate information and evidence (to the best of their knowledge) to support the council in completing the financial assessment
- provide information and evidence in a timely manner to support the council in completing the financial assessment
- inform BCP Council promptly of any changes to their circumstances which may impact their assessed client contribution.

24 References and related information

Include useful links and related documents

[Care Act 2014: Sections 14, 17, 69 and 70](#)

[Care and Support \(Charging and Assessment of Resources\) Regulations 2014](#)

[Care and Support and Aftercare \(Choice of Accommodation\) Regulations 2014](#)

[Care and Support Statutory Guidance: Chapter 8 and Annexes A to F](#)

[Data Protection Act 2018](#)

Debt Management Policy BCP Council

[Deferred Payment Agreement Policy BCP Council](#)

[Equality and Diversity Policy BCP Council](#)

[Human Rights Act 1998](#)

[National Association of Financial Assessment Officers' \(NAFAO\) Guide to Disability Related Expenditure](#)

[Regulation of Investigatory Powers Act 2000](#)

Document Control

Version	Date	Details
0.1	27/03/2020	1 st Draft
0.2	23/06/2020	Updated following outcome of Charging Consultation and feedback from Head of Strategic Development and Change Management.
0.3	21/08/2020	Updated following feedback from Head of Access and Carers Services, Head of Specialist Services, Financial Assessment, Support and Related Debt Manager, Senior Officer for Financial Assessment (SVPP).
0.4	01/09/2020	Updated following feedback from ASC Charging Board. Further feedback received from Financial Assessment, Support and Related Debt Manager and Senior Officer for Financial Assessment (SVPP).
0.5	07/09/2020	Updated following feedback from ASC Senior Management Team Meeting and BCP Council Solicitor for ASC. Final amendments provided by ASC Complaints Manager, ASC Finance Manager, Collection Services Manager (SVPP), Head of Longterm Conditions, Head of Specialist Services, Head of Strategic Development and Change Management,

Documents this replaces

Bournemouth Borough Council Policy – Adult Social Care Charging Policy 2018/2019

Dorset County Council Policy – Charging and Financial Assessment Policy

Dorset County Council Policy – Schedule for non-residential care charges 2018-2019

Dorset County Council Policy – Transport Provision and Charging Policy 2018

Borough of Poole Policy – Adult Social Care Charging Policy 2018

Borough of Poole Policy – Fairer Contributions and Charging (including Disability Related Expenditure) Policy 2016

Borough of Poole Policy – Fee Rates and Charges Payable for Adult Social Care Services for 2018-2019

Equality Impact Assessment

Full assessment / Screening Complete - [Date](#)

Data Protection Impact Assessment

Assessment complete - [Date](#)

Review frequency

2 yearly – next review [Month and year](#)

Policy approval

Cabinet on [Date](#)

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Target audience

All Adult Social Care Staff and BCP Council Residents

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DRAFT

Glossary

Word	Description
accrue	Here this means when you build up an amount of money that you owe
annuity	Money paid out every year to someone. The money usually comes from an insurance policy
appointee for benefits	Someone who the Department for Work and Pensions (DWP) has agreed can receive and spend a person's benefits, if that person is not able to deal with their finances
assessed charge	The amount of money we have financially assessed that you should pay towards your eligible care and support needs
asset	Here, this means income, savings, or things that you own which have value. For example, property or investments
beneficial ownership	Where someone enjoys the benefits of owning something, even if it is held in someone else's name. Or it may be where someone has the power to influence a transaction regarding a particular asset, either directly or indirectly
boarder	Someone who pays to live in the home of the person they pay. They receive at least one meal a week as part of what they pay
capital	Money and other things you own (assets) that have monetary value
care and support plan	A written plan made with you after you have had an assessment. The plan says how your care and support needs will be met and what services you will receive
client contribution	The amount of money we have financially assessed that you should pay towards your eligible care and support needs
defer	Here this means to delay part of your payments towards your care and support costs by agreeing that the council will pay this part now, and you will pay them back later
deprivation	When you deliberately reduce the amount of savings, property or income you have, in order to qualify for help from the council with paying for care and support costs or to receive grants and/or benefits
deputy/deputyship	Here we mean someone appointed by the Court of Protection to make decisions on your behalf if you lack capacity to make those decisions yourself and have not already given someone power of attorney
desk-top valuation	Here this means working out how much something of value is worth by using information available on the internet. For example, the value of a property

disregard

Here this means not to include something in a financial assessment

eligible care and support needs

The needs you have for care and support that the council is required by law to meet

equity

The value of something (such as a house), less the money you owe on it

financial assessment

Where we look at your income, capital and individual circumstances to work out how much you can afford to pay towards your eligible care and support needs

financial representative

A person that deals with your finances and financial decisions for you.

This might be an informal arrangement (you have agreed this with a family member or friend) or a formal arrangement (such as appointing a solicitor, giving someone else power of attorney, or where the Court of Protection appoint someone as your deputy)

intermediate care

Care and support services aimed at keeping you at home rather than in hospital, or helping you to come home early from hospital after illness or injury

market rate

The usual price of something

mental capacity

Being able to make your own choices and decisions. To do this you need to be able to understand and remember information and tell people what you have decided. A person may lack capacity because of a mental health problem, dementia or learning disability

minimum income guarantee (MIG)

The amount of money you keep for your living costs when you live at home, after paying toward the cost of their eligible care and support needs

personal budget

The amount of money we have assessed is needed to meet the cost of your eligible care and support needs

personal expenses allowance (PEA)

The minimum amount of money you keep for your own personal needs if you move into a care home

power of attorney

A legal decision you make to allow a specific person to act on your behalf, or to make decisions on your behalf, if you are unable to do so. You can arrange this so that someone can make decisions about your health and welfare, and/or your property and finances. You can only arrange this if you have the mental capacity to do so

preferred accommodation

The place you would like to receive care, usually a care home that is more expensive than the care homes we offer you to support your eligible care and support needs

reablement services	A way of helping you remain independent, by giving you the opportunity to relearn or regain some of the skills for daily living that may have been lost because of illness, an accident or disability
residential care	Care in a care home, with or without nursing, for older people or people with disabilities who require 24-hour care
respite care	A service that gives carers a break from their caring responsibilities, by providing short-term care and support for the person with care needs. This may be in their own home or in a residential care home
self-fund	When you arrange and pay the full cost of your own care and support services and do not receive financial help from the council
short-term stay in residential care	A stay of no more than eight weeks.
spouse	A person's husband or wife
surrender value	The amount of money you receive if you cancel a financial product before it is due to end. For example, a life insurance policy
tariff income	Here, this is an amount of money we include as income in your financial assessment because you have savings over £14,250. For every £250 you have between £14,250 and £23,250, we will include £1 as income
temporary stay in residential care	A stay that is intended to be for a limited period of time (less than 52 weeks) and there is an intention to return home
third party	A person or organisation that is not you and is not the council. For example, a family member
top-up	The additional amount that must be paid by you or a third party if you choose to live in a care home that costs more than the council's standard rates
uplift	An increase in the agreed fees with care and support providers, to reflect an increase in their costs, if any. These are usually reviewed annually
uprate	A set percentage increase of certain benefits, state pensions and some occupational pensions

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