BROMSGROVE DISTRICT COUNCIL

MEETING OF THE CABINET

WEDNESDAY 27TH JULY 2022
AT 6.00 P.M.

PARKSIDE SUITE - PARKSIDE

MEMBERS: Councillors K.J. May (Leader), G. N. Denaro (Deputy Leader),
M. A. Sherrey, P.L. Thomas, M. Thompson and S. A. Webb

AGENDA

1.   To receive apologies for absence

2.   Declarations of Interest

To invite Councillors to declare any Disclosable Pecuniary Interests or Other Disclosable Interests they may have in items on the agenda, and to confirm the nature of those interests.

3.   To confirm the accuracy of the minutes of the meeting of the Cabinet held on 6th July 2022 (Pages 1 - 6)

4.   UK Shared Prosperity Fund (Pages 7 - 48)

5.   Quarterly Risk Update Bromsgrove- July 2022 (Pages 49 - 64)

6.   To consider any urgent business, details of which have been notified to the Head of Legal, Democratic and Property Services prior to the commencement of the meeting and which the Chairman, by reason of special circumstances, considers to be of so urgent a nature that it cannot wait until the next meeting

K. DICKS
Chief Executive

Parkside
Market Street
BROMSGROVE
Worcestershire
B61 8DA

15th July 2022

GUIDANCE ON FACE-TO-FACE MEETINGS

At the current time, seating at the meeting will be placed in such a way as to achieve as much space as possible for social distancing to help protect meeting participants.

Please note that this is a public meeting.

If you have any questions regarding the agenda or attached papers, please do not hesitate to contact the officer named above.

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Members and Officers who still have access to lateral flow tests (LFTs) are encouraged to take a test on the day of the meeting. Meeting attendees who do not have access to LFTs are encouraged not to attend the meeting if they have if they have common cold symptoms or any of the following common symptoms of Covid-19 on the day of the meeting; a high temperature, a new and continuous cough or a loss of smell and / or taste.

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Notes:

Although this is a public meeting, there are circumstances when Council might have to move into closed session to consider exempt or confidential information. For agenda items that are exempt, the public are excluded.

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- ➤ Meeting Agendas
- ➤ Meeting Minutes
- ➤ The Council's Constitution

at www.bromsgrove.gov.uk

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B R O M S G R O V E   D I S T R I C T   C O U N C I L

MEETING OF THE CABINET

6TH JULY 2022, AT 6.00 P.M.

PRESENT: Councillors K.J. May (Leader), G. N. Denaro (Deputy Leader), M. A. Sherrey, P.L. Thomas and M. Thompson

Officers: Mr. K. Dicks, Mrs. S. Hanley, Mr P. Carpenter, Mrs. R. Bamford, Ms. C. Flanagan, Mr. M. Dunphy, Mrs. H. Mole and Mrs. J. Bayley-Hill

9/22   **TO RECEIVE APOLOGIES FOR ABSENCE**

An apology for absence was received on behalf of Councillor S. Webb.

10/22   **DECLARATIONS OF INTEREST**

Councillors K. May and M. Sherrey declared other disclosable interests in Minute Item No. 14/22 – the Nomination of Romsley Methodist Church as an Asset of Community Value – in their capacity as ward Councillors for Belbroughton and Romsley. They both remained at the meeting for the discussions in respect of this item and voted thereon.

11/22   **TO CONFIRM THE ACCURACY OF THE MINUTES OF THE MEETING OF THE CABINET HELD ON 1ST JUNE 2022**

The minutes of the Cabinet meeting held on Wednesday 1st June 2022 were submitted.

RESOLVED that the minutes of the meeting of Cabinet held on Wednesday 1st June 2022 be approved as a true and correct record.

12/22   **MINUTES OF THE MEETING OF THE OVERVIEW AND SCRUTINY BOARD HELD ON 30TH MAY 2022**

The minutes of the Overview and Scrutiny Board meeting held on 30th May 2022 were submitted.

Officers confirmed that there were no outstanding recommendations detailed in these minutes requiring Members' consideration.

The Leader advised that the Chairman of the Overview and Scrutiny Board had tendered his apologies for the Cabinet meeting in advance of the meeting.

RESOLVED that the minutes of the Overview and Scrutiny Board meeting held on Monday 30th May 2022 be noted.

13/22   **BROMSGROVE AND REDDITCH DUTY TO CO-OPERATE**

The Strategic Planning and Conservation Manager presented a report on the subject of the Bromsgrove and Redditch Duty to Co-operate.

Cabinet was informed that both Councils had submitted their latest Local Plans in 2017. A significant part of the work on the Local Plans had been the Duty to Co-operate with Redditch Borough Council, including on cross-boundary housing allocations. At that time, Redditch Borough had been allocated 3,000 houses that would have been built in Bromsgrove District. However, since then, the anticipated housing needs in the Borough had decreased. In order to anticipate housing needs in the District and Borough moving forward both Councils had commissioned Housing and Economic Development Needs Assessments (HEDNAs), which had concluded that, whilst demand for housing in the Borough was not likely to increase at the level previously anticipated, the level of demand in Bromsgrove District was likely to remain the same as had been predicted in 2017.

Redditch Borough Council had already reviewed their duty to co-operate and had concluded that the 3,000 houses allocated from Bromsgrove District should be returned to Bromsgrove District Council for allocation. The housing numbers required in the District would need to be enshrined in the Local Plan and a policy position would clarify future requirements. The Council would need to determine where to allocate the 3,000 houses for development, which could include provision of some of the houses to meet the development needs in the Greater Birmingham and Black Country Housing Market Areas (GBBCHMA).

Officers were suggesting that, moving forward, Bromsgrove District Council needed to continue to work closely with Redditch Borough Council as part of the Duty to Co-operate. The two Councils could work together in responding to approaches from the GBBCHMA regarding housing development needs. In addition, close co-operation between the two Councils would help to ensure that the authorities' Local Plans were closely aligned, although Members were advised that there were no plans to produce a joint Local Plan.

Following the presentation of the report, Members discussed the requirements from the GBBCHMA and the timescales in which clarification was likely to be provided about these needs. Officers clarified that the Black Country authorities were progressing with work on their Local Plan, which was likely to be published shortly. Every planning authority was supposed to issue a new Local Plan every five years but the Black Country areas had taken longer than this when working on their latest Local Plan. Birmingham City Council had submitted their previous Local Plan at a similar time to Bromsgrove District Council, although were at a different stage to Bromsgrove in development of the authority's new Local Plan.

RECOMMENDED that the Memorandum of Understanding (MOU) between Bromsgrove District Council and Redditch Borough Council be agreed.

14/22   **NOMINATION OF ROMSLEY METHODIST CHURCH - ASSET OF COMMUNITY VALUE**

The Head of Planning, Regeneration and Leisure Services presented a report setting out proposals for the nomination of Romsley Methodist Church as an asset of community value.

Cabinet was informed that Officers had delegated authority to determine whether a property should be listed as an asset of community value. Members were advised that this was a procedural matter and, if agreed, would result in the protection of the property for a period of up to six months should the owners decide to place it up for sale on the market. The report was seeking the Cabinet's support for Romsley Methodist Church to be listed as an asset of community value, which was an approach supported by Officers. Members were asked to note that the nomination met all of the requirements in relevant legislation.

Members subsequently discussed the report and in doing so noted that Romsley Methodist Church was frequently utilised by the local community for events and activities. The property was therefore highly valued by the local community.

RESOLVED that the listing of Romsley Methodist Church, 88 Bromsgrove Road, Romsley, West Midlands B62 0LF as an asset of community value be supported.

(Prior to consideration of this item, Councillors K. May and M. Sherrey declared other disclosable interests in their capacity as ward Councillors for Belbroughton and Romsley. They both remained at the meeting for the discussions in respect of this item and voted thereon.)

15/22   **FINANCIAL MONITORING REPORT**

The Interim Section 151 Officer presented a Financial Monitoring Report for Members' consideration.

Cabinet was informed that the report detailed the Council's approach to monitoring financial performance in the 2022/23 municipal year. Monitoring would be undertaken using data obtained from the Council's financial management system.

The Council's revenue budget for the 2022/23 municipal year was £12.1 million. There was a capital budget of £2.4 million. In addition to this, there was Levelling Up funding that had been allocated to the budget for use on specific projects. There were financial challenges facing the Council moving forward and over the following three years the authority needed to bridge a gap of £1.4 million in order to achieve a balanced

budget. Base budgets were in the process of being reviewed and the Corporate Management Team (CMT) was also considering the financial position. A range of indicators had been added to the report to enable performance in respect of the budget to be monitored and more would be added once technical issues with the Council's finance system had been resolved.

Members subsequently discussed the content of the report and in doing so questioned why the figures provided in a table concerning payment of Council Tax did not appear to add up across consecutive columns. Officers explained that the figures highlighted residents who were eligible for support but not all households had taken up this support, which impacted on the bottom line for the figures provided. In future editions of the report Members agreed that an additional line should be added to the table clarifying the number of eligible people who had not received support.

Reference was also made to the number of customers who were not paying their Council Tax via direct debit and concerns were raised about the implications for the customer. Officers clarified that attempts had been made over many years to promote payment of bills using direct debit. However, approximately one third of customers did not pay via direct debit and the reasons for this varied, although included some customers who would struggle to make direct debit payments due to cash flow difficulties.

RESOLVED

1)   To note that future monitoring returns will be in the "on system" format;
2)   That the approach being taken by Officers to balance the 2022/23 budget and future years' budget deficit positions be approved; and
3)   That the addition to the monitoring report of the additional financial health indicators be approved.

16/22   **CABINET APPOINTMENTS TO OUTSIDE BODIES**

The Portfolio Holder for Finance and Governance presented a report detailing Cabinet appointments to outside bodies.

Members were informed that appointments by the Council to outside bodies had been confirmed at the Annual Council meeting held on 18th May 2022. There were also appointments made by Cabinet to outside bodies which needed to be approved at a meeting of the Cabinet.

Consideration was given to the list of Cabinet appointments to outside bodies and Members noted that some of these appointments were made in conjunction with other Councils in Worcestershire. Reference was also made to the Worcestershire Local Enterprise Partnership's (WLEP) European Structural and Investment Funds Strategy Committee (ESIF)

and Members commented that no appointments were required to this body moving forward, following Brexit.

RESOLVED that Cabinet nominates Members to outside bodies as detailed in Appendix 1 to the minutes.

The meeting closed at 6.25 p.m.

Chairman

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UK Shared Prosperity Fund

Relevant Portfolio Holder	Councillor Karen May, Portfolio Holder for Economic Development, Regeneration and Strategic Partnerships
Portfolio Holder Consulted	Yes
Relevant Head of Service	Ostap Paparega Head of North Worcestershire Economic Development & Regeneration
Report Author	Job Title: Georgina Harris Contact email: Georgina.harris@nwedr.org.uk Contact Tel: 01562 732174
Wards Affected	No specific ward relevance
Ward Councillor(s) consulted	N/A
Relevant Strategic Purpose(s)	Run and Grow a Successful Business Work and Financial Independence Communities which are Safe, Well Maintained and Green
Key Decision	
If you have any questions about this report, please contact the report author in advance of the meeting.	

1.   **RECOMMENDATIONS**

   The Cabinet is asked to RESOLVE that

   1) **The Investment Plan (Appendix 1) is approved for submission to the UK Government**

   2) **Authority to finalise the Investment plan be delegated to the Head of North Worcestershire Economic Development & Regeneration following consultation with the Portfolio Holder for Economic Development, Regeneration and Strategic Partnerships and in light of advice from the Bromsgrove Partnership**

   3) **Authority to develop projects to deliver the outcomes contained in the investment plan be delegated to the Head of North Worcestershire Economic Development & Regeneration following consultation with the Portfolio Holder for Economic Development, Regeneration and Strategic Partnerships and in light of advice from the Bromsgrove Partnership**

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        The Cabinet is asked to RECOMMEND that
        4) The Medium Term Financial Strategy is amended to include the UK Shared Prosperity Fund Allocation when next reviewed.

2.   BACKGROUND

2.1   In April 2022, the Government published the prospectus for the UK Shared Prosperity Fund. The fund is a central pillar in the Government's Levelling Up agenda and replaces EU Structural Funds.

2.2   The UK Shared Prosperity Fund has the overarching objective of building pride in place and increasing life chances. It focusses on the 3 investment priorities of Community and Place, Supporting Local Business, and People and Skills.

2.3   Each area has been given a conditional allocation from the fund. To access their allocation, lead local authorities are required to produce an investment plan setting out how they intend to use the funding and expected outcomes of the investments.

2.4   The investment plan should detail the high level ambitions for the area and identify the outcomes to be targeted based on local challenges and opportunities. It is not required to be an exhaustive document containing detailed project or intervention planning.

2.5   The Government has provided a list of 41 potential interventions. These are broad areas of investment such as "funding for improvements to town centres and high streets" and "strengthening local entrepreneurial ecosystems and supporting businesses at all stages of their development". Places are required to prioritise those interventions that will deliver the outcomes they wish to target. Appendix 2 is a list of the 41 potential interventions, including details of those that have been selected.

2.6   Interventions in Year 1 (2022/23) are limited to the investment priorities of Community and Place; and Supporting Local Business. Interventions in Year 2 (2023/24) may include the People and Skills priority but only where continuing a programme that is currently funded by the European Social Fund and delivered by the Voluntary and Community Sector. Interventions in Year 3 (2024/25) can cover all three investment priorities.

2.7   The UK Shared Prosperity Fund can fund both capital and revenue projects. However, the Lead Local Authority is required to identify a

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minimum percentage of capital projects each year. In Year 1 this is a minimum of 10% of the funding, 13% in Year 2 and 20% in Year 3.

2.8   To support the process of selecting the most appropriate interventions, stakeholders have been consulted and were invited to submit projects that could deliver at least one of the 41 interventions. Their proposals were required to provide evidence of a local challenge or opportunity that the project would address.

2.9   The proposed investment plan (Appendix 1) includes those interventions that will produce measurable outcomes that reflect the needs and opportunities of the area.

2.10   The Government requires the investment plan to be endorsed by a Local Partnership Group. This group should include stakeholders such as representatives of the local authority, businesses, LEPs, and the voluntary sector.

2.11   The role of the Local Partnership Group is to provide local insight and expertise in identifying challenges and opportunities and the right solutions for inclusion in the Investment Plan. Once the plan is approved, the group should advise the Lead Local Authority on strategic fit and deliverability. The Bromsgrove Partnership has agreed to extend its terms of reference to include the Local Partnership Group role.

2.12   Endorsement of the proposed investment plan will be sought from the local MP and Local Partnership Group prior to submission to the UK Government.

3.   FINANCIAL IMPLICATIONS

3.1   The allocation for the district of Bromsgrove is £2,805,712 for the 3 years 2022/23, 2023/24 and 2024/25.

3.2   The funding is broken down as follows:

        2022/23   £340,499
        2023/24   £680,998
        2024/25   £1,784,215

3.3   The indicative allocations over the 3 Investment Priorities are:

Investment Priority	Expenditure

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Communities & Place	£1,080,000
Supporting Local Business	£808,000
People & Skills	£808,000
Total	£2,696,000

3.4   The proposed split between capital expenditure and revenue expenditure, over the 3 years of the fund, is:

Year	Capital	Revenue	Total
2022/23	£40,000	£285,500	£325,500
2023/24	£236,000	£417,000	£653,000
2024/25	£372,000	£1,345,500	£1,717,500
Total	£648,000	£2,048,000	£2,696,000

3.5   The Lead Local Authority is expected to establish effective programme management methods and achieve spend to profile. If there is an underspend at the end of the year, it can be carried over into the following year. However, the Government will require a credible plan setting out how the underspend will be utilised the following year. Payment of the next year's allocation may be withheld until this plan is agreed.

3.6   The delivery of the Investment Plan should be cost neutral to the Council. A maximum of 4% of the allocation can be used by the Council to administer the fund.   This equates to £112,228.48. Setting up the Fund may need a larger administration budget in the first year than in later years. This is acceptable so long as the percentage is not exceeded overall.

4.   **LEGAL IMPLICATIONS**

4.1   Once the investment plan has been approved by Government, the Council will be required to enter into an agreement with the Department for Levelling Up, Housing and Communities to deliver the interventions included in the plan. Appropriate legal advice will be sought prior to entering any legal agreement.

4.2   Delivery of the investment plan may require the Council to enter into contracts or other agreements with external organisations. The awarding of contracts or other agreements will be subject to the Council's procurement rules and subject to appropriate due diligence.

4.3   Failure to submit the Investment Plan to Government by the deadline of 1 August 2022 will delay approval of the plan and receipt of the funding.

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5. **STRATEGIC PURPOSES - IMPLICATIONS**

   Relevant Strategic Purpose

5.1 The Investment Plan proposes a range of business support programmes which will help entrepreneurs to start-up and grow existing businesses. Support will be available to help businesses to innovate and implement low carbon strategies. The interventions will contribute to the Council's strategic purpose "Run and Grow a Successful Business".

5.2 The Investment Plan proposes programmes of support to assist those furthest from employment and to help individuals to upskill. The interventions will contribute to the Council's strategic purpose "Work and Financial Independence".

5.3 The Investment Plan proposes investment in improvements to public spaces and reduce crime. The interventions will contribute to the Council's strategic purpose "Communities which are Safe, Well Maintained and Green"

   Climate Change Implications

5.4 The investment plan includes interventions that will improve green spaces, reduce energy use by both residents and businesses and support businesses to develop carbon reducing technologies.

6. **OTHER IMPLICATIONS**

   Equalities and Diversity Implications

6.1 Equality and diversity implications will be considered throughout the delivery of the plan.

   Operational Implications

6.2 One FTE role is required to support the administration and delivery of the investment plan. This post will be funded from the 4% of the Council's UK Share Prosperity Fund allocation that can be set aside for administration of the fund.

7. **RISK MANAGEMENT**

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7.1   Failure to submit an Investment Plan by the deadline will delay approval
        of the investment plan and the receipt of the funding. Any delay in receipt
        of the funding in may impact deliverability in this financial year which, in
        turn, may impact receipt of funding the following year.

7.2   The Council will need to implement appropriate programme and project
        management arrangements for the UKSPF allocation for Bromsgrove, in
        order to manage risks relating to the funding programme and to any
        projects for which it is directly responsible.

8.   APPENDICES and BACKGROUND PAPERS

        Appendix 1 UK Shared Prosperity Fund Investment Plan

        Appendix 2 List of Interventions detailing those selected

        UK Shared Prosperity Fund Prospectus
        UK Shared Prosperity Fund: prospectus - GOV.UK (www.gov.uk)

        UK Shared Prosperity Fund Interventions, Objectives, Outcomes and
        Outputs
        UK Shared Prosperity Fund: interventions, outputs and indicators - GOV.UK
        (www.gov.uk)

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9.   **REPORT SIGN OFF**

Department	Name and Job Title	Date
Portfolio Holder		
Lead Director / Head of Service		
Financial Services		
Legal Services		
Policy Team (if equalities implications apply)		
Climate Change Officer (if climate change implications apply)		

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UK Shared Prosperity Fund

Investment Plan Questions

Offline version – for information only

Version 1
April 2022

Please note – the questions below are form information only. All investment plans must be submitted by lead local authorities via the online platform

Your location

Bromsgrove District

Your details

Name: Ostap Paparega

Email: ostap.paparega@nwedr.org.uk

Phone number: 01562 732192

Organisation name: Bromsgrove District Council

Local challenges and opportunities

In this section, we will ask you:

- If you've identified any challenges or opportunities, you intend to support
- Which of the UKSPF investment priorities these fall under

ARE THERE ANY LOCAL CHALLENGES YOU FACE WHICH FALL UNDER THE COMMUNITIES AND PLACE INVESTMENT PRIORITY?
(If yes) Describe these challenges, give evidence where possible

Key Metrics:

Employment Rate

Bromsgrove has relatively high levels of economic activity in the working age population (16 to 64 year olds); higher than both the West Midlands and England.

Area	% Economically Active
Bromsgrove	86.1%
West Midlands	77.6%
England	78.4%

(NOMIS Jan21 – Dec21)

Claimant Count

The claimant count rate in the district is lower than that in the West Midlands and Great Britain. However, the district rate for youth unemployment is much closer to the rate for the West Midlands and Great Britain as unemployment impacts a much higher proportion of 18 to 24 year olds than the general population.

	Bromsgrove	West Midlands	Great Britain
Claimant Count	2.7%	5%	3.9%
Claimant Count (18-24 year olds)	3.9%	5.8%	4.5%

NOMIS May 2022

Earnings and Income

The Gross Disposable Household Income per head in Bromsgrove is £23,909; higher than the figure for both the West Midlands (£18,350) and England (£21,978).

	Bromsgrove	West Midlands	Great Britain
Earnings by Residence	£668	£581.80	£613.10
Earnings by Place of Work	£553.10	£585.00	£612.80

NOMIS Gross Weekly Pay FTE 2021

Research by the Office for National Statistics indicates that residents in Bromsgrove report a greater life satisfaction than the national average. The Average Life Satisfaction Rating for Bromsgrove residents is 7.5 (scored out of 10) compared to 7.38 for England.

In 2021, the Bromsgrove District Community Survey was undertaken. In the survey, 81.2% of respondents said that they were very satisfied or satisfied with their neighbourhood; 76.1% were very satisfied or satisfied with their ward; and 65.7% were very satisfied or satisfied with the district.

86.6% of people feel safe outside in daylight but only 43.6% feel safe after dark. Both of these are lower than in the survey in 2020 where 93.2% felt safe in the daylight and 55.6%, after dark. 56% of respondents agreed or strongly agreed that having CCTV helped them to feel safe whilst out in public.

The top 3 things residents say are the most important areas to focus on to protect the environment are:
- Having homes that are energy efficient and affordable to run
- Reducing the amount of waste they create
- Increasing the use of renewable energy

The top 5 priorities identified by respondents are:
- Waste and recycling
- Community safety
- Transport, travel and congestion
- Healthy lifestyles and well-being, including mental health
- Maintenance of the landscape and environment

The following have been identified as challenges faced under the communities and place investment priority:

- Pockets of Deprivation
- Sections of the community are vulnerable to isolation, social exclusion, and physical and mental health issues.
- The district is dominated by Bromsgrove Town which is the focus for employment, retail and services.

Deprivation

Bromsgrove is a relatively affluent area with high levels of gross disposable income and earnings by residence when compared to the regional and national averages. The Index of Multiple Deprivation (2019) identifies that 48% of district in the 20% least deprived areas of the country with 18 areas in 10th decile and 28 areas in 9th decile). However, this relative affluence hides pockets of deprivation. Nearly 14% of the working age population are economically inactive and 4 areas are in top 30% most deprived areas of the country. The district spends £700,000 each year tackling homelessness.

Isolation, social exclusion and health issues

In 2020, Bromsgrove's Cultural Compact Partnership commissioned the "Tell Me What You Want" Survey. Whilst the focus of the survey was access to culture, heritage and the arts, it did identify 4 key groups in need of support:

- The isolated elderly
- Marginalised 15 to 20 year olds, particularly those with mental health issues
- Families with older children
- People with lower socio-economic backgrounds

In the 2021 Bromsgrove District Community Survey, 73% of the respondents felt concerned about loneliness as a result of the pandemic and 52% felt concern about mental health for their family.

Town & District Centres

The district is dominated by Bromsgrove Town which is the focus for employment, retail and services.

In 2019, Greater Birmingham & Solihull LEP completed a Town Eco System Report for Bromsgrove. The report found a number of challenges including:

- High levels of congestion at peak periods
- Lack of car parking spaces in the town centre
- Lack of green spaces in the town centre
- Falling footfall figures

The successful Levelling-Up Fund bid also high-lighted the lack of cultural and creative space in the town.

Business identified the need for a number of investments to improve the town centre including:

- public realm improvements, including safety and security
- Improved customer facilities
- Enhanced cleaning
- Better access to shops

There are a number of vacant units occupying prominent locations alongside units that have been empty for a number of years.

Work is already underway to improved public realm within the high street which will only be enhanced by nearby regeneration sites receiving levelling up fund monies. Improvements to existing frontages, alongside work being carried out by the district council, will provide an uplift for the high street making it more aesthetically appealing to prospective retailers and visitors alike.

Whilst there is a need to invest in Bromsgrove Town Centre, this should not be done at the expense of the local centres. Public realm improvements in the local centres such as decorative lighting, additional bins and benches, provides an opportunity to uplift the areas. Feedback from smaller community groups has shown these small changes can have a large impact on residents and visitors frequenting these areas particularly enhancements designed to improve safety and security.

ARE THERE ANY LOCAL OPPORTUNITIES UNDER THE COMMUNITIES AND PLACE INVESTMENT PRIORITY THAT YOU INTEND TO SUPPORT?
(If yes) Describe these opportunities, give evidence where possible

The following opportunities have been identified under the communities and place investment priority:

- Optimise the use of under-utilised and redundant space, including green space and vacant retail space to encourage residents to be active and creative.
- Exploit the biodiversity net gain and carbon capture potential of green spaces

Optimise Under-utilised Space

A recent survey of over 1,000 residents and organisations in Bromsgrove identified the need to increase opportunities to be active and creative through the use of vacant local retail space, under utilised and low profile green space, and left behind local centres. The creative use of spaces, particular the local centres and high streets, could help to drive up footfall, increase local centre vitality, and improve sense of community.

Engagement with local community groups has identified a strong desire to invest in a wide range of local facilities – community, cultural and sporting – to enable wider use and increased sustainability.

Exploit the biodiversity net gain and carbon capture potential of green spaces

The Green Infrastructure Strategy for Worcestershire and its accompanying evidence base has identified the environmental character areas for Bromsgrove District and the potential opportunities for enhancements of the blue and green infrastructure. Green Infrastructure (GI) is defined as "a network of multifunctional green space, urban and rural, which is capable of delivering a wide range of environmental and quality of life benefits for local communities".

Tackling fragmentation and restoring the ecological network is aligned with the aims of the Bromsgrove Local Plan and will help to deliver Worcestershire's Green Infrastructure Strategy and Biodiversity Action Plan.

Opportunities exist to support landowners to influence & change the way that green infrastructure across the area is managed to benefit the environment & deliver multifunctional benefits:
- support for pollinators & beneficial insects
- flood resilience
- water quality improvements
- enhanced recreation & amenity opportunities, which brings both physical & mental health benefit to local residents & economic benefit through the visitor economy.

ARE THERE ANY LOCAL CHALLENGES YOU FACE WHICH FALL UNDER THE SUPPORTING LOCAL BUSINESS INVESTMENT PRIORITY?
(If yes) Describe these challenges, give evidence where possible

Key Metrics:

GVA per hour worked in Bromsgrove £33.10 (Source: ONS 2019)

Earnings by Residence: £668
Earnings by Place of Work: £553.10
(Source: NOMIS FTE Gross Weekly Pay 2021)

Job density 94% (NOMIS)

Largest sectors (by employment) in the district

	Bromsgrove	West Midlands	Great Britain

Administrative & Support Services	28%	9.8%	8.8%
Manufacturing	6%	10.9%	7.9%
Wholesale & Retail	10%	16.1%	14.9%

Business demography data is unreliable due to a large number of registrations at a single address in the district.

The following challenges have been identified under the Supporting Local Business priority:

- Lower levels of productivity compared to the national average
- Low workplace earnings
- Lower levels of innovation compared to the national average

Productivity

Bromsgrove has lower levels of productivity (GVA per hour worked) than the national average although it is higher than for the West Midlands.

Area	GVA per hour worked
Bromsgrove	£33.10
West Midlands	£31.30
England	£35.70

Source: ONS 2019

Low Workplace Earnings

Bromsgrove has relatively high earnings based on place of residency, higher than both the West Midlands and national average. However, earnings by place of work are significantly lower and do not compare favourably with either the West Midlands or national average.

Earnings	Bromsgrove	West Midlands	Great Britain
Earnings by Residence	£668	£581.80	£613.10
Earnings by Place of Work	£553.10	£585.00	£612.80

NOMIS Gross Weekly Pay FTE 2021

Lower Levels of Innovation

Worcestershire has comparatively low levels of research and development (R&D) expenditure. The county spends approximately 1% of its GVA on R&D which is well below the national target of 2.4%. The county has strengths in process innovation and new business practices but less so in product innovation and R&D.

Relative to comparator areas, Worcestershire has a high number of claims made for R&D tax credits, but a low amount of qualifying expenditure meaning that the average amount of R&D claimed is relatively low.

In the past 5 years, Innovate UK has awarded £95 million of grant funding to support innovation. Worcestershire received 0.4% of Innovate UK's funding despite being 1.1% of the business base. By comparison, the West Midlands as a whole received 14.2% of this funding relative to its 8.1% share of the business base. Businesses in Bromsgrove received 10 grants worth £1,517,736.

ARE THERE ANY LOCAL OPPORTUNTIES UNDER THE SUPPORTING LOCAL BUSINESS INVESTMENT PRIORITY?
(If yes) Describe these challenges, give evidence where possible

The following opportunity has been identified under this priority:

• High demand for business support from ambitious local businesses

Demand for Business Support

Building on the success of ERDF funded programmes and the work of the Worcestershire Growth Hub, there is a strong demand for support from businesses. Recent surveys with Worcestershire businesses have revealed that:
• 40% of respondents (322 businesses) defined their business' current situation as "growing"; this positive view of the future was a significant change from 13% in March 2021 survey.
• Of the above businesses, 73% said that they had plans for investment and growth over the next 12 months. The largest proportion of these businesses were in the 2-50 employee size band.
• Over half of all survey respondents (56%) said that they have plans for investment and growth over the next 12 months.

The top areas of support that businesses said they would like to see offered over the next 12 months were consistent with previous surveys in 2020 and 2021 and were:
o Digital Marketing
o Business Planning for Raising Finance
o Sales & Business Development
o Bespoke one to one business advice/consultancy
o Advice and support on the introduction of new technology to the business

The current challenges that businesses are facing include:
o Rising energy costs
o Customer demand/competitiveness
o Supply chain problems
o New technology - upfront costs are a barrier for many SMEs
o Impartial advice - best options in relation to net zero
(Source: Worcestershire Business Survey (801 businesses) - November 2021 to January 2022)

The Herefordshire & Worcestershire Chamber of Commerce Economic Report (Q4 2021) highlights a strong desire by companies to reduce environmental impact. The top 3 areas of assistance identified by businesses to help them take further action to reduce environmental impact or cut carbon emissions were funding; impartial, technical advice; and networking with like-minded businesses.

The Chamber of Commerce's quarterly survey asked specific questions about what interventions businesses would want to see delivered through the UK SPF. The most popular response from businesses in Bromsgrove was:
• Funding for growth
• Support for innovation

In 2021/22 the local Growth Hub engaged and delivered to over 2000 businesses. The top areas of advice and support sought during that engagement were:
• Finance/loans/grants
• Business growth advice and support
• General advice
• Skills and training
• Innovation and R&D processes
• Energy and resource efficiency
• International trade and exporting

There is clearly a demand amongst local business to access support to enable them to grow, particularly in areas that are key drivers for economic growth such as innovation and digitisation. Current business engagement through Worcestershire's EU funded programmes managed by the

County Council and part funded by district councils will end shortly yet continues to experience a high demand across all areas - Growth, Innovation, Technology, Net Zero. Over the past 4 years over 180 businesses have received direct bespoke support, 181 businesses have received grants totaling over £1.8m, creating over 75 jobs (with more to come) and saving almost 600 tonnes of carbon.

Supporting businesses to innovate and grow will help to address Bromsgrove's relatively low wage economy and drive up productivity.

ARE THERE ANY LOCAL CHALLENGES YOU FACE WHICH FALL UNDER THE PEOPLE AND SKILLS INVESTMENT PRIORITY? (In Scotland, Wales, and Northern Ireland this should also include challenges relating to Multiply)

(If yes) Describe these challenges, give evidence where possible

The following challenges have been identified under the people and skills priority:

- Levels of Youth Unemployment
- Mismatched Skills
- Loss of ESF Funded Programmes

Levels of Youth Unemployment

Since March 2020, the levels of Youth claimants have been increasing, although efforts to support this cohort have been successful there is more to do.

In Bromsgrove as of May 2022, 63 young people are NEET and unknown within years 12 and 13, representing 2.4 % of school year population in county; equivalent to two school classes. Nationally, the issues that affect young people who become NEET cost over £65,000 each in direct lifetime costs to public finances and £120,000 in wider lifetime costs to the economy and wider community. Current NEET figures would estimate this to cost £7.56M for the current year 12/13 population.

Alongside this, in Bromsgrove, 3.9% of young people are claiming benefits as of May 2022, this equates to 235 young people. The district sees particular challenges in the wards of Charford and Aston Fields.

Mismatched Skills

The Worcestershire LEP Local Skills Report 2022 has identified the following issues:

• Businesses have identified a shortage of skilled staff as a barrier to innovation and growth and is one of the major worries for local employers. Recent analysis of the online vacancies shows a 92% increase in demand for new recruits since December 2020.
• Ongoing Surveys show a growing number of employers reporting challenges in recruiting, with the last quarter of 2021, showing that 74% of employers experienced difficulty recruiting
• The most frequently cited skills deficits are at higher levels in IT, job-specific, and technical skills.
• We have a higher proportion than England of hard-to-fill vacancies: these are highest amongst middle-skill roles, particularly Skilled Trades.
• Worcestershire's employers report a need for understanding of their sectors in education and embedding a greater level of careers support to move successfully into industry post school, further or higher education. Many Employers understand the need to have a role in supporting the long term supply of talent into Worcestershire's employers.
• The impact of automation will be significant, with 10% of low-skilled jobs likely to be affected. This is unlikely to have a significant impact in Bromsgrove due to the relatively low number of roles in process plant, machine operative and elementary occupations. However, it should also be noted that some higher skilled roles (such as those within Finance and Business Services) are also susceptible to automation.

Bromsgrove has a relatively highly skilled population. The proportion of residents with qualifications is higher than both the West Midlands and national average at all levels.

Qualification	Bromsgrove	West Midlands	Great Britain
NVQ Level 4 and above	48.3%	38.8%	43.5%
NVQ Level 3 and above	69.3%	57.2%	61.5%
NVQ Level 2 and above	89.0%	75.2%	78.2%
NVQ Level 1 and above	94.4%	84.9%	87.6%

(Source: NOMIS Jan 2021 – Dec 2021)

Despite the high levels of qualifications, businesses in the district report issues recruiting in certain areas. Compounding this problem is the number of residents that commute out of the district. There is a net outflow of 7,216 people for work with 26,108 commuting out and 18,892 commuting in. Of those leaving the district, nearly 40% travel to Birmingham. (Source: NOMIS Census 2011)

Loss of ESF Funded Support Programmes

There are currently a number of ESF funded programmes delivering skills and employment support to residents of Bromsgrove. These include:
- Skills Support for the Unemployed – supported 33 Bromsgrove residents from July 2019 to date.
- Skills Support for the Workforce – supported 114 employees since April 2019.
- Community Grants – 45 grants awarded to community organisations to help Bromsgrove residents furthest from the labour market.
- NEET support – supported 48 young people not in employment, education or training or at risk of become so.
- Building Better Opportunities – supported 206 residents furthest away from the labour market to improve their employability

Collectively, these programmes have supported over 400 people in Bromsgrove.

ARE THERE ANY LOCAL OPPORTUNITIES UNDER THE PEOPLE AND SKILLS INVESTMENT PRIORITY THAT YOU INTEND TO SUPPORT? (In Scotland, Wales, and Northern Ireland this should also include challenges relating to Multiply)

(If yes) Describe these opportunities, give evidence where possible

The following opportunities have been identified for support under this priority:

- Tailored support for the economically inactive and those furthest away from the labour market including enrichment activities and volunteering
- Increasing the basic skills levels of residents and upskilling the workforce including interventions to increase levels of digital skills

Programmes of support will be developed to address youth unemployment at a district level. Experience of previous and current progammes show that interventions can:

- Increase the levels of social mobility of young people
- Increase the basic skills levels of residents
- Upskills residents in training and education

Specialist interventions will be developed to move young people through a co-ordinated journey, covering the key stages designed to inspire them, explore opportunities, prepare for the move into education or employment, support to apply for apprenticeship or FE/HE courses and follow ups to ensure that momentum is sustained. Programmes will be designed to meet individual needs and provide bespoke journeys that ensure improved outcomes for the individual.

Programmes of support for the economically inactive and those furthest from the labour market provide tailored support to help people into employment, particularly those who are not supported by mainstream provision. Enrichment activities and volunteering also helps to reduce the barrier to economic activity. Addressing issue of digital exclusion will support individuals into employment.

The Worcestershire LEP Skills Report 2022 identifies the local sector strengths as construction, healthcare, and business administration. It anticipates that the greatest employment growth will be within advance manufacturing, cyber security, IT & defence, and agri-tech.

The current acceleration of demand around sustainable business practice and the drive to net zero will be a significant driver for growth. The sector is predicted to grow at a rapid rate, increasing staff levels by around 200%.

Worcestershire has a lower level of employment in the digital sector than the England average; however digital skills remain in the highest demand from employers. This applies equally to those new to the job market, replacement labour or when reskilling existing staff. Digital marketing and cloud-based computing have the greatest current and predicted use locally and salaries within digital skilled roles have increase by 35% over the last year.

Worcestershire has a high proportion of vacancies where management and leadership skills have been identified as essential. Manufacturing continues to have the highest number of vacancies in the county.

With significant growth predicted in areas where there is already a skills deficit, access to high quality, relevant training is essential if residents are to benefit from the growth in business. Focusing on those sectors where high growth is predicted and where more skilled, higher paid roles will be created, will ensure that local residents will be able to access the best opportunities. Support to upskill the existing workforce and new employees will ensure that businesses are able to realise their growth ambitions and local residents will benefit from increased opportunities.

Interventions

In this section, we will ask you about:

- Interventions you've chosen for each year of funding
- Outcomes you want to deliver
- Any interventions that are not listed here
- How these interventions fall under the UKSPF investment priorities, and your rationale for them
- Interventions not included in our list will be assessed before being approved, where you will need to show a clear rationale, how the intervention is value for money, what outcomes it will deliver and how you will monitor and evaluate the intervention. This may include a theory of change or logic chain.

WHAT ARE THE OUTCOMES YOU WANT TO DELIVER UNDER THE COMMUNITIES AND PLACE INVESTMENT PRIORITY? SELECT ALL THAT APPLY.	
Outcome	Tick if applicable
Jobs created	
Jobs safeguarded	
Increased footfall	✓
Increased visitor numbers	✓
Reduced vacancy rates	✓
Greenhouse gas reductions	

Improved perceived/experienced accessibility	✓
Improved perception of facilities/amenities	✓
Increased number of properties better protected from flooding and coastal erosion	
Increased users of facilities / amenities	✓
Improved perception of facility/infrastructure project	✓
Increased use of cycleways or paths	✓
Increase in Biodiversity	
Increased affordability of events/entry	
Improved perception of safety	✓
Reduction in neighbourhood crime	✓
Improved engagement numbers	✓
Improved perception of events	✓
Increased number of web searches for a place	
Volunteering numbers as a result of support	
Number of community-led arts, cultural, heritage and creative programmes as a result of support	
Increased take up of energy efficiency measures	✓
Increased number of projects arising from funded feasibility studies	
Number of premises with improved digital connectivity	
None of the above	

SELECT THE INTERVENTIONS YOU INTEND TO USE WHICH MEET THE COMMUNITIES AND PLACE INVESTMENT PRIORITY. YOU CAN SELECT AS MANY AS YOU LIKE.

Intervention E16: Open markets & town centre retail & service sector

A full list of nation-specific interventions is available in the relevant annex to the Prospectus.

E1: Improvements to town centres & high streets
E2: Community & neighbourhood infrastructure projects
E3: Creation of and improvements to local green spaces
E5: Built & landscaped environment to 'design out crime'
E6: Local arts, cultural, heritage & creative activities
E7: Support for active travel enhancements in the local area
E9: Impactful volunteering and/or social action projects
E11: Capacity building & infrastructure support local groups
E13: Community measures to reduce the cost of living

DO YOU PLAN TO USE ANY INTERVENTIONS NOT INCLUDED IN THE COMMUNITIES AND PLACE LIST?

State the name of each of these additional interventions and a brief description of each of these

NO

Explain how each intervention meets the Communities and Place investment priority. Give evidence where possible, including why it is value money and the outcomes you want to deliver.

N/A

Do you consider that any of these interventions may provide a subsidy to potential recipients of the funding under the intervention's planned activity?
All bids must also consider how they will deliver in line with subsidy control as set out in the guidance.

Yes	No
Detail the assessment you undertook to consider whether the intervention is a subsidy and any specific measures you will take to make sure the subsidy is permitted.	
N/A	

HAVE YOU ALREADY IDENTIFIED ANY PROJECTS WHICH FALL UNDER THE COMMUNITIES AND PLACE INVESTMENT PRIORITY?

Describe these projects, including how they fall under the Communities and Place investment priority and the location of the proposed project.

We have received a number of submissions for potential projects. These will be assessed for strategic fit by the Local Partnership Group before decisions are made as to whether the projects will be delivered through the UK Shared Prosperity Fund.

Do you consider these projects may provide a subsidy to potential recipients of the funding under the proposed planned activity?
All bids must also consider how they will deliver in line with subsidy control as set out in the guidance.

Yes	No
Detail the assessment you undertook to consider whether the proposed projects constitute a subsidy and any specific measures you will take to make sure the subsidy is permitted.	
All projects will be assessed to ensure that they comply with subsidy control legislation.	

WHAT ARE THE OUTCOMES YOU WANT TO DELIVER UNDER THE SUPPORTING LOCAL BUSINESS INVESTMENT PRIORITY? SELECT ALL THAT APPLY.

Outcome	Tick if applicable
Jobs created	✓
Jobs safeguarded	✓
Increased footfall	
Increased visitor numbers	
Reduced vacancy rates	
Greenhouse gas reductions	✓
Number of new businesses created	✓
Improved perception of markets	
Increased business sustainability	✓
Increased number of businesses supported	✓
Increased amount of investment	✓
Improved perception of attractions	
Number of businesses introducing new products to the firm	✓
Number of organisations engaged in new knowledge transfer activity	
Number of premises with improved digital connectivity	
Number of businesses adopting new to the firm technologies or processes	✓
Number of new to market products	✓
Number of R&D active businesses	
Increased number of innovation active SMEs	
Number of businesses adopting new or improved products or services	

Increased number of innovation plans developed	
Number of early stage firms which increase their revenue following support	
Number of businesses engaged in new markets	
Number of businesses engaged in new markets	
Number of businesses increasing their export capability	
Increased amount of low or zero carbon energy infrastructure installed	
Number of businesses with improved productivity	✓
Increased number of projects arising from funded feasibility studies	✓
Increased number of properties better protected from flooding and coastal erosion	
None of the above	

SELECT THE INTERVENTIONS YOU INTEND TO USE WHICH MEET THE SUPPORTING LOCAL BUSINESS INVESTMENT PRIORITY. YOU CAN SELECT AS MANY AS YOU LIKE
Intervention *A full list of nation-specific interventions is available in the relevant annex to the Prospectus.*
E16: Open markets & town centre retail & service sector
E17: Development & promotion of visitor economy
E20: R&D grants supporting innovative product & service development
E21: Development of innovation infrastructure at the local level
E23: Strengthening local entrepreneurial ecosystems
E24: Training hubs, business support offers, incubators
E29: Supporting decarbonisation whilst growing the local economy
E30: Business support measures to drive employment growth

DO YOU PLAN TO USE ANY INTERVENTIONS NOT INCLUDED IN THE SUPPORTING LOCAL BUSINESS LIST?	
State the name of each of these additional interventions and a brief description of each of these	
NO	
Explain how each intervention meets the Supporting Local Business investment priority. Give evidence where possible, including why it is value money and the outcomes you want to deliver.	
N/A	
Do you consider that any of these interventions may provide a subsidy to potential recipients of the funding under the intervention's planned activity? **All bids must also consider how they will deliver in line with subsidy control as set out in the guidance.**	
Yes	No
Detail the assessment you undertook to consider whether the intervention is a subsidy and any specific measures you will take to make sure the subsidy is permitted.	
N/A	

HAVE YOU ALREADY IDENTIFIED ANY PROJECTS WHICH FALL UNDER THE SUPPORTING LOCAL BUSINESS INVESTMENT PRIORITY?	
Describe these projects, including how they fall under the Supporting Local Business investment priority and the location of the proposed project	
We have received a number of submissions for potential projects. These will be assessed for strategic fit by the Local Partnership Group before decisions are made as to whether the projects will be delivered through the UK Shared Prosperity Fund.	
Do you consider these projects may provide a subsidy to potential recipients of the funding under the proposed planned activity? **All bids must also consider how they will deliver in line with subsidy control as set out in the guidance.**	
Yes	No
Detail the assessment you undertook to consider whether the proposed projects constitute a subsidy and any specific measures you will take to make sure the subsidy is permitted.	
All projects will be assessed to ensure that they comply with Subsidy Control legislation.	

WHAT ARE THE OUTCOMES YOU WANT TO DELIVER UNDER THE PEOPLE AND SKILLS INVESTMENT PRIORITY? SELECT ALL THAT APPLY.	
Outcome	**Tick if applicable**
Number of economically inactive individuals in receipt of benefits they are entitled to following support	
Increased active or sustained participants of UKSPF beneficiaries in community groups [and/or] increased employability through development of interpersonal skills	✓
Increased proportion of participants with basic skills (English, maths, digital and ESOL)	
Number of people in supported employment [and] number of people engaging with mainstream healthcare services	
Number of people sustaining engagement with keyworker support and additional services	✓
Number of people engaged in job-searching following support	✓
Number of people in employment, including self-employment, following support	✓
Number of people sustaining employment for 6 months	✓
Increased employment, skills and/or UKSPF objectives incorporated into local area corporate governance	
Number of people in education/training	✓
Increased number of people with basic skills (English, maths, digital and ESOL)	
Fewer people facing structural barriers into employment and into skills provision	
Increased number of people familiarised with employers' expectations, including, standards of behaviour in the workplace	✓
Fewer people facing structural barriers into employment and into skills provision	
Number of people gaining a qualification or completing a course following support	✓
Number of people gaining qualifications, licences, and skills	
Number of economically active individuals engaged in mainstream skills education, and training.	
Number of people engaged in life skills support following interventions	
Number of people with proficiency in pre-employment and interpersonal skills (relationship, organisational and anger-management, interviewing, CV and job application writing)	

Multiply only - Increased number of adults achieving maths qualifications up to, and including, Level 2.	
Multiply only - Increased number of adults participating in maths qualifications and courses up to, and including, Level 2.	
None of the above	

SELECT THE INTERVENTIONS YOU INTEND TO USE WHICH MEET THE PEOPLE AND SKILLS INVESTMENT PRIORITY. YOU CAN SELECT AS MANY AS YOU LIKE.

Intervention
A full list of nation-specific interventions is available in the relevant annex to the Prospectus.
E33: Employment support for economically inactive people
E34: Courses including basic, life & career skills
E35: Enrichment & volunteering activities
E36: Intervention to increase levels of digital inclusion
E39: Green Skills courses

DO YOU PLAN TO USE ANY INTERVENTIONS NOT INCLUDED IN THE PEOPLE AND SKILLS LIST?

State the name of each of these additional interventions and a brief description of each of these
NO

Explain how each intervention meets the People and Skills investment priority. Give evidence where possible, including why it is value money and the outcomes you want to deliver.
N/A

Do you consider that any of these interventions may provide a subsidy to potential recipients of the funding under the intervention's planned activity? All bids must also consider how they will deliver in line with subsidy control as **set out in the guidance**.	
Yes	No

Detail the assessment you undertook to consider whether the intervention is a subsidy and any specific measures you will take to make sure the subsidy is permitted.
N/A

ENGLAND ONLY: People and Skills interventions can only be used in 2022-2023 and 2023-2024 if you have identified a local voluntary and community provision, previously supported by the European Social Fund, at risk of closure. If you have not identified a suitable provision, you will not be able to select interventions for 2022-2023 and 2023-2024 and your investment plan will not be approved.
HAVE YOU ALREADY IDENTIFIED ANY PROJECTS for 2024-2025 WHICH FALL UNDER THE PEOPLE AND SKILLS INVESTMENT PRIORITY?
No
Describe the projects for 2024-25, including how they fall under the People and Skills investment priority and the location of the proposed project.
We have received a number of submissions for potential projects. These will be assessed for strategic fit by the Local Partnership Group before decisions are made as to whether the projects will be delivered through the UK Shared Prosperity Fund.
Do you consider these projects may provide a subsidy to potential recipients of the funding under the proposed planned activity? All bids must also consider how they will deliver in line with subsidy control as set out in the guidance.
Yes
Detail the assessment you undertook to consider whether the proposed projects constitute a subsidy and any specific measures you will take to make sure the subsidy is permitted.

All projects will be assessed to ensure that they comply with subsidy control legislation

HAVE YOU IDENTIFIED A LOCAL VOLUNTARY PROVISION AT RISK AS PART OF YOUR PEOPLE AND SKILLS INVESTMENT PRIORITIES?	
Yes	No
(If Yes) Describe the local voluntary provision at risk and your rationale for supporting it.	
N/A	
Provide the European Social Fund Project Names and Project References for this voluntary and community provision at risk.	

What year do you intend to fund these projects? Select all that apply.		
2022-2023	2023-2024	2024-2025

Describe the projects for 2022-2023 and 2023-2024, including how they fall under the People and Skills investment priority and the location of the proposed project.	
N/A	

Do you consider these projects may provide a subsidy to potential recipients of the funding under the proposed planned activity? **All bids must also consider how they will deliver in line with subsidy control as set out in the guidance.**	
Yes	No
Detail the assessment you undertook to consider whether the proposed projects constitute a subsidy and any specific measures you will take to make sure the subsidy is permitted.	
N/A	

SCOTLAND, WALES & NORTHERN IRELAND ONLY	
HAVE YOU ALREADY IDENTIFIED ANY PROJECTS WHICH FALL UNDER THE PEOPLE AND SKILLS INVESTMENT PRIORITY?	
Yes	No
Describe the projects, including how they fall under the People and Skills investment priority and the location of the proposed project.	

Do you consider these projects may provide a subsidy to potential recipients of the funding under the proposed planned activity? All bids must also consider how they will deliver in line with subsidy control as **set out in the guidance**.	
Yes	No
Detail the assessment you undertook to consider whether the proposed projects constitute a subsidy and any specific measures you will take to make sure the subsidy is permitted.	

Approach to delivery and governance

In this section, we will ask you about:

- Structures you have in place to support delivery
- Support you have from stakeholders and the local community
- How you've engaged with MPs as part of your investment plan
- Opportunities you have identified to work with other places

Places need to show how MPs that cover the lead local authority have been engaged on the investment plan and whether they support it. More detail on the role of MPs can be found here.

STAKEHOLDER ENGAGEMENT AND SUPPORT		
Have you engaged with any of the following as part of your investment plan? Select all that apply.		
Public sector organisations ✓	Private sector organisations ✓	Civil society organisations ✓
Describe how you have engaged with any of these organisations. Give examples where possible.		
Details of the UK Shared Prosperity Fund was shared with established partnerships that include public sector organisations, business, business organisations, parish councils, housing associations and the voluntary & community sector. Partners and stakeholders were invited to submit proposals for projects that could be delivered under one of the 3 investment priorities. Questions regarding priorities for the UK SPF were included in the local Chamber of Commerce's quarterly survey.		
Summarise the governance structures you have in place, including how any advisory panels or associated partnership groups are made up		
The UK Shared Prosperity Fund will be overseen by the Local Partnership group that is made up of representatives from the Council, Worcestershire Local Enterprise Partnership, Housing Associations, Public Health bodies, parish councils, education providers, VCS, DWP		
Confirm all MPs covering your lead local authority have been invited to join the local partnership group.		
Yes	No	
Are there MPs who are not supportive of your investment plan?		
Yes	**No**	
(If Yes) Who are the MPs that are not supportive and outline their reasons why.		

PROJECT SELECTION

Are you intending to select projects in any way other than by competition for funding?
Yes   **No**
(If Yes) Describe your approach to selecting projects, and why you intend to do it this way.

DO YOU INTEND TO WORK WITH OTHER PLACES ON ANY OF THE INTERVENTIONS WHICH FALL UNDER THE COMMUNITIES AND PLACE INVESTMENT PRIORITY?

Which interventions do you intend to collaborate on? Select all that apply.	
Intervention	**Tick if applicable**
A full list of nation-specific interventions is available in the relevant annex to the Prospectus.	
Describe any interventions not included in this list?	
Who are the places you intend to collaborate with?	

DO YOU INTEND TO WORK WITH OTHER PLACES ON ANY OF THE INTERVENTIONS WHICH FALL UNDER THE SUPPORTING LOCAL BUSINESS INVESTMENT PRIORITY?	
Which interventions do you intend to collaborate on? Select all that apply.	
Intervention	**Tick if applicable**
A full list of nation-specific interventions is available in the relevant annex to the Prospectus.	
E17: Funding for the development and promotion of the visitor economy	✓
E20: R& D Grants	✓
E23: Strengthening local entrepreneurial ecosystems	✓
E29: Supporting decarbonistation whilst growth the local economy	✓
E30: Business support measure to drive employment growth	✓
Describe any interventions not included in this list?	
N/A	
Who are the places you intend to collaborate with?	
Malvern Hills District, Redditch Borough, Worcester City, Wychavon District, Wyre Forest District Birmingham City, Solihull Metropolitan Borough, West Midlands Combined Authority area	

DO YOU INTEND TO WORK WITH OTHER PLACES ON ANY OF THE INTERVENTIONS WHICH FALL UNDER THE PEOPLE AND SKILLS INVESTMENT PRIORITY?	
Which interventions do you intend to collaborate on? Select all that apply.	
Intervention	**Tick if applicable**
A full list of nation-specific interventions is available in the relevant annex to the Prospectus.	
E33: Employment support for economically inactive people	
E34: Courses including basic, life and career skills	
E35: Enrichment & volunteering activities	
E36: Interventions to increase levels of digital inclusion	
E39: Green skills courses	

Describe any interventions not included in this list?
N/A

Who are the places you intend to collaborate with?
Malvern Hills District, Redditch Borough, Worcester City, Wychavon District, Wyre Forest District

PUBLIC SECTOR EQUALITY DUTY

How have you considered your public sector equality duty in the design of your investment plan?
Equality and diversity officers have been consulted on this plan.

How will you consider your public sector equality duty when implementing your investment plan, including in the selection of projects?
An equalities impact assessment will be completed prior to the awarding of any contracts funded by the UK SPF and will be monitored throughout delivery.

RISKS

Have you identified any key risks that could affect delivery, for example lack of staff or expertise?	
Yes	No

(If Yes) Describe these risks or issues, including the contingency measures you have in place to mitigate them.
Delays in approval of the Investment Plan may impact delivery of projects – the Council will look to fund these, at risk.

Have you identified any key fraud risks that could affect UKSPF delivery?	
Yes	No

(If Yes) Describe these risks or issues, including the contingency measures you have in place to mitigate them.

Capacity and capability

In this section, we will ask you about:

- The capacity and capability of your team to manage funding
- The resources you have in place for work related to UKSPF

Your answers here will help us know how to support you with delivery. They will not affect the amount of funding you will get.

Answer as honestly as possible.

TEAM RESOURCE
How many people (FTE) will be put in place to work with UKSPF funding?
Core team (programme management): Head of North Worcestershire Economic Development and Regeneration (NWedR) – 0.2FTE NWedR Business Growth Manager – 0.5FTE NWedR Communications and Engagement Officer – 0.2FTE UKSPF Project Officer – 1FTE **Project teams (delivery):** Worcestershire Growth Hub Worcestershire County Council
Describe what role these people will have, including any seniority and experience.
Head of NWedR – Senior Responsible Owner NWedR Business Growth Manager – Project Manager NWedR Communications and Engagement Officer – comms, promotion and stakeholder engagement, UKSPF Project Officer – day to day programme administration

- Strong capability: Has extensive experience and/or a proven track record of delivery in this area.
- Strong capacity: High degree of confidence that there is enough staffing/resource to manage funding in this area.
- Some capability: Has previous experience of delivery in this area.
- Some capacity: Confident that there is enough staffing/resource to manage funding in this area.
- Limited capability: Does not have previous experience and/or no track record of delivery in this area.
- Limited capacity: Limited confidence that there is enough staffing/resource to manage funding in this area. Additional resource may be needed to support delivery.

CAPACITY AND CAPABILITY		
How would you describe your team's current experience of delivering funding and managing growth funds?		
Very experienced	Some experience	No previous experience
How would you describe your team's current capability to manage funding for procurement?		
Strong capability	Some capability	Limited capability
How would you describe your team's current capability to manage funding for procurement?		

Strong capability	Some capability	Limited capability

How would you describe your team's current capacity to manage funding for procurement?		
Strong capacity	**Some capacity**	Limited capacity
How would you describe your team's current capability to manage funding for subsidies?		
Strong capability	Some capability	Limited capability
How would you describe your team's current capacity to manage funding for subsidies?		
Strong capacity	**Some capacity**	Limited capacity

COMMUNITIES AND PLACE CAPACITY AND CAPABILITY		
Does your local authority have any previous experience of delivering the Communities and Place interventions you have select?		
Yes	No	
How would you describe your team's current capability to manage funding for Communities and Place interventions?		
Strong capability	Some capability	Limited capability
Describe the key capability challenges (if you have any) for delivering Communities and Place interventions. This may include challenges within your local authority and/or your local/regional delivery system.		
N/A		
Describe what further support would help address these challenges.		
N/A		
How would you describe your team's current capacity to manage funding for Communities and Place interventions?		
Strong capability	Some capability	Limited capability
Describe the key capacity challenges (if you have any) for delivering Communities and Place interventions. This may include challenges within your local authority and/or your local/regional delivery system.		
N/A		
Describe what further support would help address these challenges.		
N/A		

SUPPORTING LOCAL BUSINESS CAPACITY AND CAPABILITY
Does your local authority have any previous experience of delivering the Supporting Local Business interventions you have select?

Yes		No	
How would you describe your team's current capability to manage funding for Supporting Local Business interventions?			
Strong capability	Some capability		**Limited capability**
Describe the key capability challenges (if you have any) for delivering Supporting Local Business interventions. This may include challenges within your local authority and/or your local/regional delivery system.			

Although the Council has limited capability for delivering Supporting Local Business interventions it has a well-established relationship with the Worcestershire Growth Hub and Worcestershire County Council for the delivery of business support programmes.

The interventions selected in this Plan will be delivered through the established business support teams at Worcestershire Growth Hub and Worcestershire County Council. Both organisations have an existing team of project managers and project support officers. There will be a dedicated point of contact for the project. Project managers have many years experience of managing large scale externally funded programmes, and a detailed knowledge of procurement, contract management, subsidy control and reporting requirements and publicity rules.

Describe what further support would help address these challenges.

How would you describe your team's current capacity to manage funding for Supporting Local Business interventions?			
Strong capability	Some capability		**Limited capability**
Describe the key capacity challenges (if you have any) for delivering Supporting Local Business interventions. This may include challenges within your local authority and/or your local/regional delivery system.			

Although the Council has limited capacity for delivering Supporting Local Business interventions it has a well-established relationship with the Worcestershire Growth Hub and Worcestershire County Council for the delivery of business support programmes.

The interventions selected in this Plan will be delivered through the established business support teams at Worcestershire Growth Hub and Worcestershire County Council. Both organisations have an existing team of project managers and project support officers. There will be a dedicated point of contact for the project. Project managers have many years experience of managing large scale externally funded programmes, and a detailed knowledge of procurement, contract management, subsidy control and reporting requirements and publicity rules.

Describe what further support would help address these challenges.

PEOPLE AND SKILLS CAPACITY AND CAPABILITY			
Does your local authority have any previous experience of delivering the People and Skills interventions you have select?			
Yes		No	
How would you describe your team's current capability to manage funding for People and Skills interventions?			
Strong capability	Some capability		**Limited capability**

Describe the key capability challenges (if you have any) for delivering People and Skills interventions. This may include challenges within your local authority and/or your local/regional delivery system.
Although the Council has limited capability in direct delivery of People and Skills type of interventions, it has a strong track record of collaboration with key deliverers of such interventions, including Worcestershire County Council. The interventions selected in this Plan will be delivered by a consortium led by the Skills4Partnerships, a well established multi-disciplinary team led by the Worcestershire County Council (WCC). WCC has an existing team of project managers and project support officers. There will be a dedicated point of contact for the project. Project managers have many years experience of managing large scale externally funded programmes, and a detailed knowledge of procurement, contract management, subsidy control and reporting requirements and publicity rules.

Describe what further support would help address these challenges.
How would you describe your team's current capacity to manage funding for People and Skills interventions?

Strong capability	Some capability	**Limited capability**

Describe the key capacity challenges (if you have any) for delivering People and Skills interventions. This may include challenges within your local authority and/or your local/regional delivery system.
Although the Council has limited capacity to deliver People and Skills interventions, it has a strong track record of collaboration with key deliverers of such interventions.

The interventions selected in this Plan will be delivered by a consortium led by the Skills4Partnerships, a well-established multi-disciplinary team led by the Worcestershire County Council (WCC). WCC has an existing team of project managers and project support officers. There will be a dedicated point of contact for the project. Project managers have many years' experience of managing large scale externally funded programmes, and a detailed knowledge of procurement, contract management, subsidy control and reporting requirements and publicity rules. |
| **Describe what further support would help address these challenges.** |
| |

SUPPORT TO DELIVERY UKSPF
All lead authorities can use up to 4% of their UKSPF allocation to support the delivery of their chosen interventions but by exception, lead authorities will be able to use more than 4%. Are you planning to use more than 4%?

Yes	*No*

(If Yes) Explain why you wish to use more than 4%.

Approvals

Before submitting your investment plan, you should have approval from your:

- Chief Executive Officer

- Section 151 Officer

- Leader of your lead authority

Do you have approval from your Chief Executive Officer for this investment plan?

○ Yes
○ No

Do you have approval from your Section 151 Officer for this investment plan?

○ Yes
○ No

Do you have approval from the leader of your lead authority for this investment plan?

○ Yes
○ No

If you do not have approval from any of these people, please explain why this is:

Additional documents

You will have received an email giving you access to a folder where you will need to upload supporting evidence to your investment plan. All applicants must complete and upload the following spreadsheet to the folder prior to submitting their investment plan:

- UKSPF Expenditure Profile spreadsheet
- UKSPF Indicative Deliverables spreadsheet

Your investment plan submission will be considered incomplete without the required documents.

Have you completed and uploaded the two spreadsheets to the SharePoint folder as requested?

○ Yes
○ No

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Investment Priority	Intervention	Selected
Communities & Place	E1: Funding for improvements to town centre and high streets, including better accessibility for disabled people	✓
	E2: Funding for new, or improvements to existing, communities' and neighbourhood infrastructure projects including those that increase communities' resilience to natural hazards such as flooding	✓
	E3: Creation of and improvements to local green spaces, community gardens, watercourses and embankments, along with incorporation natural features into wider public spaces	✓
	E4: Enhanced support for existing cultural, historic and heritage institutions that make up the local cultural heritage offer	
	E5: Design and management of the built and landscaped environment to "design out crime"	✓
	E6: Support for local arts, cultural, heritage and creative activities	✓
	E7: Support for active travel enhancements in the local area	✓
	E8: Funding for the development and promotion of wider campaigns which encourage people to visit and explore the local area	
	E9: Funding for impactful volunteering and/or social action projects to develop social and human capital in local places	✓
	E10: Funding for local sports facilities, tournaments, teams and leagues; to bring people together	
	E11: Investment in capacity building and infrastructure support for local civil society and community groups	✓
	E12: Investment in community engagement schemes to support community involvement in decision making in local regeneration	
	E13: Community measures to reduce the cost of living including through measures to improve energy efficiency and combat fuel poverty and climate change	✓
	E14: Funding to support relevant feasibility studies	
	E15: Investment and support for digital infrastructure for local community facilities	
Supporting Local Business	E16: Investment in open markets and improvements to town centre retail and service sector infrastructure, with wrap around support for small businesses	✓
	E17: Funding for the development and promotion of the visitor economy such as local attractions, trails, tours and tourism products more generally	✓
	E18: Supporting Made Smarter Adoption: Providing tailored expert advice, matched grant and leadership training to enable manufacturing SMEs to adopt industrial digital technology solutions including AI, robotics and autonomous systems; additive manufacturing; industrial internet of things; virtual reality; data analytics.	

Investment Priority	Intervention	Selected
Supporting Local Business	E19: Increasing investment in research and development at the local level. Investment to support the diffusion of innovation knowledge and activities. Support the commercialisation of ideas, encouraging collaboration and accelerating the path to market	
	E20: Research and development grants supporting the development of innovative products and services	✓
	E21: Funding for the development and support of appropriate innovation infrastructure at the local level	✓
	E22: Investing in enterprise infrastructure and employment/innovation projects. This can help to unlock site development projects which will support growth in places	
	E23: Strengthening local entrepreneurial ecosystems and supporting businesses at all stages of their development to start, sustain, grow and innovate, including through local networks	✓
	E24: Funding for new and improvements to existing training hubs, business support offers, "incubators" and "accelerators" for local enterprise (including social enterprise) which can support entrepreneurs and start-ups through the early stages of development and growth	✓
	E25 Grants to help places bid for and host international business events and conferences that support wider local growth sectors	
	E26:Support for growth the local social economy including community businesses, cooperatives and social enterprises	
	E27: Funding to develop angel investor networks nationwide	
	E28: Export grants to support businesses to grow their overseas trading, supporting local employment	
	E29: Supporting decarbonisation and improving the natural environment whilst growing the local economy. Taking a whole systems approach to invest in infrastructure to deliver effective decarbonisation across energy, buildings and transport and beyond in line with our legally binding climate target. Maximising existing or emerging local strengths in low carbon technologies, goods and services to take advantage of the growing global opportunity	✓
	E30: Business support measures to drive employment growth particularly in areas of higher employment	✓
	E31: Funding to support relevant feasibility studies	
	E32: Investment in resilience infrastructure and nature based solutions to protect local businesses and community areas from natural hazards including flooding	
People & Skills	E33: Employment support for economically inactive people; intensive wrap-around one to one support to move people closer towards mainstream provision and employment, supplemented by additional and/or specialist life and basic skills support where there are local provision gaps	✓
	E34: Courses including basic skills (digital, English and ESOL) and life skills and career skills provision for people who are unable to access training through the adult education budget or wrap around support	✓
	E35: Activities such as enrichment and volunteering to improve opportunities and promote wellbeing	✓

Investment Priority	Intervention	Selected
People & Skills	E36: Intervention to increase levels of digital including with a focus on essential digital skills, communicating the benefits of getting (safely) online and in-community support to provide users with the confidence and trust to stay online	✓
	E37: Tailored support to help people in employment, who are not supported by mainstream provision to address barriers to accessing education and training courses	
	E38: Support for local areas to fund local skills needs. This includes technical and vocational qualifications and courses up to level 2 and training for vocational licences relevant to local area needs and high-value qualifications where there is a need for additional skills capacity that cannot be met through mainstream funding	
	E39: Green skills courses targeted around ensuring we have the skilled workforce to achieve the government's net zero and wider environmental ambitions	✓
	E40: Retraining support for those in high carbon sectors	
	E41: Funding to support local digital skills	

Agenda Item 4

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BROMSGROVE DISTRICT COUNCIL

CABINET 27 July 2022

Quarterly Risk Update

Relevant Portfolio Holder	Councillor – Geoff Denaro Portfolio Holder for Finance and Governance
Portfolio Holder Consulted	Yes
Relevant Head of Service	Peter Carpenter
Wards Affected	All Wards
Non-Key Decision	

1. SUMMARY

This report sets out Council activity to identify, monitor and mitigate risk.

2. RECOMMENDATIONS

Cabinet are asked to:

- Approve the definition of a Corporate Risk.
- Approve the present list of Corporate Risks.
- Approve the use of the Risk Management Framework devised by Zurich.
- Note the progress made on the Action Plan approved by CMT on the 16th March.

3. KEY ISSUES

Background

3.1 In 2018/19, an audit of Risk Management provided an assurance level of limited assurance due to weaknesses in the design and inconsistent application of controls. As a result of the audit, a review was commissioned and undertaken by Zurich Municipal to consider the Council's risk management arrangements and to advise of any recommendations. In response to the Zurich review a Risk Management Strategy was produced for both Bromsgrove District Council and Redditch Borough Council.

3.2 A follow-up review was carried out by Internal Audit in March 2021 (Final Report June 2021) with the purpose of identifying what progress had been made against the Risk Management Strategies. At that time there was a lack of evidence that the actions within the Risk Management Strategies had been fully completed and embedded within the Councils and therefore no assurance could be given.

3.3 CMT, on the 16th March 2022, acknowledged that there is a risk management system in place, and there are areas of good practice however this was not uniform across the

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Councils. The embedding of effective risk management needed to be driven and led by senior management and cascaded down throughout the Councils. It recommended that:

- A initial Officer Risk Board to take place on in the first week of April 2022. This happened on the 8th April. The next round of Officer has now also taken place on the 22nd June.
- Each department nominate a representative to a Risk Board. This happened on the 8th April.
- Each department to complete an updated Risk Register by Wednesday 6th April (linked to the Zurich Recommendations). These were reviewed at the meeting on the 8th April.
- That both Audit Committees, who both met in the week commencing the 11th April be verbally updated on Progress.
- CMT were updated at their meeting on 13th April on progress and were presented with a draft Corporate Risk Register for approval. A further updated took place on the 29th June following the Risk Group meeting on the 22nd June. The updated position is contained in this report.
- That updated reports are prepared for next cycle of Audit Committees. This cycle is in July 2022.
- That the Officer Group update the Risk Register and formally report for CMT on a quarterly basis.

The Definition of a Corporate Risk

3.4   The Council has existing Corporate and Departmental Risks. Members of the Risk Board were not sure of the link on how Risks on system had become Corporate in nature.

3.5   The following definition of a of how Risks move from being "departmental" to being "corporate" in nature was recommended by the Risk Group and approved by CMT.

"For a **Risk** to move from being **Departmental** in nature to being **Corporate** in nature that it *must have significant impact on Councils finances, be cross departmental in nature and/or result in Serious reputational damage.* The Officer Risk Board will vet departmental risks using this definition to move then to Corporate Risks at their quarterly meetings."

The 4Risk System

3.6   The Council procured the 4Risk system to manage its risks. Risks are subdivided into Corporate Risks and then Departmental Risks.

3.7   Each individual risk has an individual record applied to it to ensure all the pertinent information is captured. This is shown in Appendix A. This always includes a field which sets out when records need to be reviewed.

3.8   It was the view of the Risk Board that the system is fit for use, and with the updated definition of Corporate Risks, that Risks can be properly allocated. However, the Board felt that at a Departmental level that they should not be too prescriptive on the number of

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risks included as that will relate to how individual departments are being managed and the nature of their services. **The data below shows that there has been risk management taking place at a departmental level.** However, there was the requirement to ensure more uniformity and consistency of reporting.

The baseline risks are included in the following table – this is prior to any Risk Board meetings.

Service Area	Red	Amber	Green	Total
Customer Access and Financial Support	12	20	13	**45**
Finance	0	0	4	**4**
Environmental Services	0	2	11	**13**
Leisure & Cultural Services	0	3	3	**6**
Legal, Equalities and Democratic Services	0	0	7	**7**
ICT	2	4	5	**11**
Planning Services	0	1	1	**2**
Housing	0	4	5	**9**
Community Services	1	1	5	**7**
HR	0	0	1	**1**
Total	**15**	**35**	**55**	**105**

After the Risk Board on the 22nd June, the following changes have been made.

All items have been reviewed by Risk Champions and respective DMT's in each Service Area – as per the requirements of the last Risk Board. Risks are being reviewed departmentally on a monthly basis now across all services. Overall, the number of risks on departmental risk registers have reduced by 23 items, with the most significant reductions being around "Red" departmental risks.

There are two areas where more work is required following review at the Risk Board, based on criterion being used in other areas. These are the ICT and Property areas.

In addition, there are significant Risks in the delivery of Regeneration Schemes across both Councils through NWEDR and these also need to be added as their own Category.

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Another area where Service representatives will challenge individual items, is on the data in the following Tabs, to ensure that all controls and assurances are properly monitored and assured:

- Existing Controls.
- Action Required.
- Assurance Record.

A view was taken that "Green" Departmental Risks should be taken off this list if they have been to two consecutive meetings and mitigating actions have been fully put into place.

Service Area	Red	Amber	Green	Total
Customer Access and Financial Support	0	6	12	18
Finance	0	2	2	4
Environmental Services	0	2	11	13
Leisure & Cultural Services	0	3	3	6
Legal, Equalities, Democratic Services & Property	0	3	9	12
ICT	2	6	2	10
Planning Services	0	2	1	3
Housing	0	3	4	7
Community Services	0	2	6	8
HR	0	0	1	1
Total	2	29	51	82

The two departmental red risks are:

- ICT 7 - Failure to identify, maintain and test adequate disaster recovery arrangements
- ICT 11 - System functionality to manage records

Corporate Risks

3.9 The Officer Risk Board reviewed the risks in the above table at their meetings on the 8th April and 22nd June using the new definition of "Corporate Risks". The Board thought that Corporate Risks should be "High" in nature and therefore be red. The table below sets out the updated Corporate Risk Register that the Risk Board took to CMT and gained their approval.

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	Risk Ref	Risk Title	Risk Status	
🟨	COR 9	Non Compliance with Health and Safety Legislation	Open	View
🟨	COR 10	Decisions made to address financial pressures and implement new projects that are not informed by robust data and evidence	Open	View
🟥	COR 14	Non adherence with Statutory Inspection Policy	Open	View
🟨	COR 15	Impact from Changes to Partner Funding Arrangements	Open	View
🟨	COR 16	Management of Contracts	Open	View
🟥	COR 17	Resolution of the Approved Budget Position	Open	View
🟨	COR 18	Protection from Cyber Attack	Open	View
🟥	COR 19	Adequqate Workforce Planning	Open	View
🟥	COR 20	Financial Precision Rectification	Open	View
🟨	COR 21	BROMSGROVE DC Being placed into special measures due to quality of planning application decisions	Open	View

The Risk Management Framework

3.10 In 2019, the Council commissioned work with Zurich on Risk Management. A Risk Management Framework was created although this was not approved by CMT at the time. This Risk Management Framework is attached as Appendix B. This Framework was approved for use at the meeting of CMT on the 13th April. The Board can design Risk Training based on its content to managers.

4. Legal Implications

4.1 No Legal implications have been identified.

5. Financial Implications

5.1 The Council spend significant sums insuring itself and must also hold Reserves to mitigate the costs of risks should they happen. A comprehensive Risk Management approach ensures risk and its consequences, including financial ones, are minimised.

6. Strategic Purpose Implications

Relevant Strategic Purpose

6.1 A comprehensive Risk Management approach ensures **Risk and its Consequences** are minimised for the Council.

Climate Change Implications

6.2 The green thread runs through the Council plan. This includes risks linked to activities and actions that link to our climate.

7. Other Implications

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Customer / Equalities and Diversity Implications

7.1   If risks are not mitigated it can lead to events that have Customer/Equalities and Diversity implications for the Council.

Operational Implications

7.2   Risks are inherent in almost all the Councils operational activities and therefore significant risks need to be identified, monitored and mitigated.

8.   RISK MANAGEMENT

8.1   This report is about Risk Management.

9.   APPENDENCES

Appendix A – Information Captured on the 4Risk System
Appendix B – Risk Management Framework

AUTHOR OF REPORT

Name: Pete Carpenter– Director of Finance (S151)
E Mail: Peter.Carpenter@bromsgroveandredditchbc.gov.uk

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Appendix A – Information Captured on the 4Risk System

FIN 1 - Fail to provide adequate support to managers to manage their budgets

Record Last Reviewed: 29 Mar 2019 11:13   **Record Last Updated:** 29 Mar 2019 11:12

Cause and Effect	Existing Controls	Action Required	Contingency Details	Assurance Record	History

Risk Ref: FIN 1

Risk Owner: Chris Forrester [Details]

Risk Status: Open

Corporate Objective: N/A

Risk Area: 02. Finance

Sub Risk Area: Financial Services

Risk Category: N/A

Risk Level: ☐ Corporate ☑ Operational

Project Risk: ☐ Project

Cause(s):
- Managers unaware of what is required
- Maverick behaviour unchecked / unchallenged
- Priorities lying elsewhere (transformation, systems implementation)

Effect(s):
- Insufficient funds to deliver service objectives
- Overspends (or underspends) on budgets
- Reputational damage
- Service quality issues

Linked Risks: [View Linked Risks]

Review Required From: 31 Jan 2022

[Review Risk Record] [View Risk Review Records]

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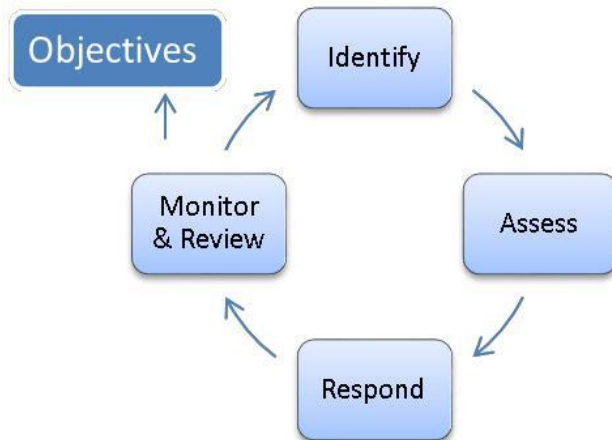## RISK MANAGEMENT HANDBOOK – TOP TIPS FOR MANAGERS GUIDANCE

RISK MANAGEMENT AT BDC /RBC

The **Risk Management Handbook** provides an overview for all staff of the council's approach to Risk Management, including the extent to which Performance Management and Data Quality are integral to this.

This **'Top Tips for Managers'** Guide aims to provide more detailed guidance for Service Managers to support the identification and management of risk, aligned with the available resources, and contributing to the delivery of the council's overall strategic purposes

RISK MANAGEMENT CYCLE

The Risk Management Cycle must be applied both to strategic and operational risks. It is as follows:

IDENTIFY YOUR RISKS

- A risk is an event or action that will have an effect on our ability to achieve our purposes
- Those best placed to identify risks are those who are responsible for the delivery of the purposes.

To be effective, Risk Management needs to be aligned with corporate aims, purposes and priorities. At BDC / RBC, risk is embedded at the heart of planning and ongoing performance management.

Strategic risks recorded on the Corporate Risk Register:

- The risks that are potentially damaging to the achievement of the council's overall purposes, or have an impact on the council corporately (e.g. damage to reputation). Strategic risk management is a task for the CMT, in close liaison with elected members.
- Corporate Plan

Operational risks recorded in individual Operational Risk Registers:

The risks associated with individual service delivery, which will be managed by the Service Managers responsible for delivering those services.

RISK MANAGEMENT – TOP TIPS

You can begin to think about your potential risks using a range of tools. These could include:

- Analysing past claims and other losses;
- Analysing past corporate incident'/failures;
- Health & Safety inspections;
- Induction training & performance meetings;
- Staff and customer feedback

It may also help to think about the kinds of categories in which risks may sit. Suggestions are listed at Appendix I to assist.

ASSESS YOUR RISKS

Once the potential risks to service delivery have been identified, these need to be analysed by:

- Assessing the likelihood of the risk occurring
- Assessing the impact of the risk

Measure the LIKELIHOOD – the chance of something nasty happening

- **High –** event expected to occur in most circumstances
- **Medium –** might occur in most circumstances
- **Low –** likely to occur only in exceptional circumstances

Measure the IMPACT – the effect that something nasty happening would have

Seven criteria can help up measure impact; injury to personnel, loss of service, damage in reputation, number of people involved, scope for complaint/litigation, amount of financial loss or regulatory breach.

We use the following three categories to measure impact. Each can be defined in line with the seven criteria. However, it should be noted that these criteria are for *guidance only* and do not need to all apply exactly. Each risk should be considered individually.

CRITICAL
1. Death, extensive permanent injuries, long term injury
2. Short to medium term <u>loss</u> of service capability
3. Adverse local publicity, potential for embarrassment nationally
4. More than 40 people involved
5. Strong possibility of litigation
6. Financial loss in excess of £250,000
7. Breaches of law punishable by fines and/or imprisonment

SIGNIFICANT
1. Medical treatment required, long term sickness
2. Short to medium term <u>disruption</u> to service capability
3. Needs careful public relations management
4. Up to 40 people involved
5. High potential for complaint, litigation possible
6. Financial loss between £50,000 and £250,000
7. Breaches of regulations/national standards

NOTICEABLE
1. No injuries beyond 'first aid' level
2. No significant disruption to service capability
3. Unlikely to cause any adverse publicity
4. No more than 6 people involved
5. Unlikely to cause complaint/litigation
6. Financial loss below £50,000
7. Breaches of local procedures/standards

NB. A number of low impact incidents may have a significant cumulative effect and require attention.

**Wherever possible, describe your risk using:
"Loss / failure of xxx, leading to xxx, resulting in xxx"**

RISK MANAGEMENT - TOP TIPS

ASSESS contd.

After assessment, the likelihood and impact measures can be input into our Risk Matrix:

RISK ASSESSMENT MATRIX

LIKELIHOOD OF OCCURENCE

	NOTICEABLE	SIGNIFICANT	CRITICAL
HIGH	4	7	9
MEDIUM	2	5	8
LOW	1	3	6

IMPACT

This will produce a 'score' for the risk and, more importantly, a colour risk rating (i.e. red, amber or green). These colours define our Risk Appetite (the level of risk we are willing to accept), and therefore guide how we will respond to each risk. *(note this may change subject to current work to identify risk appetite)* The ratings are:

Unacceptable risk: immediate control improvement required

Acceptable risk: monitor closely and seek cost effective control improvements

Acceptable risk: review regularly and seek low cost control improvements if possible

RESPOND TO THE RISKS

Our risks, once identified and assessed, must be dealt with in line with the colour rating/Risk Appetite so we are providing a proportionate and cost effective response.

- Can we take action to reduce the likelihood of the event happening?
- Can we reduce the impact of the event?
- Can we change the consequences of the event?

Ask yourself:

We use four basic ways of responding to risk although, in practice, we will probably need to use a mixture of responses to address risk. These are;

- **Tolerate**
- **Treat**
- **Transfer**
- **Terminate**

See page four for a description of each.

RISK MANAGEMENT – TOP TIPS

Tolerate

- Do nothing / consciously accept the risk
- Certain risks cannot be adequately treated by either avoidance, transfer or control. In such cases, there is no alternative but for the council to accept the 'residual', or remaining, risk.
- We need to keep an eye on trends as too many may need investigation. Although they may not merit the cost of action, even very low risks, if repeated often enough, can become a problem that needs management.

Treat

- Take action to ensure existing controls are effective by periodic review and/or by implementing additional controls where considered necessary to reduce either the impact or likelihood that the event will materialise.
- The effort/cost must be proportionate to the level of risk.

Transfer

- Involves another party taking on, or sharing, the risk.
- Good examples of this are insurance and contracting out/shared services.
- **NB** Ultimate responsibility to undertake statutory requirements remains with the council, even if third party provision is engaged.

Terminate

- Deciding not to continue or proceed with an activity in view of the level of risk involved, wherever possible
- **NB** Statutory Requirements cannot be avoided.

RE-ASSESSING RISK

Putting in place appropriate actions to respond to the risk will allow for the risk to be measured again. The risk matrix can be used to re-evaluate the risk after control measures have been put in place, and this will provide the risk's *'residual score'*.

The 'Residual Score' should be at a level that is acceptable to management, and will also be recorded on the relevant **Risk Register (corporate or operational).** It will give a measure of the effectiveness of the various control measures, and help to raise awareness of their importance.

It will also inform managers of the level and type of monitoring and management that will be required for the risk on an ongoing basis.

MONITOR & REVIEW THE RISKS

Effective risk management requires a reporting and review structure to ensure that risks are effectively identified and assessed, and that appropriate controls and responses are in place. The **Risk Registers** record risks to the council.

Corporate Risk Register

We have a dynamic process of review; identifying new risks, removing mitigated risks and tracking changing risk scores throughout the year. In addition, there are formal review points:

- Published on the intranet
- Reviewed quarterly by risk management group and reported to CMT
- 6 monthly review to Audit Committee
- Annual report also produced for SMT

RISK MANAGEMENT – TOP TIPS

Operational Risk Register

- Council Plan actions and Operational Risk Registers are combined
- Maintained by service areas on the 4 Risk system
- Having carried out assessment of risk, managers must:
- Ensure that the agreed control measures continue to be applied
- Check whether there has been any change in circumstances that necessitate a fresh risk assessment being carried out
- Formally review all risk assessments affecting their areas of activity quarterly, *providing a current risk score each quarter*.
- Revisit all risks each year.

New Risks

New risks identified throughout the year must be captured on the appropriate risk register, either by Service Managers for operational risks, and then discussed at risk management group meetings, or through notification to the HOS for corporate risks.

New corporate risks will be reported to the next quarter's CMT meeting and added to the register if deemed appropriate by CMT..

The assessment and response to new risks must be recorded in line with the Risk Management Handbook, as with any other risk.

Review

The risk assessment process involves all managers and will be repeated at least annually to monitor the effectiveness of the risk control measures implemented.

Audits are carried out in line with Internal Audit's rolling three year plan to identify opportunities for improvement. Changes in the council and the environment in which it operates will continue to be identified and appropriate modifications made to systems.

The monitoring process will provide assurance that there are appropriate controls in place for the council's activities, and that procedures are understood and followed.

DECISION MAKING, PROJECT PLANNING & WORKING IN PARTNERSHIP

Decision making

The Council needs to be able to demonstrate that it has considered the key risks associated with any proposed activity before arriving at a decision. This must also include considering the key risks associated in deciding against that proposed activity.

Risk therefore needs to be addressed at the point at which decisions are being taken. Where members and managers are being asked to make decisions they will be advised of the key risks associated with the recommendations being made.

Risk management is used to guide decisions and policy development.

RISK MANAGEMENT – TOP TIPS

Project Planning
Risk management must also be an integral part of project management, both in terms of the initial project/solution design and as part of ensuring that projects are delivered successfully.

Working in partnership
Where the council provides services in partnership, potential risks that could prevent success still need to be considered, just as though the council were providing those services itself. Risks should be managed through formal contracts and partnership agreements that clearly identify risks and allocate them to the appropriate parties. They are also included in our Corporate Risk Register.

Agreeing clear partnership outcomes is essential from the outset of an agreement. There must be open communication between the partners about the key risks that the partnership faces in achieving its purposes, which are formalised in partnership agreements.

Risks in partnerships should be considered using the council's Risk Management Framework and cycle which will:

- Highlight the risks that the partnership faces
- Identify the barriers to the partnership's success
- Creates a common understanding among partners of the issues the partnership faces
- Prioritise the risks and ensures that these are regularly reviewed and monitored
- Allocates responsibility for managing the risks to the party best placed to do it
- Provides the necessary assurance to each organisation that the partnership is being adequately managed

Risks associated with key partnerships must be regularly reviewed with the monitoring process agreed when the partnership is set up. Reports to the partnership and the individual organisations should be determined by the significance of the risks involved.

The following documents will include formal identification of associated risks:

All reports to members	Business cases and project plans
Recommendations to CMT	Business Plans

ACCOUNTABILITIES, ROLES & RESPONSIBILITIES

The Director of Finance and Resources has the lead role for developing the council's approach to risk management. She is assisted by the Finance Manager and Insurance Officer, who support officers in implementing risk management on an annual and day to day basis.

Risks cannot be managed if they are not owned. This means the day to day responsibility for risk management lies with managers and staff.

Roles & Responsibilities are described in Appendix II.

RISK MANAGEMENT – TOP TIPS

TRAINING

Having established responsibilities for risk management, the council must ensure that staff and members have the appropriate skills to undertake the roles.

It is the responsibility of managers to ensure their staff are properly trained in the implementation of this strategy.

A programme of training will then be provided including:

- An induction to 4-risk
- Awareness raising for all staff
- Refresher training
- Ad hoc training from Zurich, the council's Risk Advisers, to meet identified need
- Inclusion of Risk in the Members' Handbook

This 'Top Tips for Managers' Guide is also intended for use as an ongoing training resource.

APPENDIX 1

RISK CATEGORIES

Here is a list of risk categories to help you identify your risks. Risks can be strategic, operational or sometimes a mixture of both. These categories are only intended as a guide to help you consider risk, and will not be exhaustive or cover every risk in every situation.

We also need to bear in mind Governance factors:

	Sources of Risk	Risk Examples
STRATEGIC	Business Continuity	Loss of data / records / buildings
	Infrastructure	Functioning of transport, communications and utilities infrastructure. Impact of storms, floods, pollution
	Financial	Funding sources
	Politics and Law	Effects of change of government policy, UK or EC legislation, national or local political pressures or control, meeting the administrations manifesto commitments
	Social Factors	Effects in changes in demographic, residential and social trends on ability to deliver objectives
	Technology	Capacity to deal with obsolescence and innovation, product reliability, development and adaptability to use technology to address changing demands
	Competition and Markets	Affecting the competitiveness (cost & quality) of the service and/or ability to deliver Best Value and general market effectiveness
	Stakeholder related factors	Satisfaction of: citizens, users, central and regional government and other stakeholders
	Environmental	Environmental consequences of progressing strategic objectives (e.g. in terms of energy efficiency, pollution, recycling emissions etc.)

	Sources of Risk	Risk Examples
OPERATIONAL	Finance	Associated with accounting and reporting, internal financial delegation and control e.g. managing revenue and capital resources, pensions
	Human Resources	Recruiting and retaining appropriate staff and applying and developing skills in accordance with corporate objectives, employment policies, health and safety and absence rates
	Contracts and Partnerships	Failure of Contractors to deliver services or products to the agreed cost and specification. Procurement, contract and relationship management. Overall Partnership arrangements e.g. for pooled budgets or Community Safety
	Tangible Assets	Security of land and buildings, safety of plant and equipment, control of I.T. hardware
	Environmental	Relating to pollution, noise or the energy efficiency of ongoing operations
	Processes	Infection control, inspection compliance, project management, performance management
	Professional judgement and activities	Risks inherent in professional work such as legal or other professional advice, working with children, designing buildings

GOVERNANCE	Integrity	Fraud and corruption, accountability and openness, equality and diversity, legality of actions and transactions and limits on authority
	Leadership	Reputation, authority, democratic renewal, trust and identity
	Policy and strategy	Ensuring clarity of purpose and communication. Policy planning, community planning and monitoring and managing overall performance
	Data and information for decision making	Data protection, data reliability and data processing. Information and communication quality. Effective use and interpretation of information. Control of data and information.
	Risk Management	Incident reporting and investigation, risk measurement, evaluation and monitoring

Agenda Item 5

RISK MANAGEMENT HANDBOOK – Roles & Responsibilities

In the following table, risk management responsibilities relate to business as usual, projects, risks and financial performance

Employees	Resources – (Insurance Officer)		All Employees
	- Leading the annual review of the Risk Management Handbook/Policy and Strategy - Maintaining and reporting on the Corporate Risk Register - Advising Service Managers on the identification, assessment and management of operational risks during the Service Planning process - Working with Service Managers on a quarterly basis to review risk management, as part of the Performance Management Framework - Providing ongoing support and training to staff in relation to risk management. - Consolidate inspection policy		- All council employees are responsible for ensuring there are robust and fit for purpose systems of internal control and risk management in place, and that they are aware of the risks that they: - Are empowered to take - Must avoid - Must report upward - Risk Owners are accountable for the management of their own risk, and these are defined in Risk Registers. - All staff are responsible for reporting hazards/risks to their manager for escalation/consideration for inclusion in the Corporate Risk Register.
Managers	**Senior Management Team / CMT**		**Service Managers**
	- Collectively, approving the risk management approach - Considering and approving the Risk Management Policy, as formed by the Handbook - Individually, ensuring risk is managed effectively in their own service area, in line with the agreed strategy - Ensure risk is managed and monitored effectively in shared services (hosted and non-hosted) in their area - Affirming and supporting the work of risk management throughout the council, which is an important part of the council's corporate governance arrangements - Monitoring corporate risks on a six monthly basis and annually in SMT meetings - Reporting all new and amended risks to Insurance Officer for inclusion in the Corporate Risk Register, and to ensure they are linked to the budget planning process		- Ensuring that all employees within their service understand and comply with the risk management policy & procedures - Identifying, evaluating and managing operational risks and reporting any possible corporate risks to the Head of Service - Ensure that operational risk registers are established for their services and regularly reviewed to ensure that risks are adequately monitored and managed - Formally review all arrangements for risk management affecting their service areas at least annually as part of the business planning process
Members	**Council** The Leader of the Council is responsible for acting as the Lead Councillor for risk management.	**Cabinet/Executive Committee** Cabinet/Executive is responsible for considering risk implications when making any decision	**Audit, Standards & Governance Ctte/Audit, Governance & Standards Ctte** Notified of Corporate Risk Register and its contents on an annual basis. Review on a 6 monthly basis
All Members	- Considering risk implications in planning and decision making - Have a responsibility to understand the strategic risks facing the council - Bringing to the attention and discussing with officers any risks relating to the council's policies and activities, or any risks identified when undertaking duties as an elected member - Have an understanding of the key council risks falling within their portfolio area, where relevant - Providing leadership and direction for the management of risk on		
Internal Audit	- Undertaking audits of the council's Risk Management system and procedures in order to assess their effectiveness and compliance with the council's requirements as part of the corporate governance process - Making recommendations to improve the effectiveness of Risk Management within the council		

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