

SHADOW EXECUTIVE

Date: Tuesday, 10th March, 2020
Time: 10.00 am
Venue: Mezzanine Rooms 1 - 2, Buckinghamshire County Council, Walton Street, HP20 1UA - Aylesbury

Membership: Councillors: M Tett (Chairman), K Wood (Vice-Chairman), S Bowles, B Chapple OBE, J Chilver, A Cranmer, I Darby, T Green, C Harriss, P Hogan, A Macpherson, D Martin, N Naylor, M Shaw, W Whyte, G Williams and F Wilson

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AGENDA

No	Item	Page No
1.	Apologies	
2.	Minutes	3 - 12
	To approve as a correct record the Minutes of the meeting held on 18 February 2020.	
3.	Declarations of interest	
4.	Question Time	
5.	Forward Plan (28 Day Notice)	13 - 20
6.	Registered Providers Charging Arrangements	21 - 38
7.	Street Naming & Numbering Policy	
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11.	Emergency Plan	93 - 144
12.	Abbey Barn Lane Realignment (ABLR)	145 - 152
13.	Managing the Care Market: Proposal for Fee Increases	153 - 162
14.	Programme Update	163 - 168
15.	Exclusion of the Press and Public	

To resolve that under Section 100(A)(4) of the Local Government Act 1972 the public be excluded from the meeting for the following item(s) of business on the grounds that it involves the likely disclosure of exempt information as defined in Part I of Schedule 12A of the Act.

Paragraph 3 Information relating to the financial or business affairs of any particular person (including the authority holding the information)

16.	Confidential Minutes	169 - 172
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To approve as a correct record the Confidential Minutes of the meeting held on 18 February 2020.

17.	Abbey Barn Lane Realignment	173 - 178
18.	Managing the Care Market: Proposal for Fee Increases	179 - 182
19.	Date of next meeting	

31 March 2020, The Oculus.

SHADOW EXECUTIVE

TUESDAY, 18TH FEBRUARY, 2020

Present: Councillor Martin Tett in the Chair

Councillors K Wood (Vice-Chairman), S Bowles, B Chapple OBE, J Chilver, A Cranmer, I Darby, T Green, C Harriss, P Hogan, A Macpherson, D Martin, N Naylor, W Whyte, F Wilson, T Butcher and W Mallen

Also in Attendance:

Councillors Robin Stuchbury, Chris Whitehead and Alex Collingwood.

1 Apologies

Apologies had been received from G Williams with T Butcher in attendance as his deputy and M Shaw with W Mallen in attendance as his deputy.

2 Minutes

RESOLVED: The minutes of the meeting held on 28 January were agreed as an accurate record and signed by the Chairman.

3 Declarations of interest

The following declarations were made under item 13; VCS (Voluntary and Community Sector) Continuing Grants:

1. Steve Bowles- Trustee of Green Park, Trustee of Wendover Memorial Hall
2. David Martin- Board member for Colne Valley Park Community Interest Company, Trustee of Chalfont St Peter Community Library
3. Katrina Wood- Lives close to Ashwells but not close enough to have a prejudicial interest.
4. Isobel Darby- Treasurer of Chalfont St Peter Village Action Group, Governor of Robertswood School and Governor of Dr Challoner's Grammar School.
5. Fred Wilson- Wife is governor of Chesham Grammar School and Chesham Bois C of E. Member of Chesham Vitalisation for Chesham Connect.
6. Bill Chapple- Son works for County Council, Chairman of Buckinghamshire's Best Kept Village.
7. Nick Naylor- Director of Colne Valley Park Community Interest Company.

Tony Green- Governor of Holmer Green Senior School, Chairman of High Wycombe Twinning Association.

4 Question Time

Question by Robin Stuchbury

In response to questions asked at the meeting on 28 January 2020 on planned savings in Children's Services and Education, Cllr Whyte clarified that the proposed savings listed in Appendix 4 of the draft budget are cumulative and not on a year-by-year basis. Cllr Whyte also stated that the total £6.7M savings target in SEND and Early Help were provisional estimates and that a new £7.5M grant from central Government has now

removed the pressure on these budgets. Could Cllr Whyte please now confirm that the final budget plans will pursue no savings in SEND and Early Help over the next three years?

Response

The proposed MTFP does not include any planned savings against Early Help budgets.

In relation to SEND, the proposed budget includes additional investment of £500k in staffing within the Integrated SEND service to increase capacity within the service to meet demand for Education, Health and Care Plans. This investment is funded in part by savings from elsewhere within the Education Service giving a net increase to the Education portfolio budget of £220k.

Buckinghamshire has received an additional allocation of £7.5 million within the High Needs Block of the Dedicated Schools Grant (DSG) to support pupils with SEND in 2020-21. Whilst this additional funding is welcome, Buckinghamshire, like all other Councils, is experiencing significant pressures against its High Needs Block. The Council will be working closely with schools and Schools Forum to ensure that increasing demands for support can be met in the most efficient and effective way within the overall levels of grant.

Question by Alex Collingwood

In relation to the decision being taken today by the Shadow Executive on Westhorpe Globe Park it was asked if Highways England would ensure there would be good cycleway and pedestrian access as part of the scheme.

Responses

The new slip road was predominately designed for motor access but would take into consideration pedestrian and cycle access. This would be discussed further under item 14a.

5 Forward Plan (28 Day Notice)

RESOLVED: The Shadow Executive NOTED the forward plan.

6 Budget Scrutiny 2020 Report

C Whitehead, Vice Chairman of the Budget Task and Finish Group and A Collingwood, Chairman of the Shadow Overview and Scrutiny Committee attended the meeting to present their findings and recommendations following the intensive budget scrutiny process that had taken place over 4 days in January 2020.

A Collingwood highlighted that the scrutiny process looked at each portfolio area in detail and their recommendations were put forward in order for the budget to meet the key aims of delivery better services and better outcomes for residents. The recommendations were summarised and a copy would be published after the meeting and also appended to the minutes. The Executive, Portfolio Holders and officers were thanked for their input and work over the scrutiny process.

C Whitehead clarified that although it was a three year budget, Yrs1 and 2 had been reviewed by existing councils, however Yr 3 was harder to predict and scrutinise and there was still work to do in particular in relation to capital expenditure and the savings proposed under the Transformation programme. It was highlighted that climate change was a high priority for the council and residents.

The Executive raised the following points in discussion:

- Members of the Budget Task and Finish group were commended for their work and the final budget presented would be improved due to their work.
- The Executive were not the ongoing Cabinet of the new authority and therefore could not dictate policies for the new council. However, the Corporate Plan had been

shaped in some areas e.g. Climate Change and a £5m special initiatives budget had been proposed to help address the topic.

- The concerns related to Year 3 assumptions were echoed and it was an area the new authorities' executive would want to address. It was stated that the Fair Funding Review committed to by Central Government had been put on hold and the impact of that review was not known so broad assumptions had to be made to form the budget.
- The business case in 2016 highlighted the initial savings target and some of these had already been achieved. The new authority would want to review savings and decide on policies on how those savings are used.
- Climate Change was discussed in more detail and scrutiny's recommendation for the Corporate Plan for Buckinghamshire Council to include a stronger commitment to Climate Change, with the aim of the Council being net Carbon Neutral by 2035 and the County generally by 2050. A Collingwood stated that a closer date was needed in order for there to be a real focus and push to deliver on the target. B Chapple highlighted that Buckinghamshire County Council was already 53% carbon neutral and exceeding targets. Members recognised that the new authority would need to have a strong focus on Climate Change as it was also a high priority for residents and required large scale culture change.
- There were some areas of recommendations where it was felt that the targets were less specific and it was stated that this meant officers were given some level of flexibility in order to be able to deliver against the massive transformation and change programme required.
- Best practice from each of the existing authorities could be used in particular areas where great work was already happening, e.g. homelessness and rough sleeping.
- Although there was a desire to reduce agency staff it was understood that there would always be a need for some element of agency staff in order to deliver services in high risk areas.

In summary the Budget Task and Finish Group believed that following their recommendations, the budget was lean, robust and deliverable and thanked officers and the Shadow Executive for their work. The Leader also thanked the committee for the work and subsequent recommendations and thanked all supporting officers.

RESOLVED:

All recommendations with the exception of 2, 4, 13, 19 and 22 were agreed in full. A complete breakdown of the recommendations with their responses can be found [here](#).

7 Final Budget 2020/ 2021

M Tett introduced the final budget report which had previously been discussed and amended to incorporate recommendations made by the budget task and finish scrutiny committee and changes in the governments finance settlement. M Tett highlighted the following key areas of change:

- An additional amount from the New Homes Bonus.
- Release of contingencies in some areas.
- Additional £1m for plane and patch works which would start once the weather improved.
- Increased funding for the Social Worker Academy to reduce workload on existing social work staff.
- £5m special priorities fund had been allocated to climate change in response to scrutiny recommendations.

The investment in Children's Services was welcomed by the Portfolio Holder and it was stated that this investment was on top of the money already invested by the county council over recent years.

RESOLVED:

1. To approve the revenue budget and capital programme (Appendices 1-3).
2. To approve the updated Schedule of Fees and Charges (Appendix 4).
3. To delegate any further required changes to the Schedule of Fees and Charges to the S151 Officer, in consultation with the Leader, during the period post final budget up to 31st March 2020.
4. To agree the delegation of decisions to add up to £100m to the Capital programme, to be funded by Prudential Borrowing, to the Cabinet (see section 9.10).
5. To agree the delegation of decisions to add projects relating to the current HIF bids to the capital programme to the Cabinet (see section 9.11).

To approve the 'Special Expenses' budgets and precept for Aylesbury Town, High Wycombe Town and West Wycombe Church Yard (Appendix 5 & 6).

8 **Corporate Plan**

M Tett introduced the report which asked the Shadow Executive to agree the final version of the Corporate Plan which had been discussed previously by the Shadow Executive and recommend to the Shadow Authority for a decision on 27 February. It was highlighted that the plan would guide the early days of Buckinghamshire Council and would be modified as appropriate by the new leadership.

RESOLVED:

To note the final draft of the Corporate Plan and agree to recommend this to the Shadow Authority for approval.

9 **Dedicated Schools Grant and Schools Funding 2020-21**

T Green introduced the report that asked the Shadow Executive to approve the proposed local schools funding formula, and agreement to other Dedicated Schools Grant (DSG) funded budgets as recommended by the Schools Forum. It was stated that it was a requirement from the Department for Education (DfE) for political ratification of the local schools funding formula prior to the allocation of budgets to individual schools. T Green highlighted the pressure within the High Needs Block, with a deficit that would be carried forward in to the new financial year with plans in place to reduce this.

It was highlighted that half of the council's gross expenditure was on the schools budget and this was an area of high priority for the council and residents. There were a number of financial challenges being faced and this was reflected nationally. There were increased numbers of pupils being supported by the high needs block budget and the additional funding of £7.5m within HNB for 2020/21 was a good investment.

RESOLVED:

1. To agree that the overall Dedicated Schools Budget should be set at the level of the allocated Dedicated Schools Grant (DSG) £472.25 million.
2. To agree the proposed local funding formula for schools recommended by Schools Forum on 21st January 2020 as follows:
 - a. Funding factors are 100% in line with National Funding Formula (NFF) values, including the national minimum per pupil funding level.
 - b. Minimum Funding Guarantee (MFG) set at +0.5%, with a cost of £186k for the funding protection in 5 schools, without the requirement for capping of gains in other schools.
 - c. No funding to be transferred to the High Needs Block
3. To note the Central Schools Services budget proposed for 2020-21 with further savings required in future years in line with DfE funding reductions.

4. To agree the High Needs budget proposed, including savings proposals, and agree that initial proposals for a recovery plan for the High Needs budget in future years be considered at the March meeting of Schools Forum

5. To agree the Early Years budget proposed

To agree the actions to reduce the deficit in the DSG reserve by £1.264m in 2020-21, with further proposals for recovery of earmarked reserves to be considered and agreed at future meetings of Schools Forum.

10 Pay Policy Statement

K Wood introduced the Pay Policy Statement report, which was a statutory requirement for the authority to produce, update and publish annually. The policy set out Buckinghamshire Council's policies relating to the pay of its corporate service workforce (excludes Schools employees) for the year 1 April 2020-31 March 2021. It was highlighted that it included those employees being TUPE'd over to the new authority.

RESOLVED:

1. Approve the Pay Policy Statement.
2. Approve the delegation of decisions on all employee remuneration and severance packages over £100,000 to the Pay Committee.

11 Final Draft Constitution

M Tett introduced the report which included the final draft constitution for the Shadow Executive to agree and recommend the constitution to the Shadow Authority for agreement.

S Ashmead, Monitoring Officer, also asked for the Executive to give delegated authority to her to make any final minor changes and additions that needed to be made prior to the final decision being made by the Shadow Authority on 27 February 2020. It was highlighted that it would be a live document which would be updated as required and it was suggested it would be reviewed in April 2021.

RESOLVED:

1. That the Shadow Executive approve the Scheme of Delegation (subject to any required amendments) in relation to delegations of executive functions.
2. That the Shadow Executive recommends the draft Constitution (subject to any recommended amendments) to the Shadow Authority for adoption as the Constitution of Buckinghamshire Council.
3. That delegated authority is given to the Monitoring Officer, in consultation with the Leader, to make any minor changes, including clarifications, and necessary textual revisions to the draft Constitution to ensure that the separate sections of the Constitution are consistent, work together as a whole and reflect any changes to legislation.
4. That the Shadow Executive recommends that Shadow Authority give delegated authority to the Monitoring Officer in consultation with the Leader as per 3 above in relation to the approved Constitution up to and including 31 March 2020.
5. That the operation of the Constitution is reviewed in April 2021.

12 Members Allowances

S Ashmead, Monitoring Officer, presented the report that set out the Scheme of Members Allowances for the new council following elections in May and also covered the interim period from 1 April 2020. The allowances had been set following recommendations from the

Independent Remuneration Panel (IRP) following their research and review. It was noted that the basic allowance would apply to all members from 11 May 2020 and the special responsibility allowances would change to reflect the roles within the new council as it became clearer what those would entail.

The report set out a number of recommendations from the IRP; those included in the report to agree and those not taken forward. S Ashmead made reference to the recommendation to include a 'clawback' of allowances if required, however the recommendation was not taken forward as advice had been given that it was not legal to enforce.

Members highlighted they were pleased to see the importance placed on the position of Chairman for the new Community Boards, but also mentioned the heavy workload on Members who currently served on the county council and a district council (twin hatters) in the interim period that was not reflected in the scheme.

F Wilson highlighted that the scheme did not encourage the cultural change that was needed due to its hierarchal structure.

In response to questions from Members, S Ashmead stated the following:

- Role profiles for Members were included in the report and would also be part of the member induction programme.
- The current Chairman and Vice Chairman could claim expenses in the interim period. This had reflected the model used in Dorset but an SRA for them could be added in prior to the scheme being agreed by the Shadow Authority. The Shadow Executive agreed that the decisions on the amount would be delegated to the Leader and Monitoring Officer to include.
- The scheme would be reviewed periodically.
- Legally all members were to be paid the same regardless of being a twin hatter.

RESOLVED:

That having regard to the recommendations of the Independent Remuneration Panel (IRP) the Shadow Executive agree to recommend to the Shadow Authority meeting on 27 February 2020 to adopt the Scheme of Members' Allowances for the Interim Period and for the period from 11 May 2020 to 31 March 2021 as attached as Appendix 2.

The decision was agreed by majority with F Wilson not in support of the recommendation.

13 VCS (Voluntary and Community Sector) Continuing Grants

Declarations of interest for the item had already been declared under item 3.

I Darby introduced the report that detailed the commitments for 2020/21 and 2021/22 that had been made by the four district councils in the form of grants to voluntary and community sector organisations (VCSOs). I Darby highlighted the importance of maintaining key relationships with partners and in particular the VCSO sector who gave a wealth of knowledge and support freely. There had been a recent Chairman's event which celebrated just some of those within the sector and it was clear that the areas they support stretched far and wide. It was stressed that a lot of the work they did would not be possible without an element of financial support from the council and these organisations needed financial security going forward.

Members of the Shadow Executive echoed comments made and paid tribute to those in the sector for the valuable support they provided. All members fully supported the recommendations in the report.

I Darby put on record her thanks to all paid and unpaid volunteers in the county and looked forward to working with them in the future.

RESOLVED:

1. To Note the importance of the VCSO sector as a core partner and, in consultation, continue to develop the VCSO / Not for Profit Sector Strategy for Buckinghamshire for consideration by the Cabinet in July 2020.
2. Recognise the VCSO's need for assurance specifically during the transition phase and support the continuation of the predecessor councils' multi-year funding arrangements at a revised cost of £1,392,709 in 2020/21 and of £1,168,758 in 2021/22 as per the spending protocol.
3. Conduct a review of Buckinghamshire Council's financial support for the VCSO to ensure a planned and sustainable approach; report to the Cabinet funding streams which would include grants to VCS in Autumn 2020 with proposed terms of reference for the review and a detailed plan which includes any proposed grant extensions where appropriate.

14 **Spending Protocol**

There were four items to be discussed under Spending Protocol, three of which had confidential appendices for the Executive to consider. Members were reminded that reference to detailed information contained in the confidential appendices was not to be discussed as part of the open meeting.

MT proposed that the meeting would move into private session for those items and would then provide a summary of the papers and recommendations in public once these private discussions had concluded.

a) Westthorpe Globe Park (Spending Protocol)

M Tett introduced the report that set out the background to the Westthorpe Junction Improvements/Access to Globe Park project and the reasons why it was recommended to approve the project and progress the preliminary design and ground investigation works.

I McGowan, Head of Highways Infrastructure Projects noted that the project was in the process of gaining greater cost and programme certainty and would report back to new authority with further cost information with a formal decision to be taken in the summer. It was hoped that construction work would start on site in the new year.

The Executive welcomed the report as it had been an ongoing issue for residents and commuters in the area. Following a request for clarification, I McGowan stated that the focus was on the works northbound but further improvements had not been ruled out with further design work needed.

RESOLVED:

1. **That the Shadow Executive approves the commission of the preliminary design phase of the project including ground investigation works (value £375,000 – using secured and released s106/CIL funding)**
2. **That the Shadow Executive notes the risks associated with the scheme.**

b) Use of S106 Accrued Funds for Affordable Housing in Wycombe (Spending Protocol)

A Macpherson left the meeting for item 14b as she had declared an interest in one housing providers.

Discussions took place in a private session in order for the Executive to consider confidential and commercially sensitive information.

RESOLVED:

1. That the Shadow Executive endorses the November 2019 decision of Wycombe District Council's Cabinet to award funding of £800,000 to Paradigm Housing Association on the terms set out in paragraph 7 of the report.

c) HQube/Bellfield/Ashwells (Spending Protocol)

Discussions took place in a private session in order for the Executive to consider confidential and commercially sensitive information.

RESOLVED:

To ratify WDC Cabinet's approval of three linked projects:

1. Construction of infrastructure for Ashwells and its subsequent disposal as serviced residential development sites
2. Disposal of Bellfield for affordable housing
3. Development of HQube small workspace

Including delegated authority to Officers to complete detailed terms of the contractual commitments involved.

d) Cressex Island (Spending Protocol)

Discussions took place in a private session in order for the Executive to consider confidential and commercially sensitive information.

RESOLVED:

To ratify WDC Cabinet's approval of:

1. Direct development of part of Cressex Island
2. Freehold disposal of the remainder of the site
3. Implementation of Crest Road signalisation works

Including delegated authority to officers to complete the detailed terms of the contractual commitments involved.

15 Waste collections arrangements for the South of the county

B Chapple introduced the public report which updated Members on the procurement project to deliver a new waste collection, recycling and street cleaning contract, covering the current Council areas of Chiltern, South Bucks and Wycombe and sought approval to the necessary financial commitment to enable the award of the contract.

The following points were highlighted:

- Existing contracts expired on 6 Sept 20 (Chiltern and WDC) and 30 Oct 20 (South Bucks).
- Procurement had been managed by district officers with external support and a lead officer representative from the Shadow Executive
- Contract duration would be 10 years with a possible 10 year extension.
- Greater rigour in contract around performance standards with operational software aligned with the councils systems.
- The branding of vehicles and clothing would promote the new council.

RESOLVED:

1. To note the background and progress on the waste, recycling and street cleansing contract procurement project.
2. To approve the financial commitment for a new waste collection, recycling and street cleansing contract for the Chiltern, South Bucks and Wycombe areas, having regard to the procurement and financial information contained within this report and the confidential Appendix, which is in line with the approved budget.
3. To note that the award of this contract is also being reported to Chiltern, South Bucks and Wycombe Council Cabinets for approval.

16 Exclusion of Press and Public

To resolve that under Section 100(A)(4) of the Local Government Act 1972 the public be excluded from the meeting for the following item(s) of business on the grounds that it involves the likely disclosure of exempt information as defined in Part I of Schedule 12A of the Act.

Paragraph 3 Information relating to the financial or business affairs of any particular person (including the authority holding that information).

17 Use of S106 Accrued Funds for Affordable Housing in Wycombe (Spending Protocol)

18 HQube/Bellfield/Ashwells (Spending Protocol)

19 Cressex Island (Spending Protocol)

20 Waste collections arrangements for the South of the county – Evaluation of tenders

21 Date of next meeting

10 March 2020.

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**Shadow Authority
For delivering the Buckinghamshire Council**

**THE LOCAL AUTHORITIES (EXECUTIVE ARRANGEMENTS) (MEETINGS AND ACCESS TO INFORMATION) (ENGLAND)
REGULATIONS 2012**

**SHADOW EXECUTIVE
28 Day Notice**

This is a notice of an intention to make a key decision on behalf of the Shadow Authority for the Buckinghamshire Council (Regulation 9) and an intention to meet in private to consider those items marked as 'private reports' (Regulation 5).

A further notice (the 'agenda') will be published no less than 5 working-days before the date of the Shadow Executive meeting and will be available via the [Shadow Authority website](#)

Y = key decision *All reports will be open unless specified otherwise

Report title & summary	Key	Decision maker	*Private report (Y/N) and reason private	Lead Member / Officer(s) & Contact Officer(s)
TUESDAY 10 MARCH 2020				
Modern Day Slavery Statement To consider a report on the modern day slavery statement	Y	Shadow Executive		Lead Member / Officer(s): Councillor Isobel Darby Gill Quinton Contact Officer(s): Katie Galvin

Emergency Plan To consider the emergency plan	Y	Shadow Executive		Lead Member / Officer(s): Councillor Martin Tett Ben Coakley Contact Officer(s): Ben Coakley
Carers Strategy To consider a report on the carer's strategy	Y	Shadow Executive		Lead Member / Officer(s): Councillor Angela Macpherson Jane Bowie Contact Officer(s): Elaina Quesada
Managing the Care Market: Proposal for Fee Increases To consider a report on a proposal for fee increases	Y	Shadow Executive	Part exempt (para 3)	Lead Member / Officer(s): Councillor Angela Macpherson Gill Quinton Contact Officer(s): Matilda Moss
Registered Providers Charging Arrangements To consider a report on registered providers charging arrangements	Y	Shadow Executive	Part exempt (para 3)	Lead Member / Officer(s): Councillor Isobel Darby Michael Veryard Contact Officer(s): Michael Veryard

MK Strategy 2050 To consider a report on the MK Strategy 2050	Y	Shadow Executive		Lead Member / Officer(s): Councillor Nick Naylor Ian Thompson Contact Officer(s): Sally Ovens
Street Naming & Numbering Policy To consider a report on the street naming and numbering policy	Y	Shadow Executive		Lead Member / Officer(s): Councillor Katrina Wood Neil Gibson Contact Officer(s): Jaqueline Williams
Abbey Barn Lane Realignment (ABLR) Decision to Award NEC 4 Early Contractor Involvement (ECI) Contract	Y	Shadow Executive	Part exempt (para 3)	Lead Member / Officer(s): Councillor Mark Shaw Rob Smith Contact Officer(s): Robin Smith
Spending Protocol Items referred to the s151 officer from the five existing councils under the Spending Protocol and referred to the Shadow Executive in accordance with the protocol.	Y	Shadow Executive	Part exempt (para 3)	Lead Member / Officer(s): Richard Ambrose Contact Officer(s): Richard Ambrose
Programme Update Highlight report from the Programme Management Office covering the Programme update, Budget and Risk.	N	Shadow Executive		Lead Member / Officer(s): Councillor Martin Tett Rachael Shimmin Contact Officer(s): Roger Goodes

TUESDAY 31 MARCH 2020

Financial Strategy To consider the financial strategy	Y	Shadow Executive		Lead Member / Officer(s): Councillor Katrina Wood Richard Ambrose Contact Officer(s): Richard Ambrose
Finance Policies To consider a report on finance policies	Y	Shadow Executive		Lead Member / Officer(s): Councillor Katrina Wood Richard Ambrose Contact Officer(s): Elspeth O'Neill
Risk Strategy To consider a report on the risk strategy	Y	Shadow Executive		Lead Member / Officer(s): Councillor Katrina Wood Maggie Gibb Contact Officer(s): Maggie Gibb
Regulatory Services Enforcement Policy To consider a report on the regulatory services enforcement policy	Y	Shadow Executive		Lead Member / Officer(s): Councillor Isobel Darby Nigel Dicker Contact Officer(s): Nigel Dicker

Regulation of Investigatory Powers Act 2000 (RIPA) – Policy and Procedural Guidance A report seeking approval for Buckinghamshire Council's policy and procedural guidance on the Regulation of Investigatory Powers Act 2000 to ensure compliance with legal requirements when carrying out any covert surveillance	Y	Shadow Executive		Lead Member / Officer(s): Councillor Martin Tett Joanna Swift Contact Officer(s): Joanna Swift
Overarching Health & Safety Policy To consider the Health and Safety policy	Y	Shadow Executive		Lead Member / Officer(s): Councillor Katrina Wood John Reed Contact Officer(s): John Reed
Equalities Approach and Policy To consider a report on equalities approach and policy	Y	Shadow Executive		Lead Member / Officer(s): Councillor Martin Tett Catherine Whitehead Contact Officer(s): Natalie Donhou-Morley
Buckinghamshire Permit Scheme Following public consultation, this report is to agree an amendment to the Buckinghamshire Permit Scheme in order that it will apply to all adopted roads throughout the Buckinghamshire highways network	Y	Shadow Executive		Lead Member / Officer(s): Councillor Mark Shaw Rob Smith Contact Officer(s): Syed Hussain

Planning Enforcement To consider a report for a single planning enforcement and monitoring policy for Buckinghamshire Council	Y	Shadow Executive		Lead Member / Officer(s): Councillor Nick Naylor Steve Bambrick Contact Officer(s): Darran Eggleton
Prevention and Befriending Grants To consider a report on Prevention Grants	Y	Shadow Executive	Part exempt (para 3)	Lead Member / Officer(s): Councillor Angela Macpherson Jane Bowie Contact Officer(s): Marie-Claire Mickiewicz
Spending Protocol Items referred to the s151 officer from the five existing councils under the Spending Protocol and referred to the Shadow Executive in accordance with the protocol.	Y	Shadow Executive	Part exempt (para 3)	Lead Member / Officer(s): Richard Ambrose Contact Officer(s): Richard Ambrose
TUESDAY 21 APRIL 2020				
Internal Audit Plan To consider a report on the internal audit plan	Y	Shadow Executive		Lead Member / Officer(s): Councillor Katrina Wood Maggie Gibb Contact Officer(s): Maggie Gibb

Agreement of Terms of Reference for Bucks Growth Board To agree Terms of Reference for the Bucks Growth Board	Y	Shadow Executive		Lead Member / Officer(s): Councillor Martin Tett Lisa Michelson Contact Officer(s): Lisa Michelson
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The Shadow Authority Constitution defines a ‘key’ decision as any decision taken in relation to a function that is the responsibility of the Shadow Executive and which is likely to:-

- (a) to result in the relevant local authority incurring expenditure which is, or the making of savings which are, significant having regard to the relevant local authority’s budget for the service or function to which the decision relates; or
- (b) to be significant in terms of its effects on communities living or working in an area comprising two or more wards or electoral divisions in the area of the relevant local authority.”

In determining the meaning of “significant” for these purposes the Shadow Authority will have regard to any guidance for the time being issued by the Secretary of State in accordance with section 9Q of the Local Government Act 2000 Act and the value of any decision under consideration (e.g. £1 million or above could be regarded as significant but this has to be considered in the context of the particular decision).

As a matter of good practice, this notice may also include other items, in addition to key decisions, that are to be considered by the Shadow Executive.

Each item considered will have a report; appendices will be included (as appropriate). Regulation 9(1g) allows that other documents relevant to the item may be submitted to the decision-maker. Subject to prohibition or restriction on their disclosure, this information will be published on the website usually 5 working-days before the date of the meeting. Paper copies may be requested using the contact details below.

*The public can be excluded for an item of business on the grounds that it involves the likely disclosure of exempt information as defined in Part I of Schedule 12A of the Local Government Act 1972. The relevant paragraph numbers and descriptions are as follows:

Paragraph 1	Information relating to any individual
Paragraph 2	Information which is likely to reveal the identity of an individual
Paragraph 3	Information relating to the financial or business affairs of any particular person (including the authority holding that information)
Paragraph 4	Information relating to any consultations or negotiations, or contemplated consultations or negotiations, in connection with any labour relations matter arising between the authority or a Minister of the Crown and employees of, or office holders under, the authority
Paragraph 5	Information in respect of which a claim to legal professional privilege could be maintained in legal proceedings
Paragraph 6	Information which reveals that the authority proposes: (a) to give under any enactment a notice under or by virtue of which requirements are imposed on a person; or (b) to make an order or direction under any enactment
Paragraph 7	Information relating to any action taken or to be taken in connection with the prevention, investigation or prosecution of crime

Part II of Schedule 12A of the Local Government Act 1972 requires that information falling into paragraphs 1 - 7 above is exempt information if and so long, as in all the circumstances of the case, the public interest in maintaining the exemption outweighs the public interest in disclosing the information. Nothing in the Regulations authorises or requires a local authority to disclose to the public or make available for public inspection any document or part of a document if, in the opinion of the proper officer, that document or part of a document contains or may contain confidential information. Should you wish to make any representations in relation to any of the items being considered in private, you can do so – in writing – using the contact details below.

Democratic Services, Programme Management Office, Buckinghamshire County Council, Walton Street, Aylesbury, HP20 1UA
| 01296 382343 | demservices-shadow@buckscc.gov.uk

Report for:	Shadow Executive
Meeting Date:	10 March 2020

Title of Report:	CHARGING ARRANGEMENTS FOR REGISTERED PROVIDERS
Shadow Portfolio Holder	Isobel Darby
Responsible Officer	Michael Veryard
Report Author Officer Contact:	Michael Veryard – 01494 732200 (Michael.Veryard@chilternandsouthbucks.gov.uk)
Recommendations:	<p>1. Draft and implement a timetable for the development and introduction of a harmonised countywide system for charging Registered Providers to advertise tenancies via the Bucks Home Choice scheme with a target completion date of 30 September 2020.</p> <p>2. Continue the existing district-zoned Bucks Home Choice charging arrangements in Aylesbury Vale and Wycombe post-vesting day until new countywide harmonised charging arrangements are introduced</p> <p>3. Continue the existing Aylesbury Vale Affordable Housing Partnership Agreement from vesting day on the basis that the new Buckinghamshire Council will review working arrangements with Registered Providers and may develop and implement a new countywide Affordable Housing Partnership Agreement as required.</p>
Corporate Implications:	Financial implications are contained within the report and align with the Medium Term Financial Plan.
Options: (If any)	Options are covered in the report
Reason:	Not applicable

1. Purpose of Report

- 1.1 Following on from the previous report on the Bucks Home Choice scheme and the charging arrangements for Registered Providers (aka housing associations), this report now:
- summarises the status of the charging arrangements that currently operate within each district for (i) Bucks Home Choice adverts and (ii) development partnership arrangements, and
 - reviews the options for operating the charging arrangements from vesting day and recommends the approach that should be taken.

2. Executive Summary

- 2.1 Currently, there are varying arrangements between District Councils for charging Registered Providers in respect of either advertising tenancies (via Bucks Home Choice) or operating partnership arrangements for supporting new affordable housing development. Given the level of difference in arrangements across the District Councils, there is insufficient time available to develop and adopt new countywide harmonised arrangements for these charges ahead of vesting day.
- 2.2 Legal advice has confirmed that the existing charging arrangements can only be carried forward on vesting day to the new Council if they are part of a valid contractual agreement. It is recommended that the existing charging arrangements detailed in this report which are part of valid contractual agreements are carried forward to the new Council on vesting day. It is also recommended that we commence work to agree and implement a countywide harmonised arrangement for charging Registered Providers in connection with the cost to the Council of operating the Bucks Home Choice scheme. We will aim to have a new harmonised charging arrangement in place for Bucks Home Choice by 30th September 2020 (i.e. within 6 months of vesting day).

3. Content of Report

- 3.1 Legal advice has confirmed that any charging payable by Registered Providers must be harmonised across Bucks from 1 April 2020 when the statutory housing functions of the 4 district councils vest in the new Buckinghamshire Authority which becomes the local housing authority. The only exception to this will be where fees and charges are made as part of a valid contractual agreement that is carried over the new authority. Where valid contractual agreements exist, it is possible to continue operating different charges in different district-zones after vesting day.
- 3.2 Following the previous report to the Shadow Executive, the Housing Workstream has carried out a detailed review of the existing arrangements for charging Registered Providers in each of the District Councils. Different arrangements apply in different District Councils. Currently, there are two scenarios where Registered Providers are paying a fee or charge to the District Council. This is where the Council is either:
 - (i) charging Registered Providers for advertising tenancies for letting via Bucks Home Choice (in Aylesbury Vale and Wycombe) or
 - (ii) operating an Affordable Housing Partnership Agreement to promote new affordable housing provision with Registered Provider partners paying a membership fee (in Aylesbury Vale only).

These are not statutory charges. There are a total of four specific charging arrangements that fall into (i) or (ii) above. A summary of the existing arrangements is in **Appendix 1**.

- 3.3 Legal advice has confirmed that different charging arrangements in different districts can only continue beyond vesting day if they are being charged as part of an ongoing valid contract agreement. Otherwise, charges need to be harmonised

across the whole county from vesting day. **Appendix 1** includes details of the specific legal advice for each of the four existing charging arrangements. It has been confirmed that there is a valid contractual agreement in place in three of the four arrangements and a final legal opinion is pending on the fourth one.

- 3.4 The Workstream has considered whether the two charging streams in 3.2(i) and (ii) above could potentially be combined in a single harmonised charge to Registered Providers. The conclusion is that this would not be appropriate at the present time. The two charging streams relate to very different elements of the housing service which will also potentially sit in different services areas within the new Buckinghamshire Council structure. One charging stream is linked to the specific service delivery of weekly property adverts. The other is a much broader agreement relating to new affordable housing delivery and how this can be supported. There are over 30 Registered Providers with varying amounts of rental stock in Buckinghamshire and differing levels of development programmes (with some providers not developing any new homes at all). Overall, it would not be helpful or appropriate to try to combine these two different elements of the housing service into a single charging arrangement. As stated above, the two charging streams constitute very separate elements of the housing service and there is no clear benefit that would be derived from having a single charge that tries to cover both property adverts and development partnership arrangements. With specific regard to the development partnership, trying to create a single combined charge would also pre-empt any wider strategic decisions on how the new Council wants to manage affordable housing delivery (including partnerships with Registered Providers).
- 3.5 In view the above, the remainder of this report will look separately at the options and recommendations for the two existing charging streams.

Registered Provider Charging Arrangements – Bucks Home Choice

- 3.6 A reminder of the Bucks Home Choice scheme and how it operates is in **Appendix 2**. The review of existing arrangements (as summarised **Appendix 1**) has confirmed that there is currently no common approach across the District Councils to charging Registered Providers in relation to the costs of operating the Bucks Homes Choice scheme. Aylesbury Vale District Council is the only authority operating a universal scheme charging all Registered Providers for advertising their vacancies. Wycombe District Council charges an annual fee to Red Kite (in return for maintaining Red Kite's Transfer Register for their tenants and providing nominations to vacant Red Kite properties) but does not charge any other Registered Providers. Neither Chiltern District Council nor South Bucks District Council operate any charging arrangements.
- 3.7 The current diversity of Bucks Home Choice-related charging arrangements between districts means that any proposed countywide harmonised charging arrangements will require a full and formal six-week consultation exercise with Registered Providers and an equality impact assessment before they can be agreed and introduced. Any harmonised charging arrangements would also need to be underpinned by clear evidence of the actual costs of administering the Bucks Home Choice scheme (which the Buckinghamshire Council is seeking to recover via the charges). Although we can commence work on developing harmonised charging options and consulting Registered Providers, the issues highlighted above mean that it will not be possible to complete this exercise and introduce a new harmonised charging policy by vesting day.

- 3.8 Legal advice has confirmed that the existing Bucks Home Choice charging arrangements in Aylesbury Vale District Council (subject to final confirmation on the specific arrangements with VAHT – see paragraph 3.12) and the arrangements between Wycombe District Council and Red Kite all constitute valid contractual arrangements which could continue beyond vesting day under the Local Government (Structural Changes) (Transitional Arrangements) (No.2) Regulations 2008. The Bucks Home Choice Allocations Scheme will continue to operate on a district-zoned basis from vesting day so it will be possible to continue to operate different charging arrangements in different district zones pending the introduction of a countywide harmonised charging policy.
- 3.9 It is proposed that officers proceed with:
- agreeing a timetable for the development and introduction of a harmonised countywide charging system for Bucks Home Choice for Registered Providers (including the timescales for consulting providers and the anticipated implementation date for the harmonised system),
 - establishing the evidence base for the costs that the Buckinghamshire Council is seeking to recover from the charging system,
 - identifying options for harmonised charging and undertaking a formal consultation with Registered Providers and an equality impact assessment and
 - presenting a final recommendation to the Buckinghamshire Council on the preferred option and implementing the new harmonised charging system by a target date of 30th September 2020.

It is estimated that the broad timeline for implementing a new harmonised charging system for Bucks Home Choice would be as follows (some of the tasks listed will be undertaken concurrently):

Development and Implementation of Harmonised Charging System for Bucks Home Choice (Estimated Timetable)		
Task		Timescale
1	Clearly identify and quantify the cost to the Council of administering Bucks Home Choice adverts and agree level of cost that Council wants to recover by charging Registered Providers	2 weeks
2	Identify and review options for charging that will recover the costs identified in (1)	2 weeks
3	Consult Legal and Finance on cost recovery and proposed charging options	2 weeks
4	Agree proposals for consultation with Registered Provider partners	2 weeks
5	Consultation with Registered Providers on proposed charging arrangements	6 weeks
6	Review responses to consultation	2 weeks
7	Finalise Charging policy and undertake Equality Impact Assessment	2 weeks
8	Confirm Legal and Finance agreement to finalise charging policy and obtain necessary sign off and approval	4 weeks

9	Notify Registered Providers and adopt and commence charging policy	4 weeks
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- 3.10 As the exercise outlined in paragraph 3.9 above will run on beyond vesting day, a decision is required on how charging arrangements are operated in the interim period from 1st April 2020. The options are:

(a) Maintain existing district based charging arrangements until harmonised charging is implemented

In view of the legal advice that three out of four of the existing charging arrangements operated by Wycombe DC and Aylesbury Vale DC constitute valid contractual arrangements (see paragraph 3.8 above), these arrangements will be carried forward into the new authority post-vesting day. They would operate as currently in the Aylesbury Vale and Wycombe district-zones. This approach may be challenged by some Registered Providers who feel that it is inequitable in the new unitary authority to have varying charging arrangements (or no charging at all) in different parts of the county. This challenge can be mitigated by emphasising that this is an interim position pending the introduction of a harmonised county wide charging system and by providing a clear timetable for the introduction. However, our ability to proceed on this basis will depend on sensitive negotiation with Registered Providers to secure their agreement to this approach. It is worth noting that if Registered Providers withdraw from the existing charging arrangements from 1st April 2020, they will be unable to advertise their properties on the Bucks Home Choice system, which could be significantly disadvantageous to them.

(b) End the existing district based charging arrangements from vesting day and until harmonised charging is implemented

Alternatively, we could simply end all existing Bucks Home Choice charging arrangements from 1st April 2020 and have no charges until the new harmonised charging system comes into effect. This would be more straightforward and is likely to have the support of Registered Providers. It would avoid any challenges about operating inequitable interim arrangements that charge in some district-zones but not in others. However, it would also lead to an immediate drop in income from vesting day. Based on past years, the overall income from the charges made by Wycombe DC and Aylesbury Vale DC is approximately £70,000 per annum. The impact of this notional loss could be limited by getting a new harmonised arrangement in place as soon as possible after vesting day.

- 3.11 It is recommended that we follow Option (a) and open discussions with Registered Providers proposing that we maintain existing district-based charging arrangements post-vesting day until new countywide harmonised charging is introduced. If agreed, this will ensure that the new Buckinghamshire Council does not face an immediate drop in income from 1st April 2020.
- 3.12 The specific charge of £2,000 made by Aylesbury Vale District Council to VAHT in respect of the costs associated with Bucks Home Choice is part of a wider local agreement that is in place between the two parties. Under this agreement, VAHT directly administers and manages approximately one third of the Bucks Home Choice applications in the district. We can potentially carry forward the £2,000

charge beyond vesting day (subject to legal confirmation) as part of the work to develop a countywide Bucks Home Choice charging policy as discussed above.

- 3.13 The other elements of the local agreement between AVDC and VAHT will be subject to separate negotiations going forward. The aim of these negotiations will be to bring this arrangement to an end and transfer the administration of all Bucks Home Choice applications to the Buckinghamshire Council. This will ensure that all applications across the county are being administered by the new Council. These negotiations will be complex and will potentially include TUPE implications because VAHT employ some officers whose sole or main role is to administer Bucks Home Choice applications. These officers may need to transfer to the new Council if it takes over these duties. Consequently, negotiations will not be completed by vesting day. and the existing arrangements between AVDC and VAHT will transfer to the new authority from 1st April 2020.

Registered Provider Charging Arrangements – Affordable Housing Development

- 3.13 As shown in **Appendix 1**, Aylesbury Vale District Council is the only one of the four District Councils which operates an Affordable Housing Partnership Agreement with designated Registered Providers. Currently, nine providers are partners in this agreement paying an annual fee of £7,500 apiece. The Agreement commits AVDC to work pro-actively with the nine partners to maximise affordable housing delivery by providing relevant advice, information and promotion and by providing grant funding when appropriate. In turn, the Registered Provider partners commit to working pro-actively with AVDC to identify opportunities, discuss proposals, maximise public funding for local schemes operate standard nomination agreements and engage with tenants and key agencies. The Agreement does not exclude other Registered Providers from providing and developing new affordable housing in the district.
- 3.14 The current agreement runs from 1st April 2019 to 31st March 2020. The legal advice is that there is no legal reason why this agreement would have to be abandoned on vesting day. Therefore, it could be carried forward to the new Buckinghamshire Council from vesting day without needing to have a harmonised charging policy across the whole of the county. It could continue to apply to the Aylesbury Vale district-zone. If we do this, the risk of challenge is seen to be low and the risk of a successful challenge lower still.
- 3.15 The existing Aylesbury Vale Affordable Housing Partnership Agreement has had a positive impact on promoting new affordable housing provision in the district. It is important that this continues to be promoted at a time of significant growth within the district. Therefore, it is proposed that this Agreement should be continued beyond vesting day in the new Council where it will apply specifically to the Aylesbury Vale district zone. This will be subject to having a clear understanding and identification of which directorate and officers would have ownership and responsibility for the delivery of the new Council's commitments under the agreement from 1st April 2020 (e.g. Adults Health and Housing Directorate or Planning Growth and Sustainability Directorate?).
- 3.16 Continuing the Agreement beyond vesting day will protect the existing arrangements in Aylesbury Vale. At the same time, it will also allow the new Council to consider how it might want to operate a fully countywide Registered Provider Partnership Agreement in the longer term and, if so, how it should work and what fees would be charged. It can then proceed to implement a new

Partnership Agreement as required which would supersede the existing Aylesbury Vale-specific agreement.

- 3.17 Continuing the Agreement will also mean that there should be no budgetary impact as the fee income stream would continue. This was a total of £67,500 during 2019/20. This will be dependent of having the equivalent number of Registered Providers signing up to the Agreement for 2020/21. If the Agreement does not continue beyond vesting day, then this will result in a drop in income for the new Council (although this impact could be mitigated by the new Council seeking to review the question of a countywide Registered Provider agreement as soon as possible after vesting day and implementing any new fee paying arrangements within a reasonable timescale).
- 3.18 The key tasks in carrying forward the existing Aylesbury Vale Affordable Housing Partnership Agreement will be:
- Officers will review the commitments made by AVDC in the existing agreement and confirm how these can continue to be delivered in the Aylesbury Vale district zone post vesting day.
 - Officers will confirm the ownership of these commitments post vesting day and which services and/or officers will be responsible for ensuring that the new Council meets these commitments in the Aylesbury Vale district zone from 1/4/2020.
 - Subject to confirming that all existing commitments in the Agreement can be met going forward, officers will confirm the Registered Provider partners to be included in the agreement from 1/4/2020 and will put a new agreement in place for 2020/21 to apply to the Aylesbury Vale district zone.
 - Concurrently, we will need to establish where the management of Registered Provider development partnerships will sit in the new Council and which service directorate will be responsible. Once this is clarified, we will need to agree a process and timeline for determining how the new Council wants to manage its relationship with Registered Provider developers on a countywide basis.

Summary

3.19 To summarise the proposed way forward in this section:

- (i) The existing district-based valid contractual agreements for charging Registered Providers for Bucks Home Choice adverts will be carried forward to the new Council post vesting day
- (ii) We will undertake work to develop a new countywide Bucks Home Choice charging system that will replace the existing arrangements (in (i) above) by 30/9/2020 at the latest.
- (iii) The existing Affordable Housing Partnership Agreement in Aylesbury between AVDC and Registered Provider developers will be carried forward to the new Council post vesting day (subject to confirmation that it will still be possible to meet the Council's commitments in the Agreement post vesting day)
- (iv) We will identify which service directorate will manage Registered Provider development partnerships going forward and agree a process and timetable for how the new Council wants to manage these partnerships on a countywide basis.

4. Financial Implications

- 4.1 Currently, the charging arrangements covered by this report generate overall income of approximately £72,000 from charging RPs in regard to Bucks Home Choice (based on 2018/19 figures) and £67,500 from AVDC's preferred development partner agreement. The recommendation in this report to seek to continue these arrangements beyond vesting day will mean that these income streams are protected and there will not be a detrimental impact on the new Council's budget in the short term.
- 4.2 In the event that some partners choose to withdraw, then there will be a reduction in income compared to the current position in the District Councils. This loss can be mitigated by the new Council seeking to introduce new countywide harmonised charging arrangements within a reasonable timescale.

5. Legal Implications

- 5.1 Any fees and charges payable by Registered Providers should be harmonised across Bucks from vesting day of the new Buckinghamshire Authority. The only exception to this will be where fees and charges are made as part of a valid contractual agreement that is carried over the new authority. Where valid contractual agreements exist, it may be possible to continue operating different charges in different district-zones after vesting day. The proposals and recommendations in this report reflect this legal advice.

6. Other Key Risks

- 6.1 The key risks are covered in the report.

7. Dependencies

Not applicable

8. Consultation

Officers have held informal discussions with Registered Provider partners via existing forum meetings on the intention to review the current charging arrangements as we move to becoming a new authority and no significant issues were raised. Proposals for introducing harmonised countywide charging on Bucks Home Choice fees and Affordable Housing Partnership Agreements will be subject to formal consultation with Registered Providers at the appropriate time.

9. Communications Plan

Not applicable

10. Equalities Impact Assessment Summary

Proposals for harmonised charges will be subject to an Equalities Impact Assessment at the appropriate time

11. Data Privacy Implications

[This is not required as there is no proposed change to the nature, scope, context or purposes of our processing of personal data.](#)

12. Next Steps

To continue the current charging arrangements post vesting day and undertake the necessary preparation and development work to implement new arrangements during 2020/21.

Background Papers	Appendix 1 – Registered Provider Charging Arrangements – Bucks Home Choice Appendix 2 – Bucks Home Choice and Charging Registered Providers in Advertising Tenancies (an overview of the Bucks Home Choice scheme)
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Appendix 1**Registered Provider Charging Arrangements – Bucks Home Choice**

District Council	Summary	Charge/Fee	Valid Contractual Arrangement?
Aylesbury Vale DC	Charge to all Registered Providers to advertise tenancies on Bucks Home Choice website	£69 per advert (if AVDC places it on behalf of the RP) £55 per advert (if it is placed directly onto website by the RP) <i>(Total income 2018/19 = £18,740)</i> Charges reviewed annually	Yes - AVDC has Service Level Agreements with individual RPs. Agreement is valid until further notice from either party.
Aylesbury Vale DC	Annual charge to VAHT (Vale of Aylesbury Housing Trust) to contribute towards Bucks Home Choice scheme running costs	£2,000 per annum	Legal Advice Pending to confirm contractual arrangement
Wycombe DC	Annual charge to Red Kite for WDC to maintain Red Kite Transfer Register and to provide nominations to vacant Red Kite properties	£51,498 in 2018/19	Yes – This Service Agreement forms part of stock transfer agreement between WDC and Red Kite (Eleventh Schedule). Service Agreement is currently in “extended term” with no end date. Either WDC or Red Kite can end the Bucks Home Choice charging arrangements by giving 3 months’ notice.
Chiltern DC	Do not charge Registered Providers for advertising on Bucks Home Choice		
South Bucks DC	Do not charge Registered Providers for advertising on Bucks Home Choice		

Registered Provider Charging Arrangements – Affordable Housing Development

District Council	Summary	Charge/Fee	Valid Contractual Arrangement?
Aylesbury Vale DC	Affordable Housing Partnership Agreement with nine RPs to work together to maximise affordable housing delivery. Under terms of agreement, AVDC works pro-actively with RP partners to promote new schemes and provide funding support	£7,500 per RP partner (reviewed annually) <i>Total 2019/20 = £67,500</i>	Yes – Aylesbury Vale Affordable Housing Partnership Agreement currently in place for 2019-20. Agreement is a statement of intentions and not intended to be a legally binding document, but it would probably be binding if tested. No legal grounds that this arrangement has to be abandoned on vesting day. If we continue beyond vesting day, risk of a successful challenge is very low. Agreement would need to be renewed to continue beyond 31/3/2020.
Wycombe DC	Do not operate Partnership Agreement with Registered Providers		
Chiltern DC	Do not operate Partnership Agreement with Registered Providers		
South Bucks DC	Do not operate Partnership Agreement with Registered Providers		

Appendix 2 to Report (Bucks Home Choice and Charging Registered Providers for Advertising Tenancies)

Social Housing Allocations - Bucks Home Choice

This note provides a broad overview of the Bucks Home Choice scheme and the process of allocating social housing in Buckinghamshire.

1. Why do we have an Allocations Scheme?

- 1.1 Part 6 of the Housing Act 1996 places a statutory duty on all Local Housing Authorities to have an Allocations Scheme for allocating social housing tenancies (traditionally this is sometimes referred to as the Housing Waiting List or Housing Register policy). The Allocations Scheme will set down:
 - Who qualifies for a social housing tenancy
 - How they are prioritised for tenancies
 - How tenancies are allocated when they become available
- 1.2 The Local Housing Authority has some flexibility in deciding who qualifies for the scheme and how applicants should be prioritised. However, the Housing Act requires that the Allocations Scheme must give reasonable preference for rehousing to certain categories of household including:
 - Homeless households
 - People occupying insanitary or overcrowded housing or otherwise living in unsatisfactory housing conditions.
 - People who need to move on medical or welfare grounds (including grounds relating to disability).
 - People who need to move to a particular locality in the district of the authority, where failure to meet that need would cause hardship to themselves or others.

2. What is the Allocations Scheme in Bucks?

- 2.1 In Buckinghamshire, the Local Housing Authorities are currently the four District Councils – AVDC, CDC, SBDC and WDC. Since 2009, the District Councils have operated a common Allocations Scheme called **Bucks Home Choice**. Under the Bucks Home Choice scheme:
 - The District Councils all operate the same policy for determining who qualifies for social housing and how qualifying applicants are then assessed and prioritised.

- Each District Council maintains its own district Housing Register (aka waiting list) within the policy. An applicant needs to have a local connection to the district concerned in order to qualify for that district's waiting list (e.g. only applicants with a local connection to Chiltern district can apply for tenancies in Chiltern etc.). Typically, an applicant must have lived or worked in a district for at least 2 years in order to have a local connection there. The scheme does allow for some exceptions to this.
- The District Councils use a common IT system and database for managing applications and for advertising and allocating tenancies

3. What social housing tenancies are let via Bucks Home Choice?

- 3.1 All four Districts Councils have previously undertaken a LSVT (Large Scale Voluntary Transfer) of their housing stock to a housing association. Therefore, none of the District Councils directly own or manage any social housing tenancies.
- 3.2 All of the social housing tenancies which are let via Bucks Home Choice are owned and managed by Registered Providers (often referred to as Housing Associations). Registered Providers are independent bodies who are registered and regulated by Government to provide and manage affordable housing (also known as a Housing Association). The social housing tenancies that they let will typically have rents set at 60% to 80% of local market rent levels. Registered Providers own over 30,000 homes across Buckinghamshire.
- 3.3 During 2018/19, a total of 1,511 tenancies were let via Bucks Home Choice.

4. How does Bucks Home Choice Work? – Making an Application

- 4.1 Applicants to Bucks Home Choice can apply on-line at www.buckshomechoice.org.uk. Any persons who are unable to apply on-line can contact the District Council directly for assistance in applying.
- 4.2 Once an application is submitted, the District Council undertakes an assessment of the application to determine:
- Does the applicant qualify for the Bucks Home Choice scheme (i.e. Does the applicant meet the local connection criteria and other qualifying requirements for the scheme)?

- If the applicant does qualify, what level of priority should be awarded to the application?
- 4.3 A qualifying applicant will be placed in one of five Priority Band levels ranging from Band A (the highest) down to Band E. The Bucks Home Choice scheme sets down the categories and household circumstances that fall into each band. The Council will assess the applicant's circumstances against these categories and will place the applicant in the appropriate Band that reflects their level of housing need.
- 4.4 The categories and circumstances covered by the Priority Bands reflect the statutory "reasonable preference" categories summarised in paragraph 1.2 above. They also cover some other scenarios including households who are under-occupying and wish to downsize and care leavers or clients in supported housing scheme where move on protocols are in place.
- 4.5 During 2018/19, a total of 5,366 Bucks Home Choice applications were processed across Bucks.

5. How does Bucks Home Choice Work? – Allocating Social Housing Tenancies

- 5.1 Once an applicant has been accepted onto the Bucks Home Choice Scheme and been awarded a Priority Band, then the applicant can start to be considered for a social housing letting. The applicant will be set up with an on-line account on the Bucks Home Choice website.
- 5.2 Bucks Home Choice is a "choice based lettings" scheme. This means that applicants can see what vacancies are available and can choose what properties they wish to bid for.
 - 5.2.1. The available social housing tenancies are advertised in a weekly cycle. The advertised tenancies are available for applicants to view from Thursday.
 - 5.2.2 An applicant can view the tenancies and decide if there are any tenancies that she/he would be interested in bidding for. The applicant can make bids via her/his on-line account (although assisted bidding is available for applicants with support needs or difficulties accessing the on-line system).
 - 5.2.3 Bidding on all advertised tenancies closes on the following Monday.

- 5.2.4 After bidding closes, officers will review the bids and create a shortlist which lists the bids for each vacancy in priority order (e.g. a Priority B applicant will be placed higher on the shortlist than a Priority C applicant)
- 5.2.5 Once shortlisting is completed, the District Council will nominate the highest placed applicants to the Registered Provider for the vacancy concerned.
- 5.2.6 The Registered Provider will review the shortlist for the vacancy and undertake any further checks that it wishes to before making an offer of the tenancy to an applicant.
- 5.3 Each District Council is responsible for the process of advertising and nominating tenancies within their own district.
- 5.4 There will be some cases where the District Council may choose to directly offer a tenancy to a specific applicant (aka a direct let) instead of advertising the tenancy more generally. For example, this may arise if there is an urgent need to move someone or the applicant has specific needs that need to be addressed by a specialist property.

6. Bucks Home Choice Allocations Scheme – Going Forward

- 6.1 From 1st April 2020, the four District Councils will no longer exist and will be replaced by the new Buckinghamshire Council as the statutory Local Housing Authority. Therefore, the Buckinghamshire Council will be subject to a statutory duty to have an Allocations Scheme.
- 6.2 In accordance with the Transitional Arrangements Regulations, from Vesting Day on 1/4/2020 we will continue to operate the current Bucks Home Choice Scheme (including local connection criteria) based on the former District administrative areas (aka zones) until the new Buckinghamshire Council allocations policy is developed, agreed and adopted. The Transitional Arrangements Regulations require that the new Council's Allocations Scheme must be in place by 1/4/2022 which is two years on from vesting day. It is anticipated that the broad timetable for this will be as follows:

Development and Adoption on Buckinghamshire Council Allocations Scheme (Estimated Timetable)		
Task		Timescale
1	Initial Scheme Review by Officers including: <ul style="list-style-type: none">- Issues arising from current Scheme- Current Government Guidance on Allocations	4 weeks

	<ul style="list-style-type: none"> - Relevant Case law and Ombudsman decisions - Identifying key issues and options for consideration in developing Bucks Council scheme 	
2.1	Member Consultation on development on new scheme (including potential establishment of Member Working Group?)	8 weeks
2.2	Discussion with key internal and external stakeholders	8 weeks (running concurrently with Member consultation)
3	Preparation of draft Buckinghamshire Council Allocations Scheme for Public Consultation (in consultation with Legal Services)	6 weeks
4	Sign off by Members of draft scheme for Public Consultation	Council meeting
5	Public Consultation on draft scheme	12 weeks
6	Review of consultation responses	2 weeks
7	Preparation of Final draft (in consultation with Legal Service)	4 weeks
8	Report to Members for Adoption	Council meeting
9	Adoption and Implementation	16 weeks

6.3 The timescales set down in the above table are only intended as estimates and will potentially vary depending on a range of factors, including the level and complexity of changes that are made to the existing Allocations Scheme.

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Report for:	Formal Shadow Executive
Meeting Date:	10 March 2020

Title of Report:	MK Strategy for 2050 consultation
Shadow Portfolio Holder	Martin Tett
Responsible Officer	Ian Thompson
Report Author Officer Contact:	Sally Ovens, Claire Britton
Recommendations:	That the Shadow Executive submits a response to the Milton Keynes Strategy 2050 on behalf of Buckinghamshire Council as set out in Appendix 1.
Corporate Implications:	No direct financial implications.

1. Purpose of Report

This report provides a short summary of the MK Strategy for 2050, highlighting the key points of relevance for Buckinghamshire.

2. Content of Report

Background

- 2.1 In July 2016, the MK Futures 2050 Commission published its report 'Making a Great City Greater'. The report, unanimously supported by Milton Keynes Council, included a recommendation to prepare a Strategy for 2050 which would take a long term view of the future of the city.
- 2.2 MK Futures have now published their engagement draft of the Milton Keynes Strategy for 2050 and they are requesting feedback from residents and stakeholders. The consultation closing date is Friday 17th April 2020.
- 2.3 The recommended growth strategy set out in this document for 2050 has been prepared on a 'boundary blind' basis, as a sustainable pattern of growth, which in some cases includes recommendations for areas outside of Milton Keynes Council's control. However the document does state that through the plan-making process, it will be for the individual local planning authorities across the Metropolitan Milton Keynes area to consider the spatial framework and policy directions set out in this Strategy, and where appropriate adopt them into statutory planning policy.
- 2.4 There are a number of working papers and evidence base documents sat behind the Strategy 2050, which includes the David Lock Associates (DLA) Strategic Growth

Study. DLA were tasked with providing research and evidence-led solutions irrespective of administrative boundaries; to look at sustainable directions of the future growth of 'Metropolitan MK'.

- 2.5 Significant growth is proposed to the south west of MK and at Winslow and the strategy proposes a Mass Rapid Transit system at an overall cost of £1.1bn.

Proposed response

- 2.6 A clear position has been set by BCC and AVDC as part of a joint communications message which states that the strategy is not one they will be supporting.

- 2.7 It is recommended that the Shadow Executive endorses that position. A proposed response for the Shadow Executive setting out key issues and concerns is set out at Appendix 1. This includes the following points:

- Concerns regarding identified options for housing growth within Buckinghamshire's border.
- Issues with MK's approach to Duty to Cooperate including lack of engagement and cross border discussion with neighbouring authorities with regards to the evidence base outcomes and their influence on the draft strategy.
- It will be for the new Local Plan for Buckinghamshire to produce and draw on evidence to inform the patterns and nature of future housing and economic growth across the county, alongside the emerging role of the Buckinghamshire Growth Board.
- Clarification required on the status of the Strategy if adopted by MK Council
- Concerns regarding the cost and deliverability of the proposed Mass Rapid Transit network.
- Concerns related to outcomes of the Growth Options Assessment report

- 2.8 By providing a response to the MK Strategy for 2050, this will set out a clear position on behalf of the new Buckinghamshire Council in terms of the future strategy work of MK Council.

3. Financial Implications

- 3.1 No financial implications identified.

4. Legal Implications

- 4.1 All the functions of the county and district councils transfer and vest in Buckinghamshire Council from 1 April 2020 and therefore it will be the responsibility of the new authority to take a position on future growth proposals set out by MK Council and future engagement on the issues outlined above.

5. Other Key Risks

- 5.1 Whilst the engagement on the Strategy for 2050 will not form part of a statutory Regulation 18 consultation for the purposes of plan-making, it will inform the review of Plan:MK and the comments received will be used by MK Council's Development Plans

Team in beginning to draw up the new Local Plan for a full Regulation 18 consultation at a later date.

6. Dependencies

- 6.1 Links with the work of the Planning, Growth and Sustainability Board.

7. Consultation

- 7.1 The MK Strategy for 2050 engagement period as mentioned in point 2 above, runs until 17th April 2020.

8. Communications Plan

- 8.1 AVDC and BCC have already publically set out their councils' positions as part of an agreed statement in January 2020. The Shadow Executive's response would also be published on the Buckinghamshire Council website.

9. Equalities Implications

Not applicable.

10. Data Implications

- 10.1 Not applicable.

11. Next Steps

- 11.1 Subject to agreement of the Shadow Executive, the response will be submitted to the Leader of MK Council, with copies to the relevant MPs.

Background Papers	None.
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Peter Marland
Leader of Milton Keynes Council
Milton Keynes Council
Civic Offices, 1 Saxon Gate East
Central Milton Keynes
MK9 3EJ
Email: MKFutures@milton-keynes.gov.uk

March 2020

Dear Mr Marland

MK Futures 2050 engagement on draft Milton Keynes Strategy for 2050

Buckinghamshire Council Shadow Executive welcomes the opportunity to respond to the engagement draft of the Milton Keynes Strategy for 2050. As a neighbouring authority to Milton Keynes (MK) from 1 April following the integration of the existing local councils of Aylesbury Vale District Council, Buckinghamshire County Council, Chiltern District Council, South Bucks District Council and Wycombe District Council, Buckinghamshire Council Shadow Executive would like to submit a position response to the Strategy 2050 document. The Shadow Executive of Buckinghamshire Council will represent the residents and businesses of Buckinghamshire and we will not be supporting the proposals set out in this strategy due to our concerns on the strategy content and the engagement process undertaken by MK Council.

Our key points and concerns outlined in detail in Appendix 1 include:

- Concerns regarding identified options for housing growth within Buckinghamshire's border
- Issues with MK's approach to Duty to Cooperate including lack of engagement and cross border discussion with neighbouring authorities with regards to the evidence base outcomes and their influence on the draft strategy.
- It will be for the new Local Plan for Buckinghamshire to produce and draw on evidence to inform the patterns and nature of future housing and economic growth across the county, alongside the emerging role of the Buckinghamshire Growth Board.
- Clarification required on the status of the Strategy if adopted by MK Council.

These concerns reflect those outlined in the joint Aylesbury Vale District Council and Buckinghamshire County Council response submitted on 20 March 2020. If Milton Keynes Council would like to discuss these matters further, please do not hesitate to contact us.

Yours sincerely

Buckinghamshire Council Shadow Executive

Cc: Buckinghamshire MPs

Rob Butler
Joy Morrissey
Greg Smith
Cheryl Gillan
Steve Baker

Milton Keynes MPs

Ben Everitt
Iain Stewart

DRAFT

Appendix 1 -Detailed response

Strategy development

It is noted that the Strategy has been prepared using evidence and data collected from a variety of sources, one of which is the MK2050 Milton Keynes Strategic Growth Study, prepared by David Lock Associates (August 2019). This is referred to as background evidence and we welcome the clear statement in the Strategy that the DLA Study does not represent the views, policy or approach of AVDC or BCC. It is also noted that the housing numbers and details of growth proposed by DLA have not been replicated into the MK Strategy 2050.

AVDC were involved in commissioning that evidence study at a time (early 2018) when the Council had committed to an early review of the Local Plan to reflect the context of new east-west connections and NIC growth ambitions and ahead of the decision being made for there to be single unitary council for Buckinghamshire from April 2020.

AVDC confirmed in September 2019 the withdrawal of their involvement from the Study but had not been actively involved since November 2018. Therefore, AVDC had no involvement in the recommendations or conclusions of the DLA Study and the Councils have confirmed in their response to the MK Strategy for 2050 that these proposals are not supported.

Buckinghamshire Council Shadow Executive also welcome the clear statement made on the status of the 2050 Strategy document confirming that it is not a formal planning policy document and therefore, has no weight in the planning process, and is not a material consideration in the determination of planning applications at this stage.

The Strategy has been prepared on a 'boundary blind' basis and includes recommendations for growth options outside of Milton Keynes Council's control. The document is right to state that this in no way commits these local planning authorities to bring forward growth in that way and this statement cannot be underplayed.

It will be for the new Local Plan for Buckinghamshire to produce and draw on evidence to inform the patterns and nature of long term future housing and economic growth across its local planning authority area.

Cross border engagement

It is noted that comments received on this Strategy engagement will be used to draw up a draft Local Plan for a full Regulation 18 consultation for the purposes of plan making. However we consider that MK Council should have already been undertaking positive cross boundary discussions with neighbouring authorities on the conclusions of their evidence base work, ahead of publication. MK Council should be working collaboratively and respectfully on any growth proposals and development sites which cross its border into its neighbouring authority areas. The Strategy's proposed encroachment of development over the borough boundary of MK should be for the future Local Plan for Buckinghamshire to decide, working in conjunction with residents and communities. Buckinghamshire Council will be undertaking discussions with neighbouring authorities as part of its own preparation of the new Local Plan as part of the duty to cooperate. It is also noted that MK intend to invite neighbouring local authorities to participate in new delivery arrangements to improve coordination and delivery of growth across boundaries. However, future working would

need to be truly collaborative and not based on growth proposals set down by MK but developed at the right time and in accordance with the level of growth aspirations of each individual area.

Strategy content

The Strategy 2050 uses the term 'metropolitan MK' to refer to the borough plus adjacent settlements. The Shadow Executive would like to object to the use of this term. Each of the settlements outside of the MK boundaries has its own character and identity and whilst some may relate more than others to the city of MK and its economy; settlements predominantly relate to and within rural Buckinghamshire particularly locations such as Winslow which is a settlement of a considerable size and which does not see itself as part of 'metropolitan Milton Keynes' This local distinctiveness needs to be properly recognised in any future planning scenarios and not termed simply as extensions to MK.

Any future strategy for MK and Buckinghamshire needs a collaborative and agreed understanding of the future demands and aspirations in terms of economic growth across our authorities. Buckinghamshire Council will be using its emerging Growth Board to deliver the economic growth aspirations within its own jurisdiction as a priority for ensuring we provide for the needs of our residents and businesses, and we consider that MK should do the same as part of its own role within the Central Growth Board.

In terms of the high level content of the Strategy, it sets out six Big Ambitions for growth to 2050 for the people living in MK and which are endorsed by these Councils as positive ambitions. The benefits of strategic long-term planning and taking an active and well-managed approach to growth are also recognised. Buckinghamshire Council also want to take a pro-active approach to planning for its own growth through its development of its own future Local Plan for Buckinghamshire and long term strategy; work on which will commence in partnership with local communities following the creation of the single unitary Buckinghamshire Council on 1st April 2020. It is for this reason that the Shadow Executive is very concerned at the decision of MKC to begin its engagement on the MK Strategy 2050 at this time. The content of the strategy appears to ignore the importance of Growth Board structures set out along the Arc and the role they have to play in setting out visions and ambitions for growth and future investment.

It is unclear to the Buckinghamshire Council Shadow Executive how the job growth calculations have been derived across the Metropolitan area of MK, and how these relate to the needs and aspirations within Buckinghamshire, and the sites identified for potential future growth within Bucks. This part of the strategy appears quite light touch in terms of the economy, raising further questions around proposed figures, aspirations, and the need for further meaningful discussion with neighbouring authorities across the Arc.

Neighbouring authority planning policy frameworks

AVDC already has its own ambitious plans for substantial housing growth allocating over 30,000 new homes to 2033 in the Vale of Aylesbury Local Plan (VALP). This has been carefully planned after detailed consultation and engagement with residents and other stakeholders. The VALP is at the final stages of the examination process and as part of its spatial strategy, allocates some land for development to the north east of the District adjacent to MK in the form of Shenley Park (1,150 new homes, 110 bed care home, new schools) and Salden Chase (1,855 new homes, employment area, neighbourhood centre and new schools (application submitted with a resolution to grant made in 2017).

The MK Strategy 2050 acknowledges that the recommended framework includes growth propositions within neighbouring council areas and that it will be for the relevant local authority to take these growth options forward, which maybe through a joint local plan across boundaries. It states that MKC would like to work closely with partners as they wish to embed new principles such as transit oriented development into proposals coming forward.

The two sites proposed by VALP are small elements of the development growth options contained in the recommended Spatial Strategy (p47 of MK Strategy) and yet MKC, in the case of Shenley Park, have objected to the proposed allocation in VALP and have recently refused an application for the access arrangements into Salden Chase development. The actions of MKC above directly contradict the approach advocated in the Strategy and it is unhelpful to the Council trying to plan for growth within its own boundaries to 2033.

The recommended MK Strategy has three strands to it looking within and beyond existing MK for growth opportunities. The Shadow Executive considers that MK growth aspirations could, and should first look to be accommodated within the existing MK borough boundaries. It is also noted that the Growth Options Assessment at the Annex provided as an evidence document, contains a high level assessment undertaken by MKC of 14 spatial options for potential directions of growth. BCC and AVDC were not party to any of this assessment and we are also uncomfortable with the conclusions set out in this report.

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Report for:	Shadow Executive
Meeting Date:	10th March 2020

Title of Report:	Modern Slavery Statement
Shadow Portfolio Holder	Isobel Darby
Responsible Officer	Rebecca Carley
Report Author Officer Contact:	Rebecca Carley rcarley@buckscc.gov.uk, 01296 383287 Kate Galvin Katie.Galvin@chilternandsouthbucks.gov.uk, 01494 732265
Recommendations:	<ol style="list-style-type: none"> 1. To agree the Modern Slavery Statement for Buckinghamshire Council 2. To agree the process for annual review and publication of the document 3. To note the likely legal duties in relation to modern slavery and exploitation
Corporate Implications:	No direct financial implications of this decision. Legal Services has been consulted and confirm agreement to the wording of the modern slavery statement.
Options: (If any)	The Council could choose not to have a Modern Slavery Statement. However, this is already considered good practice and there is likely to be a future requirement for statutory agencies to comply with the duty.
Reason:	The recommendations are to comply with best practice to publish a Modern Slavery Statement; and also to be prepared for the anticipated requirement to publish a statement being extended to local authorities.

1. Purpose of Report

- 1.1 To seek agreement of the Modern Slavery Statement for Buckinghamshire Council and the process for future annual review.

2. Background

- 2.1 The Modern Slavery Act became law in March 2015. All local authorities have a role to play in supporting the four key priority areas outlined in the Government's Modern Slavery Strategy;
 - Pursue - prosecuting and disrupting individuals and groups responsible for modern slavery
 - Prevent - preventing people from engaging in modern slavery crime

- Protect - strengthening safeguards against modern slavery by protecting vulnerable people from exploitation and increasing awareness and resilience against this crime
 - Prepare - reducing the harm caused by modern slavery through improved victim identification and enhanced support and protection.
- 2.2 Under the Modern Slavery Act (2015) local authorities, specified as First Responder organisations, have a Duty to Notify the Home Office if they identify a potential victim of Modern Slavery. First Responders must submit referrals into the National Referral Mechanism (NRM) or for any victims who do not wish to be referred into the NRM, First Responders must submit a Duty to Notify form (MS1) to the Home Office. If the victim does not consent to go through the NRM then further responsibilities may exist through other legislation that may impact local authorities e.g. the Care Act (2014) and the Housing Act (1996).
- 2.3 The Act also requires certain organisations to publish a statement on the steps they are taking to prevent modern slavery in their operations and supply chains. The requirement applies to commercial organisations and charities who meet the following criteria:
- it is a 'body corporate' or a partnership, wherever incorporated or formed
 - it carries on a business, or part of a business, in the UK
 - it supplies goods or services
 - it has an annual turnover of £36 million or more
- 2.4 At present there is no legal obligation for local authorities to publish an annual modern slavery statement. However, it is considered best practice and the Local Government Association encourages councils to do so, noting that they "can show leadership in promoting a human rights approach towards procurement." ([Tackling Modern Slavery: A Council Guide, LGA 2014](#)). In Buckinghamshire, statements have been published by Bucks County Council, Aylesbury Vale and Wycombe District Councils, Oxfordshire Health NHS Foundation Trust and by the Clinical Commissioning Group. In addition, the report of the [Independent Review of the Modern Slavery Act 2015](#) (published May 2019) recommended that the duty to publish an annual statement should be extended to local government, agencies and other public authorities if their annual budget exceeds £36 million. In response, the Government noted that it was minded to agree this recommendation, subject to further more detailed consultation.

3. **Proposed Modern Slavery Statement**

- 3.1 A draft modern slavery statement has been prepared for the Buckinghamshire Council which builds on the legacy of previous statements prepared by councils in Buckinghamshire. The statement is attached at Appendix 1 and has been consulted upon with safeguarding partners and work stream leads.
- 3.2 The proposed statement highlights the key areas of Procurement and Staff training;
- 3.3 Procurement - One of the central elements of the statement is our procurement of goods and services. The Government has produced [guidance](#) which advocates a "risk-based approach to tackling modern slavery in government supply chains and contains guidance that can be applied to any organisation in the public sector." Modern slavery is already specifically included within our terms and conditions for all new contracts, and within our procurement strategy. Our intention is to utilise this guidance to develop a risk based approach to our contracts. This would be based on factors such as industry type, complexity of supply chain, the nature of the workforce, context in which the supplier operates type of commodity and supplier location. Once mapped and identified we can

ensure those with a higher risk of modern slavery are effectively managed by contract managers through monitoring and regular audits. The guidance recommends that where modern slavery may be identified within existing contracts, commissioners work with the provider to stop the exploitation, rather than terminating the contract (which would move the problem and damage openness and honesty within the sector).

- 3.4 Staff training - Another key area of focus within the proposed Modern Slavery Statement is training and awareness of staff. In Buckinghamshire, a partnership training strategy has been developed that identifies the most appropriate training route for professionals and community representatives. The partnership has worked with the Willow Project to offer training for front line workers and their managers to myth bust and increase understanding of exploitation. To date, the Willow Project has delivered training to over 850 professionals countywide. This includes professionals from existing county and district councils and we are currently reviewing attendance to ensure key service areas who have not already received training are prioritised as we become a unitary authority. A training package has also been developed by Procurement for both contract management and procurement exercises that highlights the potential risk of modern slavery and signs to look out for. 70% of contract managers and commissioners have received this training to date. In addition, a variety of training is offered to increase understanding of exploitation, such as the Exploitation Hub Roadshows. These are aimed at social workers, partners and staff and provide a basic understanding of different forms of exploitation and signs to look out for.
- 3.5 Another 2 priority areas for partnership working are shared intelligence and support for victims:
- 3.6 Shared intelligence - In addition to training staff we are working to gather and share intelligence across Buckinghamshire. One such example is Hotel Watch; a national initiative which links local hotels with police and local authorities to tackle exploitation. Its intention is to reduce the risk of hotels being used for the purposes of exploitation, encourage information sharing and increase understanding by the hotel sector. Upon agreement to the scheme, local hotels are offered awareness raising materials, tools and advice and training opportunities to increase understanding of exploitation, know how to spot the signs and how to report concerns. Test purchasing operations are used to test whether hotels respond and take action- it can be used as a learning exercise to identify training gaps. The project currently runs across Buckinghamshire and although originally centred on child exploitation, is now being broadened to encompass other areas of exploitation such as county lines, modern slavery and human trafficking. It is also proposed to extend the scheme with the intention of delivering to other businesses that may come across exploitation such as late night eateries.
- 3.7 Support for victims – In addition to the specialist Missing & Exploitation Hub for children at risk of exploitation, Buckinghamshire is also privileged to have a dedicated support service for adult victims of exploitation. Commissioned by the Office of the Police and Crime Commissioner (PCC), the Thames Valley wide Willow Project launched in September 2018. The service provides prevention work, crisis intervention and ongoing support to victims and their families. The contract has recently been retendered by the Thames Valley OPCC and from April 2020 there will be an overarching Adult Exploitation Service incorporating Restorative Justice, ISVAs (Independent Sexual Violence Advisors) and the Willow Project under one new commissioned service.
- 3.8 There is a clear pathway for all Modern Slavery referrals into Adult Social Care with officers trained in the Safeguarding and Locality Teams. Information on referrals is

routinely reported to the Safeguarding Adults Board. There is also a clear pathway for all referrals into Children's Social Care with officers trained in the MASH and Locality Teams. Where it is considered that a child is at risk of exploitation, referrals are made to the specialist Missing & Exploitation Hub who are equipped to work with those Children.

4. Financial Implications

- 4.1 There are no financial implications. Training for staff is already incorporated into our business planning process.

5. Legal Implications

- 5.1 Legal Services has been consulted and confirm agreement to the wording of the modern slavery statement.

6. Other Key Risks

- 6.1 None identified

7. Dependencies

- 7.1 Key dependences are with the Procurement work stream in relation to evidencing compliance.

8. Consultation

- 8.1 Consultation has been undertaken with the unitary workstream lead officers for the following areas; housing, human resources, legal, procurement, licensing and environmental health.
- 8.2 In addition both the Buckinghamshire Safeguarding Adults Board and the Buckinghamshire Safeguarding Children Partnership have been consulted, along with Children's Social Care and Adults Social Care (Multi Agency Safeguarding Hub); and any comments taken into account.
- 8.3 As a result minor changes have been made to the statement to ensure it adequately reflects the risk of modern slavery to both children and adults, and to ensure it demonstrates the actions undertaken through the procurement process to address this issue.

9. Communications Plan

- 9.1 A communications plan is not required; however it is considered best practice that the Modern Slavery Statement will be published on the council's website.

10. Equalities Implications

- 10.1 It is viewed that an equality impact assessment is not required for the statement, and confirmation is currently awaited on this. However, should it be deemed that an assessment is required this will be completed by February 2020.

11. Data Implications

- 11.1 A Data Protection Impact Assessment is not required for the Modern Slavery Statement. Details of individuals referred through the NRM process and anonymised MS1 forms would be recorded by Social Care using their existing policies and procedures.

12. Next Steps

- 12.1 As considered previously by the Shadow Executive at an informal meeting, the next steps will be to:
- Formally agree the Modern Slavery statement and publish on the Buckinghamshire Council's website.
 - Forward plan the annual review and new statement approval by the Cabinet Member in February/March in subsequent years.

Background Papers	All background papers are included as hyperlinks within the document above
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Appendix 1

Buckinghamshire Council Modern Slavery Statement 2020/2021

Introduction

Modern slavery is the illegal exploitation of people for personal or commercial gain. In its wider sense it is commonly accepted to include sexual exploitation, forced or bonded labour, human trafficking, criminal exploitation, financial exploitation, domestic servitude, child slavery, anything involving offences under the Protection of Children Act 1978 or the Sexual Offences Act 2003 and forced or early marriage.

Buckinghamshire Council has responsibilities as an employer and procurer / commissioner of services and also has duties to notify the Secretary of State of any suspected victims of slavery or human trafficking (as introduced by section 52 of the Modern Slavery Act 2015) and to take action and work with other responder agencies (Civil Contingencies Act 2004).

Publishing this statement on a voluntary basis demonstrates our public commitment to play our collaborative part in reducing the horrendous crimes of modern slavery and human trafficking, including through effective partnership working (prevention, identification, awareness raising, information sharing & enforcement).

This statement sets out the steps we have already taken and are planning to take to help detect modern slavery in our own services, businesses and our supply chains. It covers all direct employees, agency workers and externally contracted workers (e.g. consultants).

Relevant Policies

The following policies and procedures are considered to be key in meeting the requirements of the Modern Slavery Act and helping the Council to ensure that it is taking reasonable action to address the risk of this crime occurring in Buckinghamshire.

- **Employee's code of conduct**

The council's employee code of conduct makes clear to employees the actions and behaviours expected of them when representing the council. We try to maintain the highest standards of employee conduct and ethical behaviour and alleged breaches are investigated by line managers. The council has a process in place for employees to make declaration of outside interests where appropriate including other paid employment.

- **Recruitment**

The council's recruitment processes are transparent and reviewed regularly. This includes robust procedures in place for the vetting of new employees and ensures they are able to confirm their identities and qualifications, and they are paid directly into an appropriate, personal bank account.

- **Agency workers**

Where the need arises to source resources from alternative agencies, the council will verify the practices of any new agency it is using before accepting workers from that agency.

- **Pay**
The council through its human resources policies ensures that all employees are paid fairly and equitably.
- **Business planning**
The Council's business plans will each include a section on safeguarding that specifically makes reference to human trafficking and the steps those services will take to manage that risk.
- **Training and Development**
The council has a programme of mandatory training that all employees and members must complete, including eLearning Safeguarding Awareness which references modern slavery.

As part of the Council's Community Safety Strategy there is introductory training on modern slavery and exploitation for front line professionals and also Single Point of Contact (SPOC) training as part of our first responder role and our local authority duty with the National Referral Mechanism (NRM). We have also completed the development of an e-learning package that will be rolled out in 2020.

Our Procurement team have developed a training package for both procurement exercises and for contract management which highlights the potential risk of modern slavery and signs that officers should look out for.

Our due diligence processes for slavery and human trafficking

- **Whistleblowing**
The council publishes its "whistle blowing" confidential reporting policy as part of its constitution. This encourages all its employees and others the council deals with who have serious concerns about any aspect of the council's work to come forward and voice their concerns, and lays out a process for doing so, which complies with the Public Interest Disclosure Act 1998 so that if necessary employees may make disclosures, without fear of reprisal or victimisation.
- **Safeguarding**
The council takes very seriously its responsibilities to safeguard the welfare of children and vulnerable adults and protect them from harm and develops, implements and monitors its policies and procedures accordingly.

There is a clear pathway for all Modern Slavery referrals into Adult Social Care with officers trained in the Safeguarding and Locality Teams. Information on referrals is routinely reported to the Safeguarding Adults Board.

There is a clear pathway for all referrals into Childrens Social Care with officers trained in the MASH and Locality Teams. There is a clear pathway for all referrals where it is considered that a child is at risk of exploitation and a specialist Missing & Exploitation Hub equipped to work with those Children.

- **Corporate complaints system**

The council operates a complaints procedure to deal with complaints about its services, and this can be used to report community concerns such as overcrowding or issues which might reveal slavery or trafficking and which merit investigation or reporting to a partner agency.

- **Suppliers and those who provide services on our behalf**

The Council's Contract Standing Orders provide clarity as to the requirements for commercial decisions in order to safeguard the council from potential claims that put into question the integrity of the council and its employees. The Council has Standard Contract Terms and Condition and these include an appropriate clause placing obligations on suppliers to comply with the Modern Slavery Act 2015. Where there is a risk assessment for the potential for modern slavery to occur, contract managers will seek reassurance that the supplier has policies, procedures and training in place to detect and deter such abuse. Training is in place to help officers understand the risk of modern slavery and what actions they should take, including undertaking surprise audits of a supplier's place of work.

- **Partnership Working**

The Missing and Exploitation Hub is a multi-agency team made up of partners from Children's Social Care, Thames Valley Police, Barnardo's, Health and Education as well as a Parent worker, currently provided by Buckinghamshire Safeguarding Children Partnership. The team support victims of all forms of exploitation and can work with and sign post those in need of support up to the age of 25.

The Council is a member of the Safer Buckinghamshire Board (SBB). This is the county's Community Safety Partnership as defined under Section 5 of the Crime and Disorder Act 1998 CSPs are defined as: "An alliance of organisations which generate strategies and policies, implement actions and interventions concerning crime and disorder within their partnership area". It reviews partnership progress in addressing issues of Modern Slavery in its widest sense and is signed up to a countywide Joint Protocol.

There is also a countywide Anti-Slavery and Exploitation Network (the Bucks A-SEN) which brings together over twenty separate organisations from the public, private and voluntary sector. The network meets regularly to share best practice, increase understanding and help deliver against the priorities identified by the Countywide Community Safety Partnership

- **Joint Protocol**

The Joint Protocol recognises that many agendas are shared and that all players have a role in safeguarding children and adults who are vulnerable to abuse, neglect and exploitation. The Joint Protocol has been formally signed off across the Health and Wellbeing Board (HWPB), Safer Buckinghamshire Board (SBB), Buckinghamshire Safeguarding Children Partnership (BSCP), Buckinghamshire Safeguarding Adults Board (BSAB).

It aims to ensure:

- There is clarity and agreement regarding the roles and responsibilities of different partnerships and boards in relation to safeguarding
- That governance arrangements are clear and work is well co-ordinated, preventing duplication of effort
- That we achieve more by working together
- That working together has a positive impact on people and communities

- That there is effective challenge and scrutiny of safeguarding arrangements across Buckinghamshire.

Approval

This statement has been approved by the Council's Shadow Executive and is supported by the Buckinghamshire Safeguarding Children Partnership and the Buckinghamshire Safeguarding Adults Board. It will be reviewed and updated annually. The statement, progress and new actions will be reported to the Cabinet Committee and, where appropriate other committees, annually for performance monitoring and assurance purposes.

Report for:	Shadow Executive
Meeting Date:	10th March 2020

Title of Report:	All Age Carers Strategy
Shadow Portfolio Holder	Angela Macpherson and Warren Whyte
Responsible Officer	Elaina Quesada – Service Director, Integrated Commissioning Email: c-quesada@buckscc.gov.uk
Report Author Officer Contact:	John Everson – Specialist Commissioning Manager, Integrated Commissioning Tel: 07899 838649; Email: jeverson@buckscc.gov.uk
Recommendations:	Members are asked to AGREE the All Age Carers Strategy
Corporate Implications:	<p>Services for Carers are jointly commissioned by the Council and the Clinical Commissioning Group. These joint arrangements will continue between the Unitary Authority and the Clinical Commissioning Group post vesting day, with contracts transferring to the new organisation.</p> <p>The All Age Carers Strategy presents a vision for supporting carers that applies across system partners, recognising that our collective response is delivered across a range of statutory and non- statutory organisations. This is not impacted by the move to a new Unitary Council.</p> <p>The document has been revised so that it is branding neutral pending the launch of Buckinghamshire Council on the 1/4/2020.</p>
Options: (If any)	Option to not publish a Carers Strategy – the reputational risk to the Council is felt to be high due to the expectation that has been set through the engagement undertaken to date.
Reason:	<p>The current Carers Strategy for adult carers and young adult carers (age 16+) expired in 2019. This strategy takes a holistic approach to how we provide support for carers of all ages. The strategy has been produced with the Clinical Commissioning Group to ensure there is a single approach across health and Local Authority services.</p> <p>The strategy reflects national legislation and guidance whilst also applying weight to issues that are key to the people of Buckinghamshire.</p>

1. Purpose of Report

- 1.1 To gain agreement the All Age Carers Strategy, which will:
- Create a single, all age approach to supporting Carers in Buckinghamshire
 - Highlight the demographic needs of Buckinghamshire through data analysis and consultation and engagement

2. Executive Summary

- 2.1 Carers are one of Buckinghamshire's most valuable assets. This new strategy draws on what Carers have told us about their experience to set a vision for how the Council, Clinical Commissioning Group and partners can support Carers in their role.
- 2.2 The new strategy replaces the previous Carers Strategy which expired in 2019 and focused on adult Carers. It takes an all age approach to supporting carers, across both health and the Local Authority.
- 2.3 The new strategy will run for a 3 year period. The action plan which sits alongside the strategy will be refreshed on an annual basis.

3. Content of Report

- 3.1 The previous Carers Strategy which covered adult Carers and young adult Carers, was published in 2016 following the introduction of the Care Act 2014. The Act increased the Local Authority's responsibilities to offer support to Carers to enable them to continue in their caring role. The strategy was composed by Adult Social Care and focused on the needs of adult carers. The action plans and priorities were focused on improving Carer's access to services.
- 3.2 Following the recent recommissioning of Carers Support services, awarded to Carers Bucks, the support being provided has evolved to further meet the needs of Carers in Buckinghamshire. The new model of delivery focuses of localised access, with Carers Bucks working closely with Adults and Children's services within health and social care. This all age approach, across both health and the Local Authority is reflected in the new strategy.
- 3.3 To inform the development of the strategy, the commissioning team engaged with carers in a number of forums to gather their views on what works for them, identifying the services that they contact for support and areas where they feel additional support may help. The commissioning team also engaged with a number of key stakeholders including VCS providers, public health and health colleagues to discuss their plans for supporting carers in the future.
- 3.4 The following priorities, which are set out in the strategy, were developed through this engagement as well as being informed by data from Public Health on the demographics of Buckinghamshire.
- Services and systems that work for Carers
 - Employment and Financial Wellbeing

- Supporting young Carers
 - Recognising and supporting Carers in the wider community
 - Building research and evidence to improve outcomes for Carers
- 3.5 The strategy supports the Adult Social Care Better Lives Strategy and is in line with the Children's Services approach to Early Help, promoting self-resilience and encouraging carers to take a preventative approach to taking care of their own health and wellbeing. The Carers Strategy is supported by transformation work being completed within the Council, most recently the redevelopment of the carer's assessment.
- 3.6 An action plan has been developed to support the delivery of the ambition set out in the strategy. This is currently being finalised through engagement with Carers to allow them to give their views on implementation.

4. Financial Implications

- 4.1 The key purpose of the strategy is to set out a clear vision for carers in Buckinghamshire and as such it does not have any separate resource implications or require any additional investment.

5. Legal Implications

- 5.1 There are no legal implications.

6. Other Key Risks

- 6.1 None identified.

7. Dependencies

- 7.1 Central Government is approaching the end of its carers' action plan implementation period. Following this there is an expectation that further updates to the Care Act may be published increasing further the rights for carers. The Carers Strategy is a working document and would be updated to reflect any future updates or significant policy changes.
- 7.2 The Carers Strategy has dependencies with the Adults with Learning Disabilities Strategy and the All Age Mental Health Strategy, as well as the Adult Social Care Better Lives Strategy. Commissioners will continue to work together to ensure these documents and supporting work plans are well aligned.

8. Consultation

- 8.1 The Carers Strategy has been produced through engagement with key stakeholders as detailed above.

9. Communications Plan

- 9.1 Once approved, the strategy will be published and available to the public on the Council website.

- 9.2 An easy read version of the strategy will be produced to ensure the information is accessible to the widest possible audience.

10. Equalities Implications

- 10.1 An equalities impact screening has been completed.

Data Implications

- 10.2 No data is being processed.

11. Next Steps

- 11.1 Once approved, the strategy will be published and available to the public on the Council website.
- 11.2 The implementation plan is currently being finalised through engagement with Carers. Once this work is complete, there will be regular monitoring of progress against the delivery plan as part of business as usual activity.

Background Papers	None.
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Buckinghamshire All Age Carers Strategy

2019 - 2022

Recognising, valuing and
supporting every carer
in Buckinghamshire



**Your community
Your care**
Developing Buckinghamshire together



Buckinghamshire
Clinical Commissioning Group

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Introduction

Carers are one of Buckinghamshire's most valuable assets. We understand this and value the key role carers play in the lives of the people they look after.

Working together, Buckinghamshire Council and Buckinghamshire Clinical Commissioning Group (made up of Buckinghamshire GP's and other healthcare teams who plan and design your NHS services) are committed to supporting carers in continuing to carry out this vital role. This strategy recognises that there is further work to be done to ensure that carers of all ages in Buckinghamshire have access to the information and help they need.

For the purposes of this strategy, a carer is anyone, including children and adults who looks after a family member, partner or friend who needs help because of their illness, frailty, disability, a mental health problem or an addiction and cannot cope without their carer's support. The care they give is unpaid. (This definition includes young carers and parent carers of children with disabilities or additional needs.)

Purpose

The Buckinghamshire All Age Carers Strategy outlines what we know about our carers, looks at what you have told us about your experiences of providing care in Bucks and we have developed an action plan about what we can do to support carers over the next 3 years.

We have developed five priorities focusing on:

- Services and systems that work for carers.
- Employment and financial wellbeing.
- Supporting young carers.
- Recognising and supporting carers in the wider community and society.
- Building research and evidence to improve outcomes for carers.

This strategy also recognises the opportunity to inform our communities about the needs of carers to help support the creation of a carer friendly community

Scope

Two of the key actions that we will focus on delivering over the life of this strategy are for Buckinghamshire to develop a carer friendly community and for carers to consider their own health as a priority.

Carer friendly communities help support carers to receive the right support to ensure their quality of life remains positive. Also whilst they are looking after their family or friends, that they are recognised as individuals with their own needs. An example of this is a GP practice offering appointment times that fit around someone's caring responsibilities, or an employer that supports flexible working hours or schools encouraging positive discussions about aging and disability.

The Live Well Stay Well service is designed to proactively support people in preventing ill health. It is essential for carers to consider their own health needs alongside those of the cared for person. These services offer preventative advice for carers to maintain their own health through reduction of obesity, smoking and alcohol consumption whilst increasing physical activities.

The vision on improvements to the service came from listening to individual feedback and experiences of carers, via the Carers Engagement Board. This strategy reflects the needs and priorities of carers of all ages and should not be considered in isolation: Delivering these priorities is the responsibility of the whole system.

The key priorities outlined in this strategy reflect the Carers Action Plan 2018 – 2020 published by Department of Health and Social Care:

How are we going to help you, the carer?

Do you look after someone in your family or support a friend?

Perhaps you help them get dressed in the morning, or take them out to the shops after school or when you get in from work.

Whatever you do, it makes you a vital part of the community.

You make sure that the person you care for is able to live as normal a life as possible in their own environment and feel safe.

There may be times when it feels a bit lonely and you aren't sure where to get help. You might feel overwhelmed and need to talk to other carers like you.

You have told us about the kinds of problems you have as a carer, and we have listened to what you have said at workshops and group sessions.

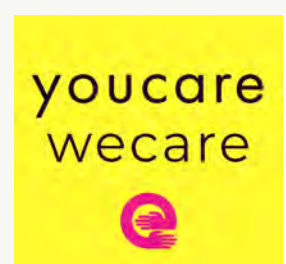
This All Age Carers Strategy is our plan to help you:

- plan for the future
- support you when times are tough
- advise you what help you can get
- listen to what kinds of things you need

We are putting these plans in place to give you as much information, support and advice as you need.

signed

Buckinghamshire Council and
Buckinghamshire Clinical Commissioning Group



A close-up photograph of an elderly person's face, showing wrinkles and a thoughtful expression. Their hands are clasped together near their chin. The image serves as a background for the text overlay.

A Buckinghamshire background

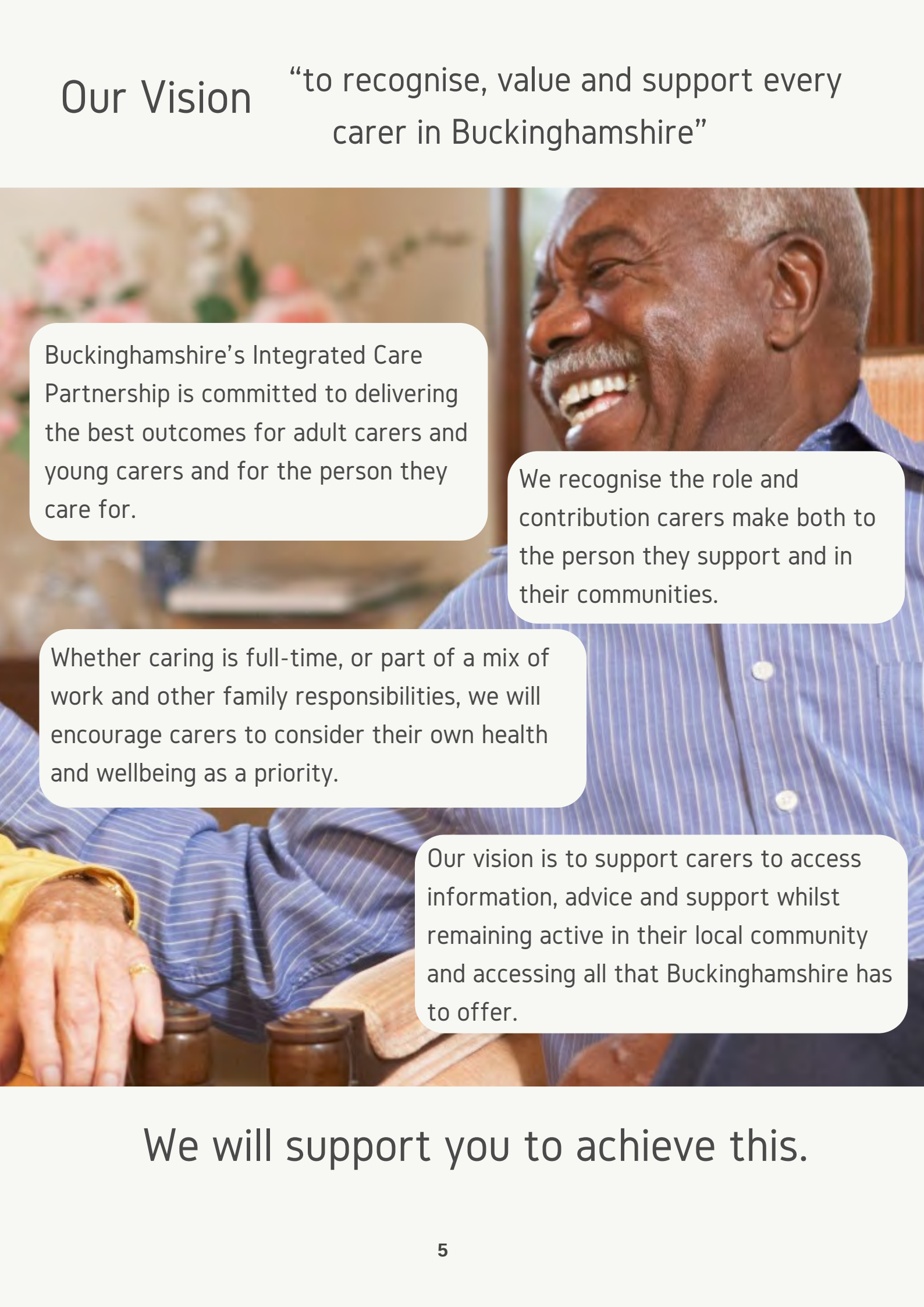
In 2019, Buckinghamshire County Council became an Integrated Care Partnership (ICP).

An ICP works towards delivering better, safer and more joined up health and care services to people in Buckinghamshire.

With more than 6.5 million carers nationally and over 49,500 in Buckinghamshire (2011 Census) it is important to provide suitable support in the right way. In response to this BCC and BCCG have created a new Carers Service to offer a variety of seamless support to all carers, from the young to the elderly.

This a joint contract between the Adults and Children's departments as well as Health. The Carers Support Service will compliment and reflect the wider health and wellbeing agenda – looking at what strengths carers already have and listening to them to ensure that they achieve the things that they want to.

Our Vision “to recognise, value and support every carer in Buckinghamshire”

A photograph of a smiling Black man with a grey mustache, wearing a blue and white striped shirt. In the foreground, a woman's hand with a gold ring is visible, resting on a wooden surface. The background is slightly blurred, showing a vase of pink flowers.

Buckinghamshire's Integrated Care Partnership is committed to delivering the best outcomes for adult carers and young carers and for the person they care for.

We recognise the role and contribution carers make both to the person they support and in their communities.

Whether caring is full-time, or part of a mix of work and other family responsibilities, we will encourage carers to consider their own health and wellbeing as a priority.

Our vision is to support carers to access information, advice and support whilst remaining active in their local community and accessing all that Buckinghamshire has to offer.

We will support you to achieve this.

Our pledge

- We will value and respect carers' voices:
Making Every Contact Count.
- We will encourage and support carers to plan for the future.
- We will provide the right care, at the right time, in the right place:
prioritising carers' health and wellbeing.
- We will train staff and services to identify and support carers.
- We will help carers access local resources, taking advantage of
partnership working.
- We will measure what matters to carers.
- We will focus on carer abilities, resources and skills to ensure
services support and empower people in the best way possible.



What we know about our carers

There are an estimated 14,014 unpaid carers over 65 in Buckinghamshire. This is projected to increase to 16,374 in 2025.

This increase of 14.5% in potential carers over 65 highlights the need to ensure that there is sufficient capacity to support those most in need.

14,014

unpaid carers over 65 years
old in Buckinghamshire in
2019

57.8%

care for someone with a
physical disability which is
the biggest group

There has been a 38% increase in the number of people providing 20+ hours of care per week - from 10,000 in 2001 to 14,000 in 2011.

More than half of carers in Buckinghamshire care for someone with a physical disability (57.8%). The next two most common conditions are long-standing illness (39.5%) and problems connected to ageing (36.7%).

The highest proportion of carers in Buckinghamshire is in the 50-64 range.

11,539

people are registered
with Carers Bucks (aged
17 years+)

67.2%

have been caring for
someone for more than 5
years

Three quarters of carers live with their cared-for person, and the majority of carers (67.2%) have been caring for more than five years.

Person Centred Carers Support

The Buckinghamshire All Age Carers Strategy recognises how issues affect carers differently as they begin their caring journey, live with ongoing caring responsibilities, and move on from the caring role.

Young Carers

My name is Chloe. I am 14 and live with my little brother and my mum who has depression. I help my brother get ready for school in the morning and often walk him to school. I care for my mum by going to appointments with her and reassuring her when she is having a bad day,



Young Adult Carers

My name is James and I'm 17. My sister has autism. I help my mum care for her as she can sometimes be difficult and I'm the best person to calm her down. I want to get a job and one day leave home, but am very worried that my mum and sister will struggle when I go.



Parent Carers

My Name is Sarah, I have three children. My daughter has learning disabilities. It can be hard to juggle work, parenting and my caring responsibilities.



Adult Carers

My name is Mary and I care for my husband who has Young Onset Dementia. I have a young family and balancing daily tasks can be very challenging. I do my best to keep my own health and wellbeing in good shape, but it's getting harder as my caring role increases.



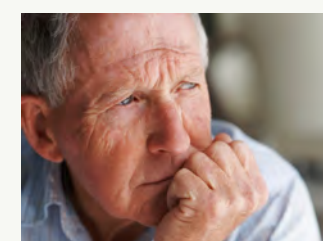
Working Carers

My name is Amina and I'm a finance manager. I care for my father who has Parkinson's Disease and Type 1 Diabetes. My HR manager says that she understands the pressure I'm under, yet when I have asked for the option to work from home two days a week this is flatly rejected.



Carers over 75

My name is Iain and I've been caring for my wife for many years. Most of the support groups I have attended have a very high proportion of female carers. When you are a carer you can become isolated so the occasional activity with other male carers is very refreshing and good for my morale.



Carers assessments

Carers often do not consider their own health needs and focus instead on the person they care for. We want carers to recognise their own health needs and where possible, to consider a preventative approach.

Public Health research states that carers are at a higher risk of misusing drugs and alcohol, being obese, developing mental health issues and smoking. It is key that carers consider their own health and wellbeing when completing a carers assessment and discuss how their general health could be improved with the assessor or their GP who will be able to signpost them to relevant agencies. It is also essential that carers complete a carers emergency plan during assessment to consider what would happen if they were unable to continue in their caring role.

What is a carers assessment?

The Care Act 2014 introduced important new rights for adult carers, giving them legal rights to an assessment of their needs, and support where eligible. The criteria used for determining who is eligible to access care and support is set out in the Care Act 2014.

The Children and Families Act 2014 extended the right to a needs assessment to all young carers, regardless of who they care for or the type of care they provide. When a child is identified as a young carer, the needs of everyone in the family will be assessed, triggering the involvement of both children's and adults support services.

Carers Bucks

Many carers may find it beneficial to engage with Carers Bucks before receiving a full assessment. All carers assessments are carried out by social workers and they work with the carer to develop a support plan. If eligible, some carers may be entitled to a personal budget to support them achieve outcomes identified in their assessment - the budget depends on the individual.

Types of Carers assessment

Young carers

A social worker will visit and assess if a young carer needs any help, if they, or their parent request this. This is done through a Young Carers Needs Assessment. Anyone can make a referral to a Buckinghamshire's Children's Social Care service. Referrals can come from the child themselves, professionals such as teachers, the police, GPs and health visitors as well as family members and members of the public.

Parent carers

A parent carer is someone over 18 who provides care to a disabled child for whom they have parental responsibility. This assessment can be combined with one for the disabled child and could be carried out by the same person, at the same time. Buckinghamshire Council must also be satisfied that the child and their family come within the scope of the Children Act, i.e. that the child is in need. Some families will have more than one child with a disability or a learning difficulty.

Young adult carer - transition to adulthood

When young carers and disabled children are approaching 18, a transition assessment will be undertaken. These assessments must be carried out by the local council where it considers that the young carer will require support into adulthood.

Adult carers

All adult carers may request an assessment from the local authority even if they do not live with the person that they care for. All carers are entitled to information, advice and guidance and will be signposted to Carers Bucks; Buckinghamshire's commissioned carers support service.

Our Priorities:

co-produced with you, the carer

1. Services and systems that work for carers

You said:

- You want clear policy, guidance and points of access to help you be the best carer possible.
- You want a “joined up approach between agencies and departments”.
- You want a Carers Passport - similar to the Learning Disability one.

We understand:

You aren't sure about what you're entitled to and where to go for information.

It can be confusing to know where to look and you can find yourself repeating the same thing over and over.

We believe you should have a single point of access with all information in one place.

We will:

- Provide a single ‘front door’ giving you useful information e.g. eligibility checker, assessment guidance, health and social care advice and more.
- Appreciate that carers speak with lots of different people in health and social care. We need to be aware of the diversity and individual circumstances, whilst remembering that information may have already been given.
- Adult Carers in Buckinghamshire are already offered an identity card from Carers Bucks. This is also being piloted with young carers.



2. Employment and financial wellbeing

You said:

- Working carers: you have difficulties balancing work with a caring role, as well as struggling to make ends meet. This often puts more pressure on you.
- Young carers: you want additional support within your school as your caring role isn't understood by teachers or other students.
- Young adult carers: you are concerned about future opportunities, especially when considering further education away from home and when applying for employment.

We understand:

You may need advice on how to manage your income including any benefits, and that you want value for money.

Young carers are at risk of becoming disadvantaged in future education and employment opportunities if employers do not consider or understand how to best support their caring role.

We will:

- Create strong carer friendly communities that support you, offering equal opportunities to access education and employment. We will focus on raising the profile of carers within the workplace and education, sharing ways they can support your needs.
- Share simple but effective action employers and education environments can make.
- Planning is a key priority: whether supporting your decision making about education or employment, or in emergency planning.

3. Supporting young carers

You said:

- You worry that moving from childhood to adulthood, the support you receive as a carer will be reduced - mainly around the structure and peer support you receive at school.
- You feel socially isolated and struggle to interact with others or feel part of the wider community.
- You would benefit from clear pathways identifying where you can independently access information and advice.

We understand:

Young Carers should be seen as children first and given the chance to develop and enjoy their childhood.

Once we have identified our young carers, we must make sure they are not undertaking inappropriate tasks in their caring that may impact their health or wellbeing.

We will:

- Work to improve communication and relationships between carers and multi-disciplinary teams. We will share information and involve you in decision making.
- Hospitals will look at discharge planning and, where appropriate, care-giving within the ward setting. All staff are expected to understand their role in identifying and supporting carers of all ages.
- Offer support to young carers in a range of locations so that they can access opportunities and have the same life chances as other young people. Advise school staff and provide them with links to other organisations who may be able to help.

4. Recognising and supporting carers in the wider community and society

You said:

- you want open, transparent and robust engagement with the Council and CCG. You need commissioned services to listen and understand your experiences accessing services and the gaps in provision.
- Young carers have said they struggle to be identified as a carer by professionals. If they are a sibling carer they often find that the focus can be placed on the person receiving care and parent carers.

We understand:

You want to be recognised as an equal part of care delivery and planning. Recognising the needs and abilities of carers should be considered when discharging people from hospital or when making decisions.

Carers are essential sources of information on the changing condition of the cared for and should be included in discussion regarding what levels of support are required. Additionally, young carers are often overlooked in medical environments.

We Will:

- Develop a broader understanding of the needs of carers to raise awareness of the role among the wider population with an aim to build carer friendly communities.
- Use improved research and evidence to improve outcomes for carers and what the most effective help looks like.
- Improve the identification of carers including those who do not self identify. Carers Bucks have identified 1,183 young carers who they current work with, offering support both within schools and the community.

5. Building research and evidence to improve outcomes for carers

You said:

- People do not understand your caring role and there is little focus on the needs of carers as individuals. You are happy in the role, however there are periods where you need additional support.
- Young carers experience feelings of being “expected” to remain in the caring role when they would like to attend university, gain employment, or have families and relationships of their own.

We understand:

You would benefit from support from others carers and breaks from your caring role. However, finding accessible activities that meet your needs, opening times and locations etc, can be difficult.

Young carers want support groups within their school. Also, attending clubs outside of school will help supports social interactions.

We will:

- Work with Carers Bucks to gather data and evidence about your needs as a carer.
- Shape our strategy around this data and use it to influence how local services are delivered. Health needs will also be mapped against location of carers to target programmes such as flu vaccines and Health Checks for carers.
- Analyse information about young carers needs to inform programmes of support within schools: targeting areas of improvement that have the greatest impact on health and wellbeing, as well as educational attainment.

Carers Strategy Achievements: 2016 – 2019



Internal training programmes included all elements of Care Act compliance: Carers needs considered alongside those of the service users.



The GP 'Investors In Care' included the requirement for GP practices to provide training around carers needs.



A revised training strategy was developed to raise awareness of Buckinghamshire multi-agency safeguarding adults procedures.



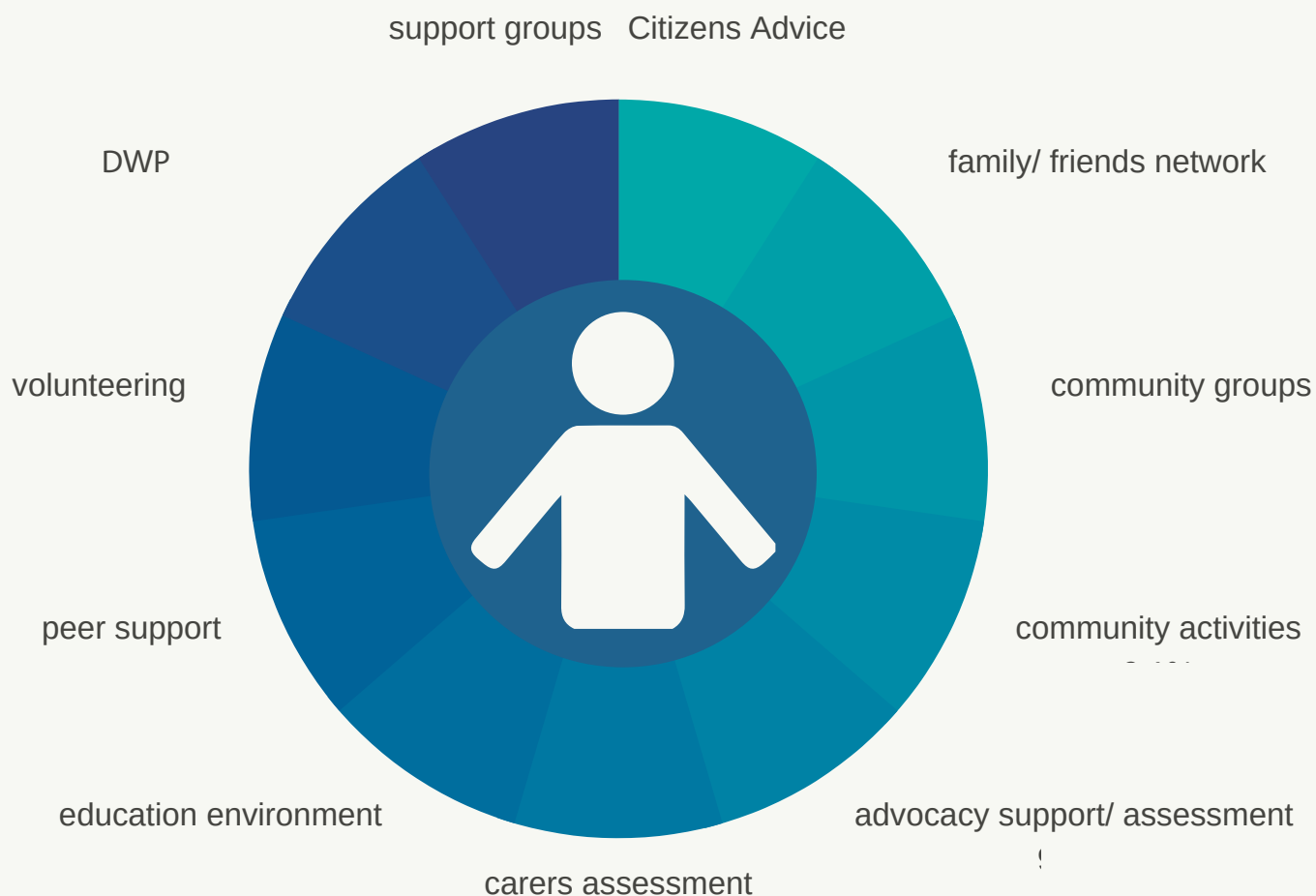
Any carer not eligible for assessment was referred to: Prevention Matters/ Carers Bucks/ GPs offer of health advice.



Buckinghamshire Council and Buckinghamshire Clinical Commissioning Group websites were updated to include a 'Support for carers' section, providing general information and contact details for local services and support organisations.

Support for carers

There are a number of statutory and community services that help to support carers, offering both practical and health and wellbeing advice.



Carers Bucks:

Ardenham Court, Oxford Road,
Aylesbury HP19 8HT
Tel: 03007772722
(calls charged at local rate)
Email: mail@carersbucks.org

Care Advice Bucks

www.careadvicebuckinghamshire.org

Advocacy:

Telephone: 0300 456 2370
Minicom: 0300 456 2364
Text: send the word 'pohwer' with
your name and number to 81025
Email: pohwer@pohwer.net

Adult Early Help

Tel: 01296 383204
Adultearlyhelpteam@buckscc.gov.uk

BucksFamilyInformationService

Website: ww.bucksfamilyinfo.org
Tel: 01296 383065
Email: familyinfo@buckscc.gov.uk

Bucks Online Directory

<https://www.buckscc.gov.uk/services/community/bucks-online-directory/>

Implementation of new strategy

Buckinghamshire Council and Clinical Commissioning Group's aspiration to become a carer friendly community over the next five years will be translated into an action plan based on the 5 key priorities outlined above. The action plan will operate within the system as a whole considering the needs of carers of all ages and supporting the health and wellbeing of all carers. The plan will look to reduce the impact of caring and enabling carers to lead fulfilled, independent lives alongside their caring role.

The implementation plan recognises also how issues may affect carers differentially from potentially excluded or "under-served" groups (e.g, Black and Minority Ethnic, Lesbian Gay Bisexual Transgender, Faith, other protected characteristics).

Whilst the implementation plan can be viewed in the appendices of this strategy it is a 'live' document which will be updated regularly and can be viewed on the carer pages of Buckinghamshire Council website.

Governance and monitoring

The overall for overseeing delivery of the strategy sits with the Integrated Commissioning Team in Adult Services and Health at Buckinghamshire Council and the Buckinghamshire Clinical Commissioning Group.

Buckinghamshire County Council and Bucks Clinical Commissioning Group are committed to ensuring that carers continue to be involved with the delivery and development of this strategy and will work with Healthwatch Bucks, Carers Bucks and the Carers Community Engagement Group to engage with a wide a range of all age carers, to ensure different experiences are captured.

Community partners across the wider Voluntary and Community Sector and independent sectors will also be engaged to contribute to the delivery and development of updates to the strategy through market engagement sessions and attendance at engagement boards.

The strategy will be reviewed annually and reported on regularly. Any updates or revisions will be made as necessary in accordance with any new legislation, policy, guidance or funding changes.

Appendix

In this section you can view national and local policy, legislation and plans that affects carers.

This gives us the basis for planning and actions, and works in tandem with your input. It includes your rights as a carer and what you can expect to be entitled to.

National Legislation

The Care Act 2014

The Care Act 2014 came into force in April 2015, with some elements coming into force in April 2016.

It put in place significant new rights for carers in England including:

- A focus on promoting wellbeing.
- A duty on local councils to prevent, reduce and delay need for support, including the needs of carers.
- A right to a carers assessment based on the appearance of need.
- A right for carers eligible needs to be met.
- A duty on local councils to provide information and advice to carers in relation to their caring role and their own needs.
- A duty on NHS bodies (NHS England, clinical commissioning groups, NHS trusts and NHS foundation trusts) to co-operate with local authorities in delivering the Care Act functions.

The Children Act 2004

This provides the legal basis for how social services and other agencies deal with issues relating to children. The Children Act 2004 was designed with guiding principles in mind for the care and support of children.

- To allow children to be healthy allowing children to remain safe in their environments.
- Helping children to enjoy life.
- Assist children in their quest to succeed.
- Help make a contribution – a positive contribution – to the lives of children.
- Help achieve economic stability for our children's futures.

Carers Action Plan

The plan sets out the cross-government programme of work to support carers over the next 2 years. The plan draws on responses to the 2016 Carers strategy: call for evidence.

NHS Commitment to Carers

Following a consultation process in 2014, the NHS identified emerging themes. NHS England has developed 37 commitments around the following eight priorities, which are within NHS England's gift to deliver and move forward. The eight priorities were determined to be:

1. Raising the profile of carers.
2. Education, training and information.
3. Service development.
4. Person-centred, well-coordinated care.
5. Primary care.
6. Commissioning support.
7. Partnership links.
8. NHS England as an employer.

Children and Families Act 2014

Through the changes proposed in the Children and Families Act:

All young carers under the age of 18 have a right to an assessment regardless of whom they care for, what type of care they provide or how often they provide it.

A young carer has the right to an assessment based on the appearance of need – which means that young carers will no longer have to request an assessment or be undertaking a 'regular and substantial' amount of care.

An assessment also can be requested.

Local Policy

JSNA

The Joint Strategic Needs Assessment (JSNA) is a process by which local authorities and Clinical Commissioning Groups assess the current and future health, care and wellbeing needs of the local community to inform local decision making.

The JSNA:

1. Characteristics of the health and wellbeing status of the local population
2. Identifies inequalities
3. Illustrates trends
4. Describes local community views
5. Highlights the key findings

Early Help

Early Help includes the way services work together to support families ensuring that needs are quickly identified at an earlier stage and the appropriate provision is made in order to deliver better outcomes. Our approach to Early Help in Buckinghamshire is family centred, consent-based and focused on working collaboratively with families to build their resilience. A critical ingredient to successful working is the need for families to make a commitment to change.

The Early Help Strategy is based on the Families First approach (the national Troubled Families agenda) which encourages and supports the concept of a lead family worker who can help the family work with all of the problems they face.

Better Lives

Our revised Better Lives Strategy, launched in 2018, sets out our commitment to delivering the best quality support for residents and families who have care or support needs, within the resources available. These are not just Council resources but the resources available to the individual through their own families, friends, networks and providers in our local communities. This includes voluntary and third sector service providers.

The Better Lives Strategy is underpinned by a number of principles which should influence day-to-day social work practice. Whilst all the principles are important, three principles have particular resonance with our approach to transformation of Direct Care and Support Services.

These are:

1. The Better Lives Strategy

This really challenges us to think more innovatively and actively seek to enable people to live fulfilled lives, and be as independent as possible.

2. Joint Health and Wellbeing Strategy

The 2016 – 2021 strategy aims to create the best conditions in Buckinghamshire for people to live healthy, happy and fulfilling lives and achieve their full potential. Our vision is to improve outcomes for the whole population as well as having a greater impact on improving the health and wellbeing of those people in Buckinghamshire who have poorer health and wellbeing.

The key priorities are:

1. Give every child the best start in life.
2. Keep people healthier for longer and reduce the impact of long term conditions.
3. Promote good mental health and wellbeing for everyone.
4. Protect residents from harm.
5. Support communities to enable people to achieve their potential and ensure Buckinghamshire is a great place to live.

3. Oxford Health's Family, Friends and Carers Strategy 2017-2020

In order to achieve the best possible outcomes for our patients, we must work together with their families, friends and carers. The Triangle of Care is a nationally recognised accreditation tool developed by the Carers Trust in collaboration with NHS staff and carers.

It outlines six key standards that are designed to make sure families, friends and carers are better informed and involved in the provision of care and are supported in their caring role.

1. Carers and their essential role are identified at first visit or as soon as possible afterwards.
2. Staff are Carer Aware and trained in carer engagement strategies.
3. Policy and practise protocols for confidentially sharing data are in place.
4. Defined post(s) responsible for carers are in place.
5. A carer introduction to the service and staff is available, with a relevant range of information across the acute care pathway.
6. A range of care support is available.

Buckinghamshire All Age Carers: Action Plan

2019 - 2022



**Your community
Your care**
Developing Buckinghamshire together

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NHS
Buckinghamshire
Clinical Commissioning Group

Action Plan

Based on what we have heard, we have grouped the proposed actions in line with our 5 identified priorities:

Priority	Action	Lead
Services and systems that work for carers	Review online information, advice and guidance available for carers. Ensuring there is a single point of access within the council and clear signposting to other agencies.	The Council's Integrated Commissioning Service. Carers Bucks.
	Promote the carer's identification card for all age carers. To be used in schools and local communities to identify them as a <u>carer</u> .	Carers Bucks. The Council's Communications Team.
	Develop a communications plan to promote wider understanding of carers and their role. Circulated to the public as well as primary and secondary care environments. Provide briefings on referral pathways for carers support service.	The Council's Integrated Commissioning Service. The Council's Adult Services and Health Operational Team. BHT Discharge Team. Carers Bucks. VCS providers.
	Work with hospital discharge teams to raise the profile of carers and ensure that: a) They are part of the hospital discharge process. b) Ensure that <u>carers</u> needs are considered when making a hospital discharge.	The Council's Integrated Commissioning Service. The Council's Adult Services and Health Operational Team. BHT Discharge Team. Carers Bucks.

	Complete audit of services to support carers and support development of links/ signposting to these organisations	The Council's Integrated Commissioning Service. The Council's Adult Services and Health Operational Team. Carers Bucks. VCS providers.
	Promote the completion of <u>carers</u> assessment and carers emergency plans. These plans can be shared with others to prevent an escalation when experiencing an emergency	The Council's Social Work Team. Oxford Health NHS Foundation Trust. Carers Bucks
Employment and financial wellbeing	Promote carers training awareness for managers	The Council's Integrated Commissioning Service. The Council's Adult Services and Health Operational Team. BHT Discharge Team. <u>Carers Bucks</u> .
	Develop a managers e-learning package to support carers in the workplace	The Council's Communications Team Carers Bucks.
	Work with young carers and their families to discuss next steps for carers leaving secondary school to consider their options	Carers Bucks.
	Promote carers awareness within Buckinghamshire universities	Carers Bucks.
	Carers Bucks and DWP to promote carers rights. Focussing on making sure carers are aware of their rights to financial support	The Council's Integrated Commissioning Service. Carers Bucks. DWP.
	Promote benefits of employing carers to employers in Buckinghamshire through media campaign and awareness raising activity	The Council's Communications Team.

Supporting young carers	Work with Carers Bucks to deliver carers awareness training in schools	Carers Bucks
	Promote carers support sessions widely within Bucks schools	Carers Bucks. Schools Team.
	Promote the Young Carers ID card	Carers Bucks. Schools Team.
	Raise awareness of young carers with colleagues in health and social care to identify and support young carers	The Council's Integrated Commissioning Service. Carers Bucks. Oxford Health NHS Foundation Trust.
	Work with Carers Bucks and VCS providers to offer access to activities and opportunities for socialising with peer groups	Carers Bucks. VCS providers.
Recognising and support carers in the wider community and society	Promote Carers Rights Day and Carers Week on The Council and partner websites	The Council's Integrated Commissioning Service. The Council's Communications Team.
	Work with community partners to raise local awareness of support services available to carers through carers events, social media and websites	The Council's Integrated Commissioning Service. Carers Bucks. Oxford Health NHS Foundation Trust. The Council's Communications Team.
	Increase carers awareness of preventative community services such as Live Well: Stay Well to support physical health and wellbeing	The Council's Integrated Commissioning Service. Carers Bucks. Oxford Health NHS Foundation Trust. The Council's Communications Team.

Building research and evidence to improve outcomes for carers	Review identified needs within carers support services and ensure that commissioned services are aware of these when developing services	The Council's Integrated Commissioning Service. Carers Bucks.
	Carers Bucks will represent carers and their views/ experience on health and wellbeing boards, transformation meetings and local planning groups	Carers Bucks.
	Views and experiences of carers will be built into the shape and planning of services	Integrated Commissioning.

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Report for:	Shadow Executive
Meeting Date:	10th March 2020

Title of Report:	Emergency Plan
Shadow Portfolio Holder	Councillor Katrina Wood
Responsible Officer	Ben Coakley
Report Author Officer Contact:	Ben Coakley ben.coakley@chilternandsouthbucks.gov.uk Andy Fyfe afyfe@buckscc.gov.uk
Recommendations:	That the Emergency Plan for Buckinghamshire Council is considered and agreed.
Corporate Implications:	This plan has been developed following the approval of the Civil Contingencies Policy by the Shadow Executive and is a key requirement of the Structural Changes Order. The plan sets out the command and control procedures for responding in the event of a major incident.

1. Purpose of Report

The Shadow Authority is required to prepare, approve and publish certain emergency and civil contingency plans before Vesting Day.

On the 8th October 2019, the Shadow Executive agreed the Civil Contingencies Policy which defined the overall approach and direction of travel for dealing with emergency planning and business continuity.

This report relates to the production of the Buckinghamshire Council Emergency Plan and defines the main responsibilities and roles for the response at the local level.

2. Content of Report

The Emergency Plan is a generic response plan required by Category 1 responders under the Civil Contingencies Act 2004. Category 1 responders are those organisations at the core of emergency response (e.g. emergency services, local authorities, NHS bodies)

It is also a requirement of the Structural Changes Order for Buckinghamshire to produce such a plan.

The aim of the emergency plan is to define 'the command, control, coordination and communication' arrangements of the Council in the event of an emergency response.

It has been written collaboratively with the emergency planning specialists from each of the existing local authorities.

The objectives of the plan are:

- To link the Emergency Plan with the emergency response arrangements of the former Councils in order to facilitate an effective response with the Council structure that exists on Vesting Day.
- To detail the response roles of key Council responders.
- To define the mechanism for activating the Emergency Plan and the response arrangements.
- To outline the command and control arrangements that will be adopted by the Council for an emergency response.
- To describe how the Council's emergency response and recovery processes will be activated.
- To provide a source of information and reference to those with key roles in the emergency response of the Council.

It has been written in such a way as to remain consistent with national guidance and the multi-agency plans of the Thames Valley Local Resilience Forum (TVLRF) and other organisations. Local Resilience Forums bring together Category 1 and 2 responders within a local police area for the purpose of cooperation in fulfilling their duties under the Civil Contingencies Act. There are also a number of Local Resilience sub-groups that cover specific subjects such as severe weather and flooding. These take relevant experts from across the agencies and ensure a combined and informed approach to each topic.

Therefore, the emergency plan does not stand alone but should be used in conjunction with such other relevant multi and single-agency plans and procedures during an incident.

The plan also contains a summary of the different levels of incident response with examples of the type of activities involved in each. These are: Operational ('Bronze'), Tactical ('Silver') and Strategic ('Gold'). These are also linked with the multi-agency co-ordinating groups that the Council may be required to attend as part of a larger response involving a number of category 1 responders.

The principal concerns of the local authority in the early stages of an emergency include support for the emergency services, support and care for the local and wider community and co-ordination of the response by organisations other than the emergency responders, e.g. the voluntary sector. As time goes on, and the emphasis switches to recovery and the return to the new normality, the local authority will take the lead role in coordinating the multi-agency management of impacts on local people, the economy, environment and infrastructure.

When a council responds to a major emergency, Members also have a central part to play in providing visible leadership and reassurance to local people, as well as supporting and enabling council officers who are involved in any response effort (Member Role card can be found in appendix 10).

Members will also have the opportunity to attend a training session on Emergency Management in June / July 2020 - Further details will be provided in due course. Follow up training opportunities will also be provided throughout the year.

Other key council staff who have volunteer roles and responsibilities such as rest centre managers and liaison officers to support this plan are already being trained and exercised. This has included the development of standardised training across each of the existing councils and also shared delivery allowing staff volunteers to mix and get to know each other.

Corporate and Service Directors will be receiving further information, detailed contact lists and the required training in March 2020.

Moving forward it will also be important for the new council to ensure a continuing supply of volunteers who, once trained, are happy to undertake a supporting role in the event of responding to a major emergency. This becomes even more important where the Council is required to respond to an extended event.

Stakeholders will be given access to the plan through ResilienceDirect (a secure government portal), in other cases it will be sent electronically to those in the distribution list.

In addition, when the civil contingencies policy was agreed by Members, it was suggested that Officers may wish to consider that the appropriate levels of emergency signage and high-visibility clothing were available to respond effectively. This has now been completed with appropriate equipment is now in place.

The Emergency Plan is a key document in ensuring the new council is ready to respond, by setting the appropriate levels of Command, Control and Co-ordination. As the Council develops, the plan will be further updated to reflect the organisational or operational changes.

3. Financial Implications

The plan itself contains no new financial implications or requirements.

The local authority has a responsibility to deal with emergencies. Depending on the scale and nature of the emergency, the government may make grants available in respect of some expenses

4. Legal Implications

Regulation 11 of the Local Government (Structural Changes) (Transitional Arrangements) (No.2) Regulations 2008 requires the new council to have in place the following 4 statutory plans in relation to emergency planning:

- Emergency and business continuity plans under Section 2(1) (c) and (d) of the Civil Contingencies Act 2004
- Off-site emergency plans under Regulation 10 of the Control of Major Accident Hazards Regulations 1999 [Replaced by 2015 Regulations] – Only if a relevant site within the Council's area.
- Off-site emergency plans under Regulation 9 of the Radiation (Emergency Preparedness and Public Information) Regulations 2001 - Only if a relevant site within the Council's area.

- The plan prepared under Regulation 25 of the Pipeline Safety Regulations 1996 (emergency plans in case of major accidents)

The principal legislation governing civil contingencies work is the CCA and associated statutory guidance. Under section 2 of the CCA Councils have a duty to assess, plan and advise on the risk of an emergency occurring, the effect on their functions, how to prevent, reduce and mitigate the effects of emergencies and to publish all or appropriate parts of those emergency and business continuity plans.

5. Other Key Risks

There are no identified key risks relating to adoption of this plan, however for the plan to be effective operationally, those undertaking voluntary roles that have transitioned to the new Buckinghamshire Council will continue to be required. It is therefore important that their significance in supporting an emergency response continues to be recognised.

6. Dependencies

There are no key dependencies associated with the recommendation or the adoption of this plan.

7. Consultation

The plan is predominantly an 'operational document' and will be used as the starting point for continued training of those staff involved in an emergency response. The Thames Valley Local Resilience Forum has also been made aware of the forthcoming changes to the structure of local government in Buckinghamshire and will be alerted to the key operational changes. These will also be communicated via ResilienceDirect.

8. Communications Plan

The plan will be communicated to both internal and external stakeholders. The level of detail and information provided will reflect the role and/or level of interest in the plan.

9. Equalities Implications

No specific equality implications for this plan.

10. Data Implications

There are no changes to the nature, scope, context or purposes of data used in connection with emergency planning.

11. Next Steps

If the Shadow Executive is minded to agree the emergency plan, the civil contingencies workstream will continue to develop associated operational plans and deliver the scheduled training sessions.

Background Papers	None
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Delivering the new
BUCKINGHAMSHIRE COUNCIL



Council Emergency Plan

Version 1, Jan 2020

Buckinghamshire Council

Author

Civil Contingencies Work-stream

Version Control

Version	Date	Approved By	Date
draft v0.1- 0.4	October 19	CC workstream	4 Nov 19
Final Draft v0.5	November 19	CC workstream	18 Nov 19
Post CIG draft v0.1	December 19	CC workstream	20 Dec 19
Post CIG draft v0.3	January 2020	Richard Barker	9 Jan 2020
Post CIG draft v0.4	January 2020	CC workstream	14 Jan 2020
Post ISE draft v1	February 2020	Ben Coakley	14 Jan 2020

Amendments

Date	Amendments
December 2019	CIG requested - Remove reference to Interim plan; introduce Service Directors as Tactical / Incident Manager ('Silver'); added action cards for duty directors
January 2019	CMT to CRMT; CRMT membership
February 2020	CRMT -state the Duty Director/ Gold will chair this group with the Chief Executive Officer in the membership
February 2020	Final check of structure and reduce use of acronyms. Addition of Elected Member Role Card

Plan Review & Maintenance

- The Council Emergency Plan will come into effect from 1 April 2020.
- It will be reviewed and amended by the Civil Contingencies Unit.

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Part 1 – Introduction

Introduction

This document is Buckinghamshire Council's Emergency Plan that will be in effect from 1 April 2020. It is a framework plan that sets out the internal command and control arrangements of the new Council in relation to the response to an emergency in the community in support of the multi-agency response.

It is the framework plan for all other emergency plans and also links to the Corporate Business Continuity Arrangements. It is consistent with National Guidance and the multi-agency plans of the Thames Valley Local Resilience Forum and other organisations. It outlines what is expected of Services and Units with regards to emergency response.

The general principles of response are provided in Appendix 2.

Rationale

The detailed rationale for the Emergency Plan is contained within the approved Civil Contingencies Policy.

In short, the primary legislation that provides the statutory duty for Buckinghamshire Council to have emergency and business continuity plans is the Civil Contingencies Act 2004. Buckinghamshire Council is defined within in this Act as a Category One Responder.

According to the Civil Contingencies Act 2004, Category 1 Responders shall:

- *maintain plans for the purpose of ensuring, so far as is reasonably practicable, that if an emergency occurs the person or body is able to continue to perform his or its functions*
- *maintain plans for the purpose of ensuring that if an emergency occurs or is likely to occur the person or body is able to perform his or its functions so far as necessary or desirable for the purpose of:*
 - *preventing the emergency,*
 - *reducing, controlling or mitigating its effects, or*
 - *taking other action in connection with it.*

This means in practice that there is a statutory duty for the Council to have an emergency plan to prevent and / or respond to emergencies in the community, and business continuity arrangements to maintain the delivery of its functions, whilst responding to the emergency.

Aim & Objectives of the Plan

The aim of the Emergency Plan is:

'To define the command, control, coordination and communication arrangements of the Council in the event of an emergency response in Buckinghamshire'.

The objectives of the Emergency Plan are:

- To define the Council's responsibilities in an emergency in accordance with the Civil Contingencies Act 2004 and other relevant legislation and guidance.
- To link the Emergency Plan with the emergency response arrangements of the former Councils in order to facilitate an effective response with the Council structure that exists on Vesting Day.
- To detail the response roles of key Council responders.
- To define the mechanism for activating the Emergency Plan and the response arrangements.
- To outline the command and control arrangements that will be adopted by the Council for an emergency response.
- To describe how the Council's emergency response and recovery processes will be activated.
- To provide a source of information and reference to those with key roles in the emergency response of the Council.

Role of the Local Authority in an Emergency

The purpose of the Council's emergency response is:

'To provide an effective and coordinated Council response to an emergency affecting the community, in support of the combined multi-agency response, in order to manage the immediate effects of the emergency, mitigate the impact of the emergency – especially on the vulnerable - and hasten the return to normality through the recovery process'.

The role of a local authority during an emergency may be summarised as:

- Supporting the emergency services and other organisations involved in the immediate response, including:
 - Assistance in the evacuation of the local community.
 - Provision of premises for reception centres.
 - Clearance of debris and restoration of roadways, provision of engineering services and emergency signing.
 - Structural advice, and making safe or demolition of dangerous structures.
 - Provision of a Temporary Mortuary.
 - Communicating with the Public.
- Providing support services for the community and others affected by the incident. This could include:
 - Provision of Emergency Rest Centres, with food and beverages, beds, and welfare services.
 - Provision of a Humanitarian Assistance Centre for the dissemination of information and support to those affected by the emergency.
 - Provision of emergency sanitation and hygiene services.
 - Re-housing of those made homeless, in both the short and long term.
 - Inspection of housing.
 - Environmental health management.
 - Implementation of measures to control the spread of disease.
 - Clearance and mitigation of pollution incidents.
- Enabling the community to recover and return to normality as soon as possible.

Definition of an Emergency

An 'Emergency' in the context of the Civil Contingencies Act is defined by Guidance as:

'An event or situation which threatens serious damage to human welfare in a place in the UK, the environment of a place in the UK, or war or terrorism which threatens serious damage to the security of the UK'.

The threat to human welfare is an emergency only if it involves, causes or may cause:

- Loss of human life,
- Human illness or injury,
- Homelessness,
- Damage to property,
- Disruption of a supply of money, food, water, energy or fuel,
- Disruption of a system of communication,
- Disruption of facilities for transport, or
- Disruption of services relating to health."

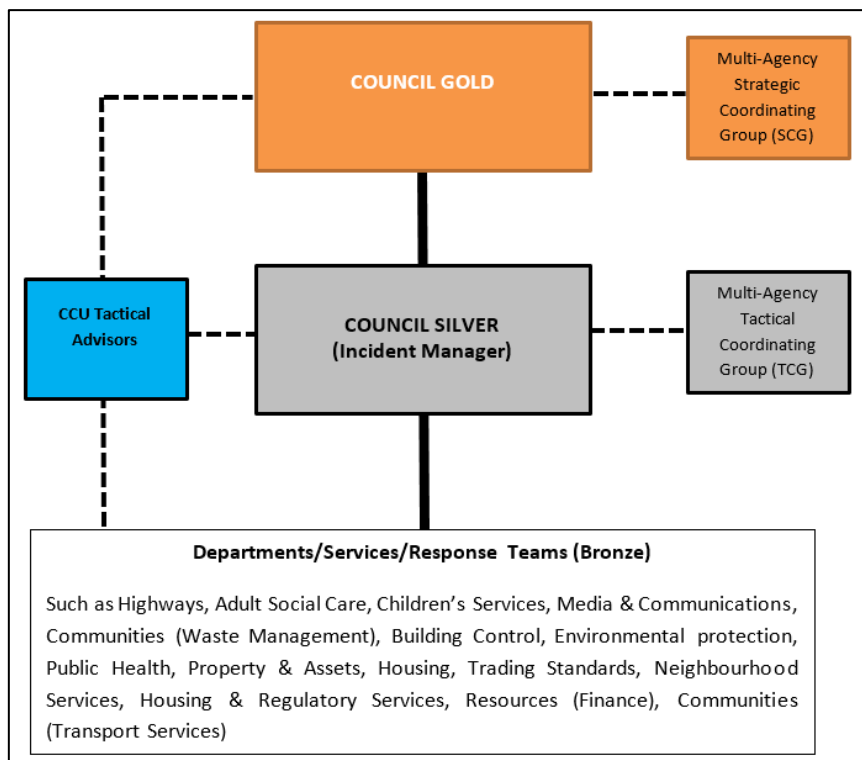
Definition of a Major Incident

The Emergency Services continue to use the expression, 'Major Incident', which is defined as:

'An event or situation with a range of serious consequences which requires special arrangements to be implemented by one or more emergency responder agency'.

Command & Control structures in relation to the Emergency Plan:

The command and control structure of the Council in response is identified below.



Council 'GOLD' (Strategic Manager)	Council Gold is the lead strategic manager of the local authority, its services and resources in response to the incident / emergency. The Duty Corporate Director takes on the role of Council Gold.
Council 'SILVER' (Incident Manager)	Council Silver is the tactical manager of the Council response to the incident. The overarching aim is to ensure rapid and effective actions are implemented that save lives, minimise harm and mitigate the incident. The role of Council Silver is performed by nominated individuals who have been trained to undertake this role.
Council 'BRONZE' (Operational Manager)	Each Service Director is the Operational Manager for their Service area, responsible for the delivery of Service activities which are delivered by the Council's Bronze Operational Officers who manage the 'hands on' work at the incident scene(s) or other affected areas, implementing the Tactical Plan devised by Council Silver. Likely Bronze roles could include (but are not limited to) Building Control Officers, Environmental Protection Officers, Local Authority Liaison Officers ,Emergency Reception Centre Managers and Media Officers.
Emergency Planning Tactical Advisor (Civil Contingencies Officer)	The purpose of this role is for Civil Contingencies Officers to be deployed in emergency situations as an Emergency Planning Tactical Advisor at a strategic, tactical or operational level as a resource to enable an effective Council response. Although decision making rests with the respective Council Gold or Silver, Tactical Advisors are responsible for the provision of appropriate, valid and reasonable advice on emergency procedures.

Part 2 – Roles, Responsibilities & Response Structures

Chief Executive Officer:

- Responsible for the Council's compliance with the Civil Contingencies Act (2004), supporting documentation and other legislation as defined in the Civil Contingencies Act.
- Responsible for the Council's response to an incident / emergency.

Duty Corporate Director / Strategic Manager / Council 'Gold'

(For actions in a response, see Appendix 5):

- The Duty Corporate Director is the designated Strategic Manager / Council 'Gold' in the event of an emergency and represents the Chief Executive Officer either in their absence or outside of normal working hours across the whole Council.
- Manages the response to an emergency at the strategic level.
- Attend, or be represented at, a multi-agency Strategic Coordinating Group (SCG).
- Liaise with and keep the Chief Executive Officer, Leader of the Council and other Members apprised of the situation.

Crisis Response Management Team:

(For actions in a response, see Appendix 9):

- The Crisis Response Management Team is derived from members of the Corporate Management Team.
- The Duty Director/ Gold will chair this group with the Chief Executive Officer in the membership
- The Crisis Response Management Team provides the Council's strategic management of the emergency response. It will meet at regular intervals throughout the emergency. Meetings and decisions must be recorded and the minutes distributed appropriately. Actions should be recorded and circulated as soon as possible.
- The Chair of the Crisis Response Management Team will brief the Leader of the Council and will ensure appropriate Member engagement.

Corporate Directors:

- Responsible for the effective response of Services in their Business Unit.
- A Corporate Director will be the Duty Director (see above).
- Briefed by Service Directors on the impacts of the emergency on their Service.
- Attends the Crisis Response Management Team meeting.
- A Corporate Director will be identified to attend a Strategic Coordinating Group if required. They will be authorised by the Chief Executive Officer to make executive decisions in respect of the Council's resources.

Duty Service Director / Incident Manager / Council 'Silver'

(For actions in a response see Appendix 6):

- The Duty Service Director is the designated Incident Manager / Council 'Silver' in the event of a Level 2 or Level 3 response.
- Manages the multi-service response to an emergency at the tactical level from the most appropriate and effective location.
- Liaise with Council Gold ensuring the response is in line with Strategic direction.

Service Directors (For actions in a response, see Appendix 7):

- Manage their Service response to an emergency, including Out of Hours, and where appropriate sending Service Response Manager to the Emergency Operations Centre.
- Ensure Corporate Directors and Duty Civil Contingencies Officer / Civil Contingencies Unit are informed when responding to incidents.

Service Out of Hours officers from Former County Council:

- Service Out of Hours Duty Officers are the initial point of contact into a specific Service.
- Undertake initial incident / emergency response on behalf of the Service until Service Director informs otherwise.

Service Response Managers:

- Service Response Managers are the senior managers identified in the former County Level Emergency Plan who coordinate the Service response to an emergency from the Emergency Operations Centre on behalf of their Service Director.

Civil Contingencies Unit (For more information, see Appendix 8):

- The Civil Contingencies Unit are subject matter experts in generic emergency management and business continuity management and have prepared the Emergency Plan as well as specific plans. They have multi-agency contacts with the emergency services and other professional partners.
- Provides the Duty Civil Contingencies Officer and Tactical Advisors at the Tactical and Strategic Coordinating Group(s)

Duty Civil Contingencies Officer:

- Single point of contact into the Council by emergency services or professional partners in the event of an incident or emergency requiring a multi-agency Council response.
- 24 / 7 / 365 basis – both in hours as well as out of hours.
- Role undertaken by members of the Civil Contingencies Unit and trained volunteers.

Standby-Officers from Former District Councils:

- Out of Hours point of contact into the former District Council's initial response for the initiation of their former Council Emergency arrangements.

Emergency Planning Officer from Former District Councils:

- Working hours' point of contact into the former District Council's initial response for the initiation of their former Council Emergency arrangements.
- Coordinate the initial emergency response for their geographic area of responsibility.

Local Authority Liaison Officers:

- Local Authority Liaison Officers are the Council's representatives at the scene of an incident and are the focal point for emergency services and other responders where the support of the local authority or understanding of the local community is required.
- They will represent the Local Authority at multi-agency coordination meetings, providing a two-way flow of information with the Emergency Operations Centre.

Tactical Advisors:

- Tactical Advisors are members of the Civil Contingencies Unit or trained staff volunteers who will represent the Council at the Tactical Coordinating Group or support the Strategic Coordinating Group Representative at the Strategic Coordinating Group.

Emergency Operations Centre:(For more information, see Appendix 4):

- The Emergency Operations Centre is the single location from where the multi-Service tactical response to an emergency is coordinated when required. Only one Emergency Operations Centre will be operational at any one time.
- The primary Emergency Operations Centre is located in the Walton Street Office in Aylesbury. Secondary locations are at Amersham, The Gateway (Aylesbury) and High Wycombe.
- The Emergency Operations Centre is staffed by the Civil Contingencies Unit with the support of trained volunteers.

Emergency Rest Centres:

- Emergency Rest Centres are managed by an Emergency Rest Centre Manager and staffed by a mixture of Council volunteers and other Voluntary Organisations.

Elected Members: (For Role Card, see Appendix 10):**Leader / Deputy Leader:**

- The Leader will provide strategic direction to the response in conjunction with the Duty Director / Crisis Response Management Team / Chief Executive Officer
- The Leader will be briefed by the Duty Director / Chair of the Crisis Response Management Team / Chief Executive Officer following any Crisis Response Management Team meeting or will be consulted in relation to the strategic direction.
- The Leader of the Council makes any urgent decisions requiring Member approval.
- The Leader decides which Cabinet Member should lead during the emergency.
- If the Leader is absent or cannot be contacted, and an immediate decision is required for the welfare of the community, the relevant Cabinet Member can take the decision.

Cabinet Member lead:

- Be prepared to deputise for the Leader / Deputy Leader
- The lead Cabinet Member will need to be briefed by the Leader / Duty Director / Chief Executive Officer / Chair of the Crisis Response Management Team.
- Liaise closely with the members of the Communications Team to ensure consistency of messaging.
- Liaise closely with the Democratic Services Service Response Manager in the Emergency Operations Centre
- Liaise closely with Member(s) whose Division(s) is / are affected by the emergency.

Members:

- Members whose ward is affected by the emergency will be briefed by the Democratic Services Service Response Manager allocated in the Emergency Operations Centre and / or by the Leader following a Crisis Response Management Team meeting.
- Make contact with their (affected) community – including other elected representatives.
- Help with the flow of accurate information, both out from the centre (best sources will be the Emergency Operations Centre and Leader) and inwards from the community.
- Be prepared to play a part in the recovery process (appeal funds, memorial services, VIP visits etc.)

Thames Valley Local Resilience Forum:

- The Thames Valley Local Resilience Forum is a statutory partnership of emergency responders with a duty to plan and prepare for a multi-agency response. In a response, Partners will respond in accordance with national best practice and in line with the Joint Emergency Services Inter-Operability Programme and national plans, and in particular the Emergency Response Arrangements.
- Buckinghamshire Council is part of the Thames Valley Local Resilience Forum. This Emergency Plan is consistent with the Thames Valley Local Resilience Forum Emergency Response Arrangements and associated plans.

Part 3- Activation

Activation Criteria

The following criteria will trigger the activation of the Emergency Plan:

An event, incident or major incident has occurred or is predicted to occur in the community, requiring the assistance and response of the Council in support of the emergency services and the affected community.

Such an event may include:

- An incident or emergency occurs in the community.
- A warning is received, such as a severe weather warning.
- A Council Service or Staff Member may identify an incident / emergency or be told of one by a Service Provider / Partner.

Notification Process

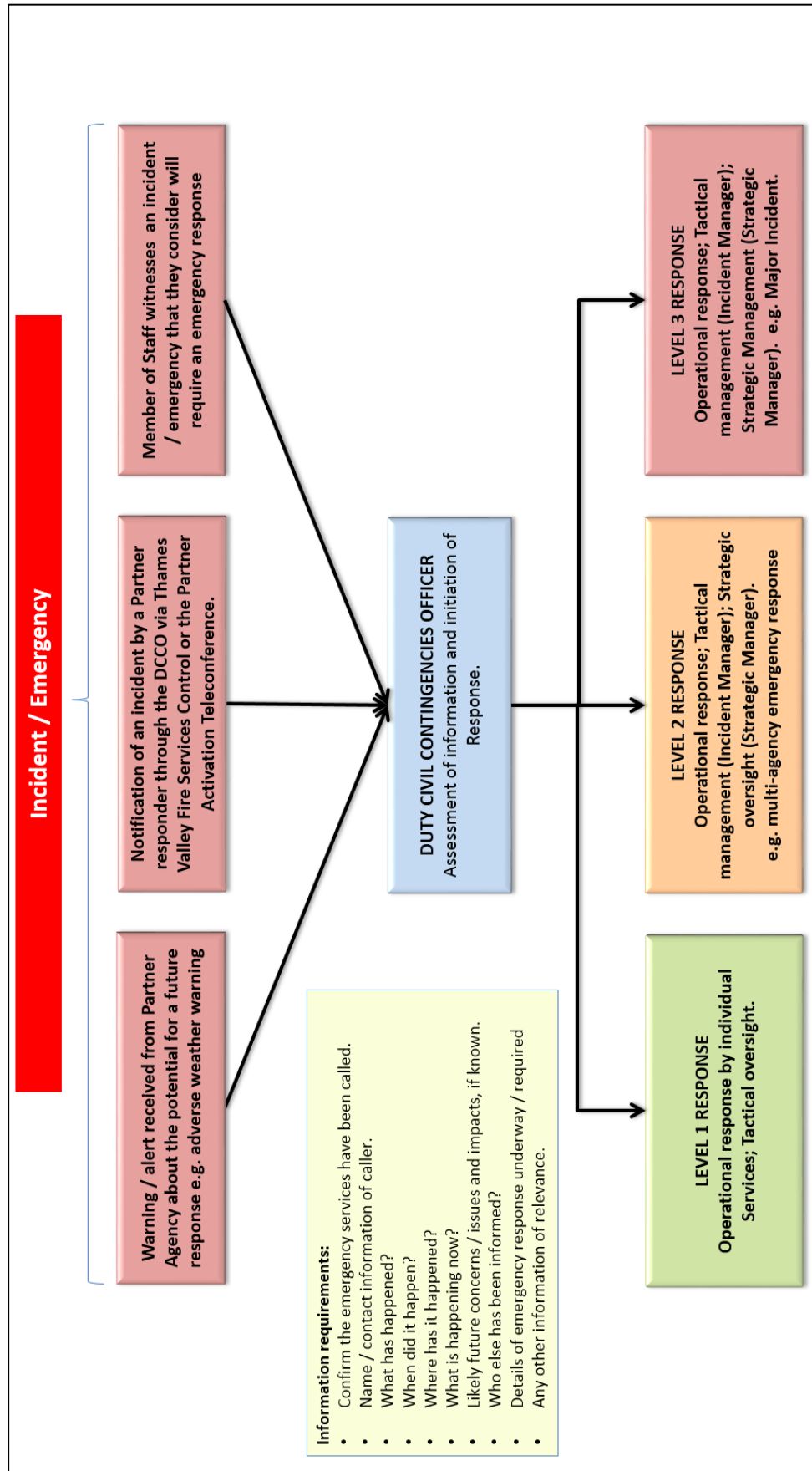
The primary point of contact for Buckinghamshire Council in a major incident or emergency is the Civil Contingencies Unit or Duty Civil Contingencies Officer if out of hours.

The Duty Civil Contingencies Officer can be contacted by ringing the Thames Valley Fire Control Service and providing:

- Name
- Contact telephone number
- Concise summary of the emergency

The Thames Valley Fire Control Service staff will contact the Duty Civil Contingencies Officer and inform them of the situation. The Duty Civil Contingencies Officer will then contact the original caller for a briefing.

If any **Council Service** is responding to an event or incident, then they should notify the Duty Civil Contingencies Officer or Civil Contingencies Unit as soon as possible.



Summary of notification process

Notification that an incident has occurred or is likely to occur, or that assistance is required from the local authority may be received from a number of sources. These sources include:

- Thames Valley Fire Services Control
- Thames Valley Police
- Thames Valley Local Resilience Forum Member organisations
- Members of staff (including schools)
- Members of the public
- Met Office (Severe Weather Warnings)
- Environment Agency (flood alerts and warnings)
- Via the Media

Impact Assessment & Cascade Procedure

The Duty Civil Contingencies Officer / Civil Contingencies Unit will undertake an impact assessment and activate the Emergency Plan if required, informing responders based on the situation and Level of emergency.

Services will then undertake their response as per this plan and their own emergency response arrangements.

Part 4 – Response Arrangements

Overview

The Council will respond to an emergency as part of the multi-agency response in accordance with the Joint Emergency Services Inter-Operability Programme (JESIP), the Thames Valley Local Resilience Forum Emergency Response Arrangements and any Thames Valley Local Resilience Forum capability plans.

The Council will apply the Command & Control structures identified in this Emergency Plan.

The response will follow the former Councils' emergency response arrangements which contain the detail of the operational response aligned to the structures that will be extant on Vesting Day.

Overview of Service Response Activities

The following represents a short summary of the primary (but not exclusive) roles of the Services / Teams in emergency response.

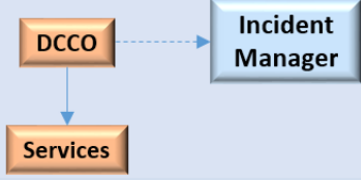
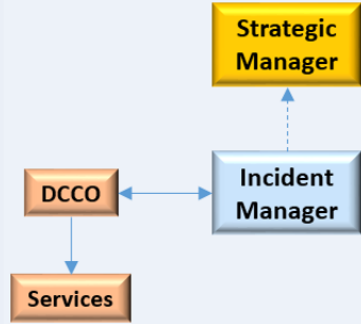
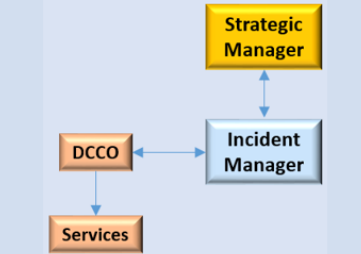
Service area	Emergency related activities
Policy & Communications	<ul style="list-style-type: none"> • Internal communications; • Public warning & information; • Information to Customer Contact Centre; • Coordinated / consistent messages with partners.
Localities & Strategic Partnerships	<ul style="list-style-type: none"> • Links to Parish / Town councils.
Resources (Finance)	<ul style="list-style-type: none"> • Emergency budgets / funding; • Bellwin Scheme; Disaster Funds; purchase cards.
Neighbourhood Services	<ul style="list-style-type: none"> • removal of debris; cleaning of public areas; • Waste collection & disposal; • crematoria / cemeteries;
Culture, Sport and Leisure	<ul style="list-style-type: none"> • Accommodation for emergency rest centres (leisure centres); • information points (libraries);
Highways and Technical Services	<ul style="list-style-type: none"> • Transport for Buckinghamshire (TfB) interface; • maintenance of highways network; • access to plant; • Strategic flood management; • rights of way; • site clearance.
Communities (Transport Services)	<ul style="list-style-type: none"> • Provision of transport to support humanitarian assistance
Planning, Growth & Sustainability (Planning & Environment)	<ul style="list-style-type: none"> • Building control advice on dangerous structures.
Property and Assets	<ul style="list-style-type: none"> • Accommodation for response.
Adult Social Care	<ul style="list-style-type: none"> • Identification and care of vulnerable adults; • Support the provision of humanitarian assistance • Provide long term psycho-social care;

Service area	Emergency related activities
Public Health, Early Help & Prevention	<ul style="list-style-type: none"> Public health advice in an emergency;
Housing and Regulatory Services	<ul style="list-style-type: none"> Trading Standards - Animal Health; fuel / explosives; food health. Mass Fatality incidents – support to the Coroner. Environmental Health advice including pollution, food safety and public health; public health burials. Emergency shelter / accommodation / rest centres; temporary accommodation.
Integrated Commissioning	<ul style="list-style-type: none"> Continued delivery of care to the vulnerable by Service providers.
Children's Services	<ul style="list-style-type: none"> Identification and care for young people and children Educational settings – schools, nurseries, childminders; educational psychologists; support to schools involved in emergencies.

Buckinghamshire Council Incident Levels (see Appendix 3 for more information)

The Council uses three different incident levels to categorise a response and help determine the most appropriate response. It should be noted that the response will be dictated by the situation, so should remain flexible. The situation should be reassessed at regular intervals to confirm the response remains appropriate.

A summary of the levels of response, deployment options and recent local examples is as follows:

Incident Level	Summary	Response Mechanism	Command & Control	Deployment Options
1 Event / incident	<ul style="list-style-type: none"> Operational response; Tactical monitoring. A smaller incident that requires individual services to undertake a response not requiring significant cross-service coordination and with limited, if any, need for multi-agency coordination. 		<ul style="list-style-type: none"> The Duty Civil Contingencies Officer (DCCO) / Civil Contingencies Unit (CCU) assess and monitor. Services respond individually. Duty Service Director / Incident manager made aware. If required, the incident Level can be escalated. 	<ul style="list-style-type: none"> Council staff or identified voluntary organisations may be deployed as recce.
2 Incident / emergency	<ul style="list-style-type: none"> Operational response; Tactical Management; Strategic oversight. A more significant incident / emergency that requires a coordinated response from a number of services utilising the Civil Contingencies Team who will provide the centralised tactical coordination and ensure the duty director is kept aware. 		<ul style="list-style-type: none"> As per Level 1 Duty Service Director / Incident manager manages incident. The Duty Corporate Director is informed. 	<ul style="list-style-type: none"> Liaison Officer (LALO) to Incident Control Point Emergency Operations Centre (EOC) opened Service Response Managers deploy to EOC if required TacAd Team to Tactical Coordinating Group Emergency Rest Centre(s) (ERC) EOC can be activated to provide coordination of response at tactical level. Escalation to Level 3 Incident if required. Tactical Coordinating Group (TCG) likely to be meeting.
3 Emergency / Major Incident	<ul style="list-style-type: none"> Operational response; Tactical Management; Strategic Direction. A critical incident / emergency or major incident that requires a coordinated response from a number of services utilising the Civil Contingencies Team who will provide the centralised tactical coordination to a multi-agency emergency response. 		<ul style="list-style-type: none"> As per Level 2 Duty Director convenes a Crisis Management Team meeting. Strategic Coordinating Group (SCG) established 	<ul style="list-style-type: none"> As per Level 2 EOC activated SCG representative and TacAd to Strategic Coordinating Centre (SCC) (Kidlington)

All Services / Areas Response to Emergency

Almost all Services will have a possible direct role to play in the response to an incident / emergency and should have an emergency plan, incident response plan or procedures to follow in responding to the situation.

Similarly, all of the former emergency response arrangements will provide specific roles for specific Services. On top of this, in the event of an incident / emergency, all Services should:

- Confirm all staff are safe and accounted for.
- Activate own incident / emergency response procedures / plans.
- Individual responders start their own log books.
- Ensure all decisions are logged.
- Provide all available support to the emergency response, including releasing staff trained in emergency response.
- Be prepared to deploy a Service Response Manager to the Emergency Operations Centre if requested.
- Cascade messages to staff and ensure that they have been received by following up; provide extra instruction if required.
- Consider the impact of the emergency on their Service's / Unit's activities and in particular the Priority Activities identified in their Service Business Continuity Plans.
- Be prepared to activate your own Service Business Continuity Plan, informing the Civil Contingencies Unit.
- Be prepared to provide information on the impact of the incident / emergency as part of the Situation Reporting (SITREP) process.
- Continue to monitor the impact of the incident / emergency on Service activities.
- Identify issues that may impact on the Recovery and inform the Civil Contingencies Unit.
- Be prepared to become involved in the Recovery process if appropriate.
- All officers and volunteers understand the importance of preserving and protecting records to assist post incident investigation or enquiry.

Communications Team response

The communications response to an incident / emergency will be coordinated by the Communications Team who will liaise with the Media, Service areas, elected Members and external partners as appropriate. More information is available at Appendix 16.

Finance and Procurement response arrangements

For more information on Finance and Procurement, see Appendix 17.

Reporting

The timely and accurate passage of information within the Council during an emergency is critical. Normal line management hierarchies for the passage of information will continue. Service Directors are the default point of contact for their Services.

Situation Reports (SITREPS) are a means of collating information from Services and will be required where the Duty Director / Crisis Response Management Team require Situational Awareness of the response.

In the event of an incident / emergency, the Civil Contingencies Unit may request Services to complete a Situation Report, which they will collate into a corporate Buckinghamshire Council Common

Operating Picture (COP). A Common Operating Picture has been defined as: “A common overview of an incident that is created by assessing and fusing information from multiple sources, and is shared between appropriate command, control and co-ordinating groups to support joint decision-making”. It will be the single point of reference for those involved, and supports joint decision-making as well as reporting to the Thames Valley Local Resilience Forum.

Information Management Systems for Emergencies

Several Information Management Systems are used in the incident / emergency response and on occasion for event management. These are ResilienceDirect, MissionMode® and Everbridge. More information on these is included at Appendix 13.

Information Sharing

Information sharing is a key part of the multi-agency working of the Thames Valley Local Resilience Forum. It is a legal requirement for Category 1 and 2 responders as detailed in the Civil Contingencies Act 2004. The reason for sharing such information and data is to allow a coordinated approach to supporting the victims of the emergency during difficult situations.

On a day to day basis during planning, training and exercising any sharing of information will be in accordance with The Data Protection Act 2018.

During an emergency, however, there may be a requirement to consider departure from the Act.

The Cabinet Office publication “Data Protection and Sharing – Guidance for Emergency Planners and Responders” has been endorsed by the Ministry of Justice, the Information Commissioners Office, the Department of Health, the Local Government Association and the Association of Chief Police Officers amongst many others.

<https://www.gov.uk/government/publications/data-protection-and-sharing-guidance-for-emergency-planners-and-responders>

Resources

The response to an incident or emergency may have significant resource implications for all of the Council Services involved. Demands on staff time, resources and management attention will be significant and maintaining the response alongside day-to-day functions will pose a major challenge.

Service Directors should consider the sustainability of their level of engagement in the incident response and seek mutual aid accordingly. Business Continuity Plans may be required to ensure continuation of prioritised activities.

Human Resources and Organisational Development will advise on HR management issues before, during and after an emergency, including access to post emergency response care and support.

Buckinghamshire Council may call on the voluntary sector to support its response. When the voluntary sector is being used in support of a multi-agency response the Civil Contingencies Unit are responsible for co-ordinating their support to ensure that they are being used in the most effective manner.

Individual town and parish councils may have local emergency plans. These plans are owned and administered by the town or parish council and may cover general arrangements to support the local community during a severe weather event, through to specific arrangements, such as localised local

warning and informing. These are not statutory plans, do not replace the roles of statutory responders and are intended to allow the community to support itself in the early stages of an incident or during a widespread disruption where resources are scarce. The Council will – where appropriate and practicable – support the community in line with their local emergency plans.

Mutual Aid

Mutual aid may be required to support large scale, complex or extended-duration incident responses. The Thames Valley Local Resilience Forum Mutual Aid Protocol provides guidance for any Thames Valley Council to make a request for support, or to provide it in an emergency / major incident. There is no obligation to provide this. Each of the Thames Valley Councils will endeavour to provide assistance in the form of provision of personnel and / or equipment.

If mutual aid is required from another local authority, a formal request for aid shall only be made by the Chief Executive Officer or other Authorised Person acting on behalf of that Officer (the 'affected Council'), to the Chief Executive Officer or other Authorised Person acting for the Council providing the assistance ("the assisting Council").

Conversely, if a mutual aid request is made to Buckinghamshire Council, then the Chief Executive Officer will decide if the Council can support any request.

Military Aid to the Civil Authority

Military Aid to the Civil Authority (MACA) is usually accessed via 11 Infantry Brigade Headquarters, based in Aldershot. All information related to requesting Military Aid to the Civil Authority is found in the Joint Doctrine Publication (JDP) 02, UK Operations: The Defence Contribution to Resilience and Security.

Requests should be made to the Joint Regional Liaison Officer (JRLO), the Brigade Duty Officer, the Brigade Commander (who is likely to be involved at the Strategic Coordinating Group) or a Military Liaison Officer at the Strategic Coordinating Group. Military Aid to the Civil Authority requests will be formulated using the forms provided by the Military and will need to be approved by the MoD prior to action being taken. Guidance for completing the forms can be found in JDP02 Annex 3B and 3C.

In the event of an immediate threat to life / limb, local military units are allowed to support the emergency response – the approach should be to the local commander. The Joint Regional Liaison Officer should be informed as soon as possible. Ministry of Defence approval is retrospective.

Further information will be provided by the Civil Contingencies unit if this is being considered.

Part 5 – Stand down & Organisational Learning

Criteria for stand down:

- The event / incident is over / resolved and there is no longer a risk or threat.
- Transition to the Recovery phase for a major incident (noting the Recovery activities will continue).

Response Level and Likely Stand-down actions:

Level 1: The decision to stand down will be made by the respective Service Response Manager / Service Director once the response is complete. The Duty Civil Contingencies Officer / Civil Contingencies Unit must be notified of this in order to allow the Emergency Plan to be stood down.

Level 2: As per Level 1. The Duty Civil Contingencies Officer / Civil Contingencies Unit must be notified of this in order to allow the Emergency Plan to be stood down having confirmed with the Duty Director. If the Emergency Operations Centre has been activated, the decision to stand down will be made by Chief Executive Officer / Duty Director once all Service/Area response activity has finished.

Level 3: It will be the responsibility of the Chief Executive Officer / Duty Director to decide when it is appropriate to stand-down the management of the emergency response by the Council.

Organisational Learning:

All staff should make note of any key learning during a response to support organisational learning.

Following any response to a major incident / emergency, it is necessary to review how the organisation responded - what it did, what it should have done and where it could change to better respond in future. This also relates to the multi-agency response. This is known as an After Action Review (AAR) or Structured Debrief. All staff who were involved in the activity should have the opportunity to contribute towards it. The Civil Contingencies Unit will lead the After Action Review process.

In the event that a multi-agency After Action Review is organised by the Thames Valley Local Resilience Forum, appropriate representation will be required.

A Post-Incident Report will be prepared to summarise key learning and be the basis of positive change.

Part 6 - Recovery

Recovery is an integral part of the emergency management process. It can be characterised as the process of rebuilding, restoring and rehabilitating the community following an emergency (Emergency Response & Recovery Guidance, HM Government). The Council will work with partners to:

- Meet the longer-term welfare needs of survivors (e.g. social services support and financial assistance from appeal funds) and the community (e.g. anniversaries and memorials, help lines and drop-in centres).
- Facilitate the remediation and reoccupation of sites or areas affected by the emergency.

Recovery from Emergency Response

During the Response phase of an emergency, a Recovery Coordinating Group (RCG) may be set up by the Strategic Coordinating Group to plan for the Recovery. This Recovery Coordinating Group should be chaired by a Local Authority senior manager, identified by the Chair of the Strategic Coordinating Group and confirmed at a Strategic Coordinating Group meeting.

If the Council is to provide the Chairmanship of the Recovery Coordinating Group, the following principles will apply:

- The Chief Executive Officer will nominate the Chair and a Deputy.
- The Chair should be of an appropriate level (Corporate Director).
- A Service (minimum) Director should be nominated as a Deputy.

The role of the Recovery Coordinating Group during the emergency response phase is included in the Thames Valley Local Resilience Forum Recovery Plan with specific tasks in the Buckinghamshire Council Recovery Plan.

At the end of the Response Phase, the Chair of the Strategic Coordinating Group will formally sign over the Lead role to the Chair of the Recovery Coordinating Group – who will most likely be from the Local Authority.

Recovery Phase

As the emphasis moves from the Response phase to the Recovery phase, the Council will take the lead in facilitating the rehabilitation of the community and the restoration of the environment. Details of this are included in the two Recovery Plans mentioned above.

In summary:

- Relevant sub-groups will be established to focus on specific sectors. Chairs and members of these sub-groups will be required from relevant Council Service areas:
 - Communications Sub-Group
 - Finance and Legal Sub-Group
 - Business and Economic Sub-Group
 - Health and Welfare Sub-Group
 - Environment and Infrastructure Sub-Group
 - Community Advisory Sub-Group
 - Resources Sub-Group
- If the emergency was Thames Valley-wide, a Strategic RCG may be set up with the RCG Chairs of all Thames Valley county areas involved.

It should be remembered that – as with the response – the Council will be required to maintain its normal services at an appropriate level whilst managing the recovery phase.

Part 7 – Appendices

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Appendix 16 – Communications Team response
Appendix 17 – Finance & Procurement Team response

Appendix 1 –Buckinghamshire - Background Information

Below some information on Buckinghamshire:

- **Towns:** The largest towns are High Wycombe (population 120k), Aylesbury (72k), Amersham (23k), Chesham (22k), Gerrards Cross (21k) and Marlow (18k) – *figures from 2011 Census*.
- **Rivers:** The key rivers within the county includes The Great Ouse, River Chess, River Thames, River Colne, River Misbourne, River Thame, River Wye and the River Ray. There are also streams at Bear Brook, Colne Brook, Stoke Brook which have all flooded in the past.
- **Canals:** Several branches of the Grand Union Canal passes through the county as do its arms to Slough, Aylesbury, Wendover (disused), and Buckingham (disused).
- **Roads:** Buckinghamshire is served by four motorways, although two are on its borders:
 - M40 motorway: cuts through the south of the county serving towns such as High Wycombe and Beaconsfield
 - M1 motorway: serves Milton Keynes in the north
 - M25 motorway: passes into Bucks but has only one junction (J16-interchange for the M40)
 - M4 motorway: passes through the very south of the county with only J7 in Bucks.
 - Several important 'A' roads also enter the county (from north to south):
 - A5, A4, A421, A41, A413, A422, A4010, A404, A355, A416 and the A418
- **Rail:** Buckinghamshire is well connected to the national rail network, with both local commuter and inter-city services serving some destinations.
 - There are four main lines running through the county:
 - The West Coast Main Line in the north of the county serves stations in Milton Keynes
 - London to Aylesbury Line serves Aylesbury Parkway and other settlements along the A413 towards London.
 - Chiltern Main Line: serves the towns along the M40 motorway including High Wycombe and Beaconsfield
 - Great Western Main Line: runs through Slough. Slough is now in Berkshire, but the line enters Bucks twice, on either side of Slough, with Taplow and Iwer both having stations in Buckinghamshire.
 - London Underground have the Metropolitan Line service at Amersham and Chesham.
- There are the following additional lines:
 - Princes Risborough to Aylesbury Line: a single track branch that connects the Chiltern Main Line to the London to Aylesbury Line.
 - Marston Vale Line: between Bletchley and Bedford
 - Marlow Branch Line: between Marlow, Bourne End and Maidenhead.
 - Chinnor and Princes Risborough Railway, a preserved railway.
 - HS2 and Crossrail projects.
- **Air:** There are no major airports in Buckinghamshire, though there are several airfields including at RAF Halton and High Wycombe (Booker). However, there are several major airports in the vicinity of the County (Heathrow, Luton) and therefore large aircraft do overfly the County and often will be stacked waiting to land.



Appendix 2 – General Principles of Response in Buckinghamshire

General Principles

Normal line management of the Council applies unless specifically stated otherwise.

Services are required to be able to deliver an incident / emergency response role. Service Directors are responsible for ensuring this can be delivered. Where appropriate, Services are required specifically to have Out of Hours officer's identified and able to respond to incidents / emergencies out of normal working hours.

For former County responders, Services may have Out of Hours officers who will respond initially. If the Emergency Operations Centre is activated, responding Service's Response Managers (SRMs) will need to be deployed to the Emergency Operations Centre to manage the response from there.

For former District responders, standby officers will respond initially in line with their emergency response arrangements. If the Emergency Operations Centre is activated, Emergency Planning Officers will need to be deployed to the Emergency Operations Centre to coordinate the response from there.

Service Directors will be kept informed of the response by Service Response Managers. Service Directors will ensure the Service Response Managers have the support they require from the remainder of the Service.

All Managers should ensure that the emergency response is provided the highest priority for resourcing and that staff, for example, Liaison Officers and Service Response Managers, are made available to support the overall Council response.

All staff not directly involved in the emergency response should be made available to responding Services to assist the overall response if required.

To ensure resilience in the organisation, deputies should be identified for all senior managers and officers, especially where there is an emergency response role.

Costs lie where they fall, however Government funding will be sought if at all possible in line with national protocols.

Services are expected to deliver their usual service provision, but adapted where necessary to meet the circumstances of the emergency.

Service Directors, Managers and staff should be mindful of the impact of the response on critical services as defined in their Service Business Continuity Plans and should ensure that these critical services are maintained.

All responders should maintain logs. All decisions must be logged, including the decision made and why it was made. Loggists can be used to support key personnel.

Appendix 3 - Buckinghamshire Council Levels of Incident Response

Level 1: Operational response; Tactical monitoring; Strategic awareness

Definition:

- The incident causes minimal impact on residents or vulnerable people across a small area.
- The incident has a minimal impact on service delivery.
- The response to the incident is within normal operating parameters.
- A requirement to warn and inform the public / staff / partners.
- There is no requirement for cross-service tactical coordination.
- There is limited, if any, multi-agency coordination required.

Examples

- Short-term evacuation of low numbers of residents with no / few special needs for 3-6 hours. Shelter rather than full Emergency Rest Centre.
- Yellow / Amber Severe Weather or Flood Warnings requiring assessment and dissemination to council services / external partners.
- Increase in the UK Threat Level to 'Critical' with no specific threat to Buckinghamshire and/or the council.
- School emergency (premises or visit).
- Request for Building Control Officer/Environmental Health Officer.
- Early stages of a 'rising-tide' emergency, such as fuel supply disruption or pandemic flu.

Level 2: Operational response; Tactical management; Strategic oversight

Definition:

- The incident causes an impact on residents or vulnerable people across a limited area.
- The incident impacts on several Council services.
- The response to the incident by Services will require some cross-service coordination – possibly with the requirement to open the Emergency Operations Centre.
- The Council response will need to be consistent with the multi-agency response.
- There may be a specific requirement to warn and inform the public.

Level 2 Examples:

- Evacuation of housing block or a wide residential area requiring shelter.
- Low levels of injuries or fatalities.
- Evacuation of care home, school or hospital.
- Amber /Red Severe Weather or Flood Warnings requiring a response to be coordinated across the Council Services.
- Increase in the UK Threat Level to 'Critical' with specific threat to the Thames Valley.

Level 3: Operational response; Tactical management; Strategic direction

Definition:

- The incident causes a severe or major impact to large numbers of residents or vulnerable people across an area or potentially across the whole County.
- The incident impacts on multiple / all Services.
- The response to the incident by Services will mean implementing special arrangements (emergency response).

- A major incident has been declared by emergency responders or Buckinghamshire Category 1 Responders which requires the implementation of special arrangements (emergency response).
- Formal tactical coordination of the emergency response with strategic direction from Crisis Response Management Team required.

Level 3 Examples:

- Major incident declared by emergency responders.
- Local incident resulting in high levels of fatalities.
- Large-scale and / or long-duration evacuation of residents.
- Water or electricity supply failure affecting numerous locations for over 24 hours.
- Complete wide-area telecoms failure.
- Wide-area flooding (including surface and groundwater).
- Severe weather.
- Terrorist incident in County.

Appendix 4 - Role of the Emergency Operations Centre (EOC)

The role of the Emergency Operations Centre is to provide a single location for the tactical coordination of the multi-service emergency response to an incident / emergency affecting the Council.

The operation of the Emergency Operations Centre is covered in a separate Operational plan.

The Emergency Operations Centre will:

- Provide centralised tactical coordination of individual Service's response in line with the Service's own duties and multi-agency direction.
- Be a single point of contact into the Authority for all partner agencies involved in the response.
- Liaise with other organisations either directly or through the Local Authority Liaison Officers assigned to the Tactical Coordinating Group or Strategic Coordinating Group
- Receive information, tasks or requests for information (RFI) from external organisations and their efficient and appropriate management.
- Collate and analyse information relating to the hazard / threat to create an accurate and current situational awareness picture that will inform the planning and response of Council responders.
- Provide a centralised briefing capability for senior staff.

The Emergency Operations Centre Plan provides detailed information on how the Emergency Operations Centre works and also alternative locations.

In summary:

- The Civil Contingencies Unit provide a cadre of officers who will facilitate the operation of the E Emergency Operations Centre and liaise with the multi-agency responders.
- Trained volunteer support officers will support the Civil Contingencies Unit.
- Service Response Managers will deploy to the Emergency Operations Centre from where they will provide centralised coordination of their Service response.
- Emergency Planning Officers will coordinate the activities of their services in line with the emergency response arrangements for that geographic area.

Appendix 5 - Council 'Gold' Role Card

General
<ul style="list-style-type: none"> Start log recording all decisions, options, actions and justification. Ensure the health, safety and well-being of all staff involved in the Council's response. Seek help and advice if unsure.
Role
<p>Council Gold is the lead strategic manager of the local authority, its services and resources in response to the incident / emergency. The Duty Corporate Director takes on the role of Council Gold. The role of the Duty Director for different Incident / Emergency levels is:</p> <ul style="list-style-type: none"> Level 1 incidents will not require the Duty Director to be notified; responding Service Directors will inform their relevant Corporate Director. Level 2 incidents are likely to require some strategic oversight. This will be achieved by the Council Silver (Incident Manager) notifying the Duty Director. Level 3 incidents will require strategic direction and interaction with multi-agency response structures.
Responsibilities
<ul style="list-style-type: none"> Define the Council strategic direction in response to the incident. Consider the long-term impact that the incident could have on the provision of council services. Provide strong leadership to staff. Be a visible representative of the Local Authority alongside the Leader of the Council. Liaise with and keep the Chief Executive Officer and Leader of the Council and other Members apprised of the situation. Attend, or be represented at, a multi-agency Strategic Coordinating Group (SCG). Ensure appropriate Council representation at any multi-agency coordinating group or support cell. Liaison with Ministry of Housing, Communities & Local Government as required. Stand the Council's incident response down when completed. Be prepared to set up a Recovery Cell/Group if required. Ensure that all strategic decisions made, and the rationale behind them, are documented in a decision log, to ensure that a clear audit trail exists for all Council and multiagency debriefs and future learning.
Initial Considerations upon Notification
<ul style="list-style-type: none"> Gather information regarding the incident/emergency. Liaise with Council Silver (Incident Manager). Assess the situation for any reputational, financial, regulatory or other risk. Set the strategic aims and objectives for the Council's response. Management of additional resources where needed. Management of Council media and communications where needed. Liaison with the Chief Executive Officer, Leader of the Council and Elected Members. Management of financial aspects. Maintaining corporate reputation.
Advice Available from
<ul style="list-style-type: none"> Council Silver (Incident Manager) Civil Contingencies Unit (CCU) Specific Incident Plans

Appendix 6 - Council 'Silver' (Incident Manager) - Role Card

General
<ul style="list-style-type: none"> Start log recording all decisions, options, actions and justification. Ensure the health, safety and well-being of all staff involved in the Council's response. Seek help and advice if unsure.
Role
<p>Council Silver is the tactical manager of the Council response to the incident. The overarching aim is to ensure rapid and effective actions are implemented that save lives, minimise harm and mitigate the incident. The role of Council Silver is performed by nominated individuals who have been trained to undertake this role. The role of the Council Silver for different Incident / Emergency levels is:</p> <ul style="list-style-type: none"> Level 1 incidents will be managed by the Civil Contingencies Unit with delegated authority and Council Silver will be notified of response activity for information. Level 2 incidents will be managed by Council Silver (incident Manager) and are likely to require some strategic oversight. This will be achieved by the Council Silver (Incident Manager) notifying the Duty Director. Level 3 incidents will be managed by Council Silver (incident Manager) and are likely to require some strategic oversight from the Council Gold.
Responsibilities
<ul style="list-style-type: none"> Act on delegated responsibility until Council Gold is established (if required). Provide tactical direction to coordinate and manage the Councils response. Task Council Services to respond as required as part of that response. Inform and liaise regularly with Council Gold as necessary. Determine the best option to manage the incident response. Operate from a suitable location from where effective control can be implemented. Ensure there is passage of information / communication within the Council. Ensure statutory responsibilities are met and doctrine considered in relation to health, safety, human rights, data protection and welfare of individuals during the response. Ensure that all tactical decisions made, and the rationale behind them, are documented in a decision log, to ensure that a clear audit trail exists for all Council and multiagency debriefs and future learning. Ensure decisions are communicated effectively to appropriate Council officers or organisations
Initial Considerations upon Notification
<ul style="list-style-type: none"> Gather information regarding the incident/emergency. Liaise with the Civil Contingencies Unit. Assess the situation for any reputational, financial, regulatory or other risk. Set the tactical aims and objectives for the Council's response. Management of additional resources where needed. Management of Council media and communications where needed. Liaison with the Chief Executive Officer, Leader of the Council and Elected Members. Management of financial aspects. Maintaining corporate reputation.
Advice Available from
<ul style="list-style-type: none"> Council Gold Service Directors Civil Contingencies Unit (CCU) Specific Incident Plans

Appendix 7 –Service Director - Role Card

General
<ul style="list-style-type: none"> • Start log recording all decisions, options, actions and justification. • Ensure the health, safety and well-being of all staff involved in the Council's response. • Seek help and advice if unsure.
Role
Each Service Director is the Operational Manager for their Service area, responsible for the delivery of Service activities which are delivered by the Council's Bronze Operational Officers who manage the 'hands on' work at the incident scene(s) or other affected areas, implementing the Tactical Plan devised by Council Silver.
Responsibilities
<ul style="list-style-type: none"> • Coordinate and manage their Service response in line with their incident response plan (if available). • Control and deploy the resources of their respective service within a functional or geographical area. • Provide a point of contact with the Emergency Operations Centre if established. • Ensure there is passage of information / communication within the Service. • Ensure that their Service's normal activities are maintained during the emergency as far as is reasonably practicable, by activating Business Continuity Plans
Initial Considerations upon Notification
<ul style="list-style-type: none"> • Gather information regarding the incident/emergency. • Liaise with their Out of Hours Manager (if established). • Liaise with the Council Silver (incident Manager)/Council Gold and Service Corporate Director as necessary. • Assess the situation for any reputational, financial, regulatory or other risk for their Service. • Set the tactical aims and objectives for the Council's response. • Management of additional resources where needed. • Management of Council media and communications where needed. • Liaison with the Chief Executive Officer, Leader of the Council and Elected Members. • Management of financial aspects. • Maintaining corporate reputation. • Ensure that the Service undertakes all required emergency response as required by Council Silver (Incident Manager). • Ensure there is passage of information / communication within the Service.
Advice Available from
<ul style="list-style-type: none"> • Council Gold • Council Silver (Incident manager) • Civil Contingencies Unit (CCU) • Specific Incident Plans

Appendix 8 – Civil Contingencies Unit - Role Card

General
<ul style="list-style-type: none"> • Start log recording all decisions, options, actions and justification. • Ensure the health, safety and well-being of all staff involved in the Council's response. • Seek help and advice if unsure.
Role
<p>The Civil Contingencies Unit are subject matter experts (tactical advisors) in generic emergency management and business continuity management. Although decision making rests with the respective Council Gold or Silver, the CCU are responsible for the provision of appropriate, valid and reasonable advice on emergency procedures. They provide a single point of contact (24 / 7 / 365 basis – both in hours as well as out of hours) into the Council by emergency services or Council Services / Areas in the event of an incident or emergency.</p>
Responsibilities
<p>On being notified of a disruptive incident that will impact on organisational and service delivery or that a Service has invoked their service business continuity plan they will:</p> <ul style="list-style-type: none"> • Assess the wider implications of a disruptive incident for the organisation and its impact on delivery of services. • Determine the appropriate incident level and implement necessary actions. • Maintain situational awareness. • Advise/escalate the matter to Council Silver as necessary. • Undertake any initial activity if any of the Incident Management Options are requested by Council Silver / Council Gold. • Manage Level 1 incidents with delegated authority. • Provide advice, guidance and information in line with legislation and policy and at an appropriate level in support of the Councils emergency response aims and objectives. • Provide timely, accurate and relevant advice to the Council Gold or Silver on the available tactical considerations and options to support incident decision making. • Evaluate the tactical considerations / options to assist in achieving the Council Gold or Silver's aims and objectives and to address identified contingencies based on all relevant factors in accordance with legislation and policy. • Provide advice on how to record decisions, actions, options and rationale in accordance with current policy and legislation to ensure there is an audit trail. • Engage in and contribute to the debriefing process to ensure information is effectively transmitted and to contribute to organisational learning. • Understand the role of the local authority in a multi-agency emergency response. • Representing the Council at a Tactical Coordinating Group and feeding key decisions back to Council Silver.
Initial Considerations upon Notification
<ul style="list-style-type: none"> • Gather information regarding the incident/emergency. • Assess the situation for any reputational, financial, regulatory or other risk for organisation. • Determine the appropriate incident level and implement necessary actions. • Manage Level 1 incidents and notify Council Silver (Incident Manager). • Liaise with Service Out of Hours Manager (if established). • Liaise with the Council Silver (Incident Manager)/Council Gold and Service Corporate Director as necessary.
Advice Available from
<ul style="list-style-type: none"> • Council Gold • Council Silver (Incident manager) • Specific Incident Plans

Appendix 9 - Crisis Response Management Team (CRMT)

The Crisis Response Management Team (CRMT) is the Strategic body that provides strategic direction to the response to an emergency with the sole purpose of managing the immediate effects of the emergency, mitigating the impact of the emergency – especially on the vulnerable - and hastening the return to normality through the recovery process.

The Chief Executive Officer / Duty Director will convene the Crisis Response Management Team in a Level 3 emergency.

Membership of the Crisis Response Management Team can include:

- Duty Director/Gold (chair)
- Chief Executive Officer
- Corporate Directors
- Section 151 officer
- Head of Civil Contingencies Unit / Deputy (Tactical Advisor – TACAD)
- Invited Service Directors
- PA (to take minutes and record decisions)

The Crisis Response Management Team may meet at regular intervals throughout the emergency. Meetings and decisions must be recorded and the minutes distributed appropriately. The Crisis Response Management Team will shape the strategic direction that the Council should adopt during the incident. It will:

- Identify the Council's main efforts and prioritise accordingly.
- Agree strategic actions and identify the responsible Service for specific tasks.
- Determine the Council's media strategy.
- Ensure the welfare of Council staff.
- Identify and monitor any threats or risks to the delivery of Council Services.
- Allocate resources from across the Council to focus on response activities.

Prior to the Crisis Response Management Team meeting, Corporate Directors should be briefed on the impact of the emergency and any key concerns by their Service Directors.

The Chair of the Crisis Response Management Team will brief the Leader of the Council who will ensure appropriate Member engagement.

Proposed Agenda for Crisis Response Management Team

1. Introductions and Confidentiality status.
2. Urgent issues?
3. Situation reports:
 - Duty Director (status of incident, multi-agency response, CEP activation).
 - Corporate Directors.
 - Media strategy and public information. (Key messages; Issues; Spokespersons, Conferences, Statements).
4. Strategic aims and intentions – Council or Thames Valley Local Resilience Forum/ multi-agency.
5. Priority actions for next phase.
6. Staff information and welfare.
7. Member involvement – update of Leader.
8. Finance & Resource implications.
9. Business Continuity issues not already covered.
10. AOB and Time / place of next meeting. Attendance confirmation.

Appendix 10 – Elected Members – Role Card

Role
<p>When an emergency occurs, Elected Members, as leaders of local places, have a vital role in providing civic leadership and reassurance to local people. Depending on the emergency, the council may become a lightning rod for emotions, and will need to manage this effectively. Visibility of senior politicians will be important, and the communications strategy should be seen as facilitating the civic leadership role.</p> <p>In an emergency, as with business as usual, councillors are not involved in the operational response led by officers but must play a leadership role that includes:</p> <ul style="list-style-type: none"> • political leadership; ensuring that their council is meeting its obligations under the Act, in terms of preparing for and responding to emergencies; • civic leadership; providing a focal point for the local area during an emergency situation • community leadership; helping to increase community resilience, and supporting communities' emergency responses and through the period of recovery. <p>Councils and Elected Members may be required to deal with many different types of civil emergency, and the nature of an emergency (e.g. whether it has involved loss of life, whether homes and businesses have had to be evacuated) will clearly shape the response and recovery to it. These different situations will also impact how councillors are able to fulfil their roles.</p> <p>It is important for Elected Members to receive emergency planning updates and briefings, and for senior officers to take part in training exercises. This process can also help ensure understanding of the relative roles and responsibilities of Elected Members and Council Officers, which will strengthen councils' ability to respond to an emergency and help ensure corporate resilience.</p>
Responsibilities of Elected members during an emergency
<p>To support emergency responses, Elected Members should:</p> <ul style="list-style-type: none"> • Ensure that the council continues to deliver services and provide support to the most vulnerable in the community and to those driven out of their homes. • Work with the council's communication team to act as a public face for the council in interactions with the media and the wider community through interviews and public meetings. It will be particularly important to take care to avoid issuing contradictory or unconfirmed information to the media and the public. The key messages agreed with the communications team should be clearly and consistently reiterated in all communications, including social media and face to face interactions with residents. • Assist with VIP visits, ensuring they are sensitive to the needs of the community. • Work with the council's communications team to keep onsite and remote staff and councillors informed by ensuring internal communications are updated in line with external communications. • Ensure that the council is fully and effectively cooperating with all relevant partners, not least the voluntary sector and making best use of all the support offered by the wider general public. • Support officers and colleagues who are closely involved in the emergency response and recovery, ensuring that periods of relief and additional support are provided. • If appropriate, make representation to the government for financial or other assistance. • Be involved in making key policy decisions and possibly having to consider recommendations from either the strategic coordination group or the recovery coordination group on strategic choices.

Notification of an emergency

The Leader / Deputy Leader of the Council will be advised of emergencies and updated on progress of the response by the Chief / Deputy Chief Executive Officer, the Duty Corporate Director or Duty Service Director (Incident Manager).

Consideration will be given to calling a special meeting of those Members listed below, to assist and advise the Chief Executive:

- Leader of the Council;
- Other necessary Cabinet Members and Spokesmen;
- Group Leaders;
- Locally Elected Members as necessary;

Alternatively, Democratic Services will provide the information link between the response and the Members. **PLEASE NOTE** - this is for passage of information only.

Response Activity

Leader of the Council/Deputy Leader of the Council

- Make any urgent decisions requiring Member approval.
- Decide which Cabinet Member should lead during the emergency.
- If the Leader of the Council is absent or cannot be contacted, and an immediate decision is required for the welfare of the community, the relevant Cabinet Member can take the decision.

Elected Members

In the early stages of an emergency there is little direct action an Elected Member can take. The emergency services and officers of the Council must be allowed to get on and manage the situation. The most important role for local councillors in the event of an emergency will be to be in their communities, providing support and reassurance to residents, calming tensions if these have become inflamed and providing as much information as possible, including correcting inaccuracies and rumours. In addition to the responsibilities mentioned earlier, Elected Members should:

- provide community leadership in their own wards;
- be present locally to identify the needs of individuals and the wider community and feed them in to the appropriate response or recovery organisation via Council Officers;
- signpost members of the public towards the right agency to get the support they need;
- communicate information to the public and media as required by the communications team;
- support and assist those affected in how they engage with the media;
- help the flow of accurate information. Because you will be regarded as an informed and credible source by the media and the public you will be invaluable in passing on information;

Further Guidance

- A Councillor's Guide To Civil Emergencies (Local Government Association)

Appendix 11 – Participation in the Multi-Agency Coordination Structures

Overview

All multi-agency activities will be undertaken consistent with the Joint Emergency Services Inter-Operability Principles (JESIP), the Thames Valley Local Resilience Forum's Emergency Response Arrangements and specific Thames Valley Local Resilience Forum capability plans.

At each required level of response (Operational, Tactical and Strategic), coordination locations will be set up from where this function will be implemented.

In order to fully coordinate with the Emergency Services, the Council will deploy appropriate staff to all coordination centres.

Some Services may be required to send technical officers to coordination centres as directed in emergency response arrangements (for example, Highways Officers to liaise with the Police Traffic Officers or Public Health to a Science and Technical Advice Cell).

JESIP

The Joint Emergency Services Interoperability Programme (JESIP) was developed to support a coordinated response in the early stages of a major or complex incident. It was initially aimed at the Emergency Services but it is now the basis for multi-agency response. It is also scalable. Further information is available at <https://www.jesip.org.uk>

Thames Valley Local Resilience - Emergency Response Arrangements

Any emergency requires a combined and co-ordinated response that links the expertise and resources of different responding organisations. Due to the potential number and diversity of organisations involved in emergency response and recovery, effective command and control structures should be planned before incidents.

This Plan does not stand alone but should be used in conjunction with other relevant multi and single-agency plans and procedures during an incident. This documents contains references to these plans together with other documents and websites.

Thames Valley Local Resilience Forum plans are located in the relevant Thames Valley Local Resilience Forum pages on ResilienceDirect: <https://collaborate.resilience.gov.uk/RDService/home/116531/Plans>

The response structures are designed to be flexible and adaptable to the needs of any incident facing Local Resilience Forum responders – what constitutes an appropriate level of escalation and support for active coordinating groups is a decision for the Partner Activation Teleconference and / or active coordinating group(s).

Incident Control Point

The Emergency Services responders will need to coordinate their response at the scene. This will be done at the Incident Control Point. The Incident Control Point will be at the scene within the outer cordon but outside the inner cordon.

A Local Authority Liaison Officer may be requested to attend the Incident Control Point or may deem it necessary to attend in order to coordinate their response with the Emergency Services.

Tactical Coordinating Centre / Tactical Coordinating Group

The Tactical Coordinating Group will meet at a designated Tactical Coordination Centre. This will depend on the type and location of the emergency but will usually be the main police station in the area in the designated 'Silver Suite'. It is possible that a 'forward' Tactical Coordinating Centre may be set up closer to the scene of the emergency.

It may be necessary to provide a representative to the main Tactical Coordinating Group at a Tactical Coordinating Centre, or to another agency's own silver command or emergency centre. This will help to ensure that a smooth and consistent flow of information is maintained, whilst offering the host agency expert advice from the visiting liaison officer from the viewpoint of their own authority. The Civil Contingencies Unit will provide representation at the Tactical Coordinating Group / Tactical Coordinating Centre.

The responsibilities of a Council Tactical Coordinating Group representatives are:

- To provide responding partners with an intelligent interface with the Council;
- Gathering information to feedback as necessary;
- Liaison with emergency responders on behalf of the Council;
- Assessing the wider impact of the incident on both the Council and the Community;
- Identify Council resources that may assist in the response;
- Refer decision making to those within the authority who are able/capable/trained to make those decisions;
- Attend multi-agency Tactical Coordinating Group meetings to represent the Council.

The Tactical Coordinating Group Representative will also need to liaise with any Council's strategic representative who is deployed to the Strategic Coordinating Group. It is important that regular communication is maintained between two support groups to ensure effective and coordinated representation.

Strategic Coordinating Group

The Strategic Coordinating Group Representative will be a Corporate Director who will be identified by the Chief Executive Officer or Duty Director and represents the Council. They must have the authority to make executive decisions on behalf of the Chief Executive Officer.

The Strategic Coordinating Group Representative will be supported by a member of the Civil Contingencies Unit.

The role of the Strategic Coordinating Group Representative is:

- To represent the Chief Executive Officer and Council at the Strategic Coordinating Group
- On occasion, to represent ALL Thames Valley Local Authorities at the Strategic Coordinating Group.
- To take appropriate decisions on behalf of the Council with regards to resources, media, policy etc.
- To keep the Crisis Response Management Team and Chief Executive Officer informed of the developing Strategic situation through the Emergency Operations Centre.
- To anticipate the impact of decisions on the Council and communicate that to the Strategic Coordinating Group and Crisis Response Management Team.
- If requested, to chair the Recovery Coordinating Group of the Strategic Coordinating Group.

Multi-Agency Cells

The Thames Valley Local Resilience Forum Emergency Response Arrangements and Plans outline a number of Cells and Groups. Where necessary, the Civil Contingencies Unit will identify these Cells / Groups and work with Services to find the most appropriate available representation.

Appendix 12 - Training & Exercising

Training

Staff should have an understanding of their current emergency response arrangements.

Staff and Members should have a general awareness of the Emergency Plan.

Service Directors (or equivalent) are responsible for ensuring that they have a sufficient number of appropriately trained staff to undertake their emergency response role. Deputies should be identified and trained.

Identified volunteer staff and those with specialist skills will also attend a range of new and refresher training each year.

Member training will also be made available (Initial training scheduled for June/July 2020)

Exercising Requirements

The Emergency Plan will be exercised at least annually.

The Council will continue to participate in multi-agency exercises to confirm its capability to respond to emergencies.

Appendix 13 – Information Management Systems

ResilienceDirect:

ResilienceDirect is the Government sponsored information management system created predominantly for multi-agency preparedness, but which is being continually developed for response. It is a secure (to OFFICIAL) website that is not reliant on the Council server. It is accessible from any computer, including tablets. Only those with User licences are able to use ResilienceDirect.

In the event of an emergency in the community, response pages can be set up. These can be set up by the Council, but are more likely to be set up by the Thames Valley Local Resilience Forum to support the multi-agency response. Users need to have access to the Thames Valley Local Resilience ResilienceDirect pages. The ResilienceDirect response page will be used to share Minutes of meetings, multi-agency reports, maps and other information, preventing the need for emailing. New information alerts can be sent by email, with associated document link.

There is a ResilienceDirect mapping capability which is used by the Civil Contingencies Unit.

MissionMode®:

MissionMode® is a commercial information management system accessible to licence holders using the Internet. It helps to share critical information across responding organisations, especially across multi-agency coordination centres, in real-time. There is also an alert notification system, allowing alerts to be sent via email, SMS, voice to individuals.

Everbridge / activation of Thames Valley Local Resilience Forum Emergency Response Arrangements:

The Thames Valley Local Resilience Forum has a capability to notify partners and activate teleconferences using the Everbridge system. Procedures for using this are covered in the Emergency Response Arrangements and are held by the Civil Contingencies Unit and on ResilienceDirect.

Appendix 14 - Response arrangements of the former Councils

Council Response Arrangements

Until the new structures are finalised, some elements of the local response to an emergency will need to continue to be facilitated by the former council's emergency response arrangements and co-ordinated by the former organisations emergency planning officers.

Former County Council Functions	Former District Councils Functions
<ul style="list-style-type: none"> • Road clearance / diversions • Transport for evacuees • Care for those with special needs • Welfare and psychological support • Decontamination of land and buildings • Temporary mortuary facilities • Recovery and restitution planning • Public information • Plant and labour 	<ul style="list-style-type: none"> • Emergency shelter / accommodation • Environmental health advice • Waste collection • Advice on dangerous structures • Public health burials • Public information • Plant and labour

To activate these responses contact will need to be made as follows:

Former Buckinghamshire County Council

<u>During office hours</u>	<u>Outside Work Hours (evenings and weekends)</u>
Duty Civil Contingencies Officer Via Thames Valley Fire Control Services ***** (Numbers available on secured copy)	Duty Civil Contingencies Officer Via Thames Valley Fire Control Services ***** (Numbers available on secured copy)

Former Aylesbury Vale District Council

<u>During office hours</u>	<u>Outside Work Hours (evenings and weekends)</u>
Community Safety Advisor (Emergency Planning Officer) ***** ***** (Numbers available on secured copy)	Standby Duty Officer ***** ***** (Numbers available on secured copy)

Former Chiltern and South Bucks Areas

<p><u>During office hours</u></p> <p>Emergency Planning Officers / BCM officers</p> <p>*****</p> <p>(Numbers available on secured copy)</p>	<p><u>Outside Work Hours (evenings and weekends)</u></p> <p>*****</p> <p>(Numbers available on secured copy)</p>
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Former Wycombe District Council

<p><u>During office hours</u></p> <p>Divisional Environmental Health Officer (Emergency Planning Officer)</p> <p>*****</p> <p>*****</p> <p>(Numbers available on secured copy)</p>	<p><u>Outside Work Hours (evenings and weekends)</u></p> <p>Divisional Environmental Health Officer (Emergency Planning Officer)</p> <p>*****</p> <p>(Numbers available on secured copy)</p>
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More detailed contact lists are held with the Emergency Response Arrangements of the former Councils.

Appendix 15 – Health and Safety

Health and Safety

Under the Management of Health and Safety at Work Regulations 1999 the Council has a duty to ensure that appropriate measures are in place in the event of serious and imminent danger. A duty of care is owed to all employees, contractors and volunteers to safeguard them from risks to their safety when deployed as part of the Council's emergency response.

Health and safety at work duties are especially pertinent to an emergency response, including risk assessments and provision of personal protective equipment (PPE). However, due to urgency and the rapidly changing nature of major emergencies, it is likely that more reliance will be placed upon dynamic risk assessment. Awareness of hazards and their potential to cause harm will need to be addressed by all levels of response.

It is important that managers and staff recognise when their limit of knowledge and understanding of potential hazards has been reached and they need to seek competent advice before proceeding with an activity.

Staff Welfare

Staff engaged in major emergency response may find the experience both physically and emotionally challenging. Exposure to traumatic events, or close contact with people who have just experienced or witnessed a traumatic event, can have negative impacts upon staff wellbeing, especially if appropriate safeguards are not put in place and followed.

Crisis management involving long working hours, often combined with intense activity demanding rapid decision making, is potentially stressful. Careful selection of staff for such roles and appropriate support can help to minimise this risk. Management awareness of those staff with personal links to individuals directly involved in the disaster or direct links to similar events in the past should also form part of the criteria for selection of personnel for particular roles.

Managing shift lengths and rotation of staff, structured breaks with adequate refreshments and opportunities to engage in informal discussion with colleagues away from the "front line" can also help to minimise potentially damaging stress.

When staff are working away from their office base, especially when deployed to a scene they must ensure their own personal safety and welfare and should not take any unnecessary risks.

Staff should be made aware of the Council's counselling service and Staff Care Services and how they can access it. Participation in training and exercising will better prepare staff to cope in an emergency.

Appendix 16 - Communications Team response

The communications response for the incident will be coordinated by the Communications Team who will liaise with Service areas, elected Members and external partners as appropriate.

In the event of a multi-agency emergency, the Thames Valley Local Resilience Forum Warning and Informing Group may form a Media Advice Cell, based on the Thames Valley Local Resilience Forum Communications Plan that will coordinate the response to the Media. The Communications Team will participate in any Media Advice Cell.

Specific responsibilities of the Communications Team include:

- Advising on the most appropriate warning and informing communication channels.
- Attending the Crisis Response Management Team to verify information and coordinate the media response (for example press statements, messages out through social media / call centre / help line as appropriate).
- Provision of information (e.g. FAQs) to the Customer Service Centre.
- Handling media enquiries, monitoring and reporting on subsequent coverage.
- In liaison with TVP and other stakeholders, selecting sites for potential media briefing centres and providing one or more media officers to work with other agencies' media staff.
- Advising senior managers and elected Members on the communications strategy for the incident, in particular the media strategy and related tactics.
- Arranging for suitable spokespeople to give interviews and attend press conferences where needed.
- Producing media releases and public information bulletins in conjunction with partner agencies.
- Keeping staff fully informed through agreed channels.
- In conjunction with Thames Valley Police, coordinate the media (and related) arrangements for VIP visits.

Appendix 17 – Finance & Procurement Team response

The Finance & Procurement Service will:

- Provide advice on all financial matters relating to the incident or emergency.
- Establish the necessary accounting procedures (including any emergency expenditure codes) to ensure that all costs are identified and correctly charged.
- In conjunction with the Principal Solicitor and Chief Executive, assist with the establishment and operation of a Disaster Appeal Fund, where appropriate.
- Prepare claims in connection with the Bellwin Scheme or similar procedure.
- Notify the authority's liability insurers of the incident and advise Business Units / Services on the accounting procedures required.
- Provide specific business advice on contract management, purchasing and distribution arrangements, as required and

Report for:	Shadow Executive
Meeting Date:	10th March 2020

Title of Report:	Abbey Barn Lane Realignment (ABLR) – Decision to Award NEC 4 Early Contractor Involvement (ECI) Contract
Shadow Portfolio Holder	Mark Shaw / Transportation
Responsible Officer	Ian McGowan/ Ian Thompson
Report Author Officer Contact:	Thomas Fitzpatrick 01296 387105, tfitzpatrick@buckscc.gov.uk
Recommendations:	Delegation of authority to the Head of Highways Infrastructure Projects to enter into a NEC4 Option C (Target Cost) contract with Galliford Try through the Midlands Highways Alliance Framework for the Abbey Barn Lane Realignment (ABLR). This will initially only be for Early Contractor Involvement.
Corporate Implications:	This report aligns with the Medium Term Financial Plan for the new Buckinghamshire Council.
Options: (If any)	<ol style="list-style-type: none"> 1. <u>Do nothing.</u> In this situation the scheme would not progress through the ECI process which would result in a negative impact to the programme, potential impact on cost and loss of scheme benefits. 2. <u>Procure the contract via a tender process.</u> Through its involvement with the Midlands Highways Alliance (MHA), the County Council has established relationships with the framework's contractors including Galliford Try as the preferred regional supplier. While a tender process would not prohibit ECI, a new contractual arrangement and relationship would potentially be short term and need to be established with the successful bidder. This would impact resources and programme, without any certainty around performance. The MHA framework has well developed Key Performance Indicators (KPIs) to ensure contractors deliver high quality schemes; ECI encourages this further still, whereas a tender exercise would take time and resources, require careful selection, potentially of a new supplier, unfamiliar with the scheme and how the Council works and could be a short term relationship. 3. <u>Recommended Option: MHA Procurement Strategy – Direct Award contract on the MHA framework, via the Regional Call-Off – This is the recommendation based</u>

	<p>on the established working relationships the Council has with the Regional Contractor (Galliford Try) as well as established collaborative working undertaken through the early phases of project design.</p> <p>4. Award Design & Build contract via the SCAPE Civils Framework. The works to be undertaken at Abbey Barn Lane are already developed with AECOM (also through the MHA) having undertaken the preliminary design input. The work is regarded as too far progressed with AECOM as designer and also of too low value to award using this route.</p>
Recommendation:	<p>It is recommended that Option 3, to enter into an NEC4 Option C (Target Cost) contract is taken forward by the Project Team.</p>

1. Purpose of Report

This paper seeks approval by the Shadow Executive to enter into a contract (Initially for Early Contractor Involvement (ECI)) for the purpose of delivering the ABLR Project.

2. Content of Report

2.1 Background

The requirement for the ABLR has arisen from Wycombe District Council's decision to release five strategic development sites in the High Wycombe area, ahead of the production of a new Wycombe District Local Plan (WDLP). Jacobs were requested to assess transport impacts and identify a package of measures to enable growth associated with the development sites to be accommodated.

Two significant development sites are proposed to come forward in the vicinity of Abbey Barn Lane as a result of this, and modelling indicates that in 2026, the number of vehicle movements on Abbey Barn Lane will increase significantly as a result of background traffic growth, as well as development traffic.

The study identified measures that would address the demand created by the development:

- Reconfigure and introduce a roundabout at the Kingsmead Road / Abbey Barn Lane Road Junction
- Upgrade and widen the bridge south of Kingsmead Road on Abbey Barn Lane
- Widen and improve Abbey Barn Lane for approximately 500m

Currently the highway has limited capacity with a section of single lane carriageway over the old railway bridge, with poor visibility and vehicles frequently meeting on the bridge. The current junction with Kingsmead Road and Abbey Barn Road is a T-Junction with a sharp change of vertical and horizontal alignment approaching the give way line with Kingsmead Road.

2.2 Key Milestones (Based on Current Programme)

- Planning Submission - December 2020
- Construction Start – February 2022
- Construction Completion – October 2023
- HIF Funding Deadline – March 2023*

*The current programme shows that the HIF funding will be spent prior to the construction completion date.

2.3. Narrative setting out the reasons for the decision

- 2.31. Before starting the contract process advice was obtained from both the BCC Procurement Team and Legal Service's. The Procurement Team is aware of the MHA Medium Scheme Framework 3 and confirms it is in compliance with the Public Contracts Regulations 2015 and required Council Regulations. The service area will follow the rules of the framework and shall manage the contract effectively. The contract shall be sealed due to the value and the service area will fully comply with BCC's Contract Standing Orders. This contract will be added to the Contract Management Application. Legal advice recommended that formal approval from Shadow Executive is required before entering into a full NEC4 contract for the following reason. The decision may be considered a key decision as set out in the Council's Constitution, Article 13, and paragraph 13.3
- 2.32. Buckinghamshire County Council is a member of the Midlands Highways Alliance (MHA). This provides access to a procurement route which is compliant with the Council's procurement obligations and is an opportunity to maximise the benefits of Early Contractor Involvement (ECI). The ABLR project will be undertaken alongside and using the same project management approach and design & construction teams as the SEALR and ELR projects, which were both model projects under the Midlands Highways Alliance Medium Schemes Framework 3 (MSF3) competitive framework tendering process. This gave early sight and exposure of these projects to the wider construction industry to price, evaluate and determine value engineering opportunities with a goal to maximise the benefits to the Council in terms of quality, value engineering, value for money and social value.
- 2.33. The MHA's evaluation of its MSF1 & MSF2 major projects over the last 9 years demonstrates a proven track record of efficiency savings when a chosen contractor assists in the scheme delivery through ECI. MSF1 & 2 generated ECI savings of £23M via an average of 36 weeks ECI across all projects with £3.9M of gain share and £1.0M procurements savings.

2.4 Early Contractor Involvement has the following key benefits:

- Potential to save time and money by ensuring all parties undertaken collaboration to achieve the best project outcomes
- Contribute to the design process using past experience.
- Build a better team-working ethic to take forward into construction of the scheme.
- Introduce innovations such as building materials and construction processes
- Advise on buildability, sequencing, and construction risk. For example how best to ensure good traffic management.
- Advise on the selection of specialist contractors.

- Spend more time developing a construction strategy, recruiting staff, identifying partners and work collaboratively with the Council.
- Help develop the cost plan and construction programme to provide better cost certainty at an earlier stage of development.
- Help develop the method of construction.

2.5 In choosing the ECI route, the Contractor, Consultant and Client are responsible for compiling the target cost. The Contractor is required to demonstrate competition in their rates by market testing material supplies and sub-contractor costs. The Contractor is also required to bring their best ideas from working on similar highway schemes in order to generate significant savings.

2.6 The Council proposes to use the Midlands Highway Alliance Medium Schemes Framework 3 (MSF3). It has confirmed that it is entitled to access the Framework. The Council must satisfy itself that the proposed Framework was set up in compliance with the Public Contracts Regulations 2015 and EU principles of transparency, equality, fairness and non-discrimination in accordance with Order 7.2 (Standing Orders relating to Contracts).

2.7 The Council must also comply with the requirements of the Framework Agreement with regard to any criteria for award of a contract under the Framework. Contracts entered into under the Framework are based on NEC 4 contract.

2.8 The costs of the ECI for the ABLR project are estimated to be £250,000. Under Order 7.2, the procurement of 'Works' contracts under the Council's Orders will be subject to the Supplies and Services EU tender threshold. Therefore, as the value of the ABLR project (for the initial Early Contractor Involvement (ECI)) is above £181,302, the award of the contract is to be authorised by an Executive Director and S151 Officer (Order 14.3).

2.9 The Call-Off Contract must be sealed for the Council to benefit from a 12 years limitation period for Court action in accordance with Order 15.3.

2.10 The Council's proposal is to enter into an NEC4 ECI contract pursuant to the Framework for the appointment of an early contractor involvement (ECI) under a two-stage NEC4 contract. The NEC4 Guidance on the ECI Clauses states:

2.11 The notice to proceed to Stage Two is only issued once all necessary steps have been completed. This includes getting external approvals and consents, determining any changes to the Budget and agreement of the Stage Two Prices. The Project Manager is not able to fix the Prices if they are not agreed – in that event the work does not proceed and an alternative contractor would need to be found. **In addition, the Employer has the right to decide not to proceed with the works for any reason.**

2.12 If Stage Two is not to proceed, the Project Manager issues an instruction removing the Stage Two work from the Works Information. The instruction is not a compensation event; the Contractor is paid for all the work carried out in Stage One but receives no additional payment for not proceeding with Stage Two.

2.13 If the reason for not proceeding is because the Prices have not been agreed, or the performance of the Contractor is below a standard specified in the Works Information, an

average score across the project KPIs of less than 7.5 (excluding the *Contractor* scored KPI) within the MHA toolkit KPIs, the Employer is free to replace the Contractor with another contractor to carry out the work. If the work does not proceed for other reasons – for example consents have not been obtained – the Employer may proceed with the works at a later stage with another contractor once consents have been obtained if the appropriate entries have been made in the Works Information.”

Therefore, the Council is not contractually bound to proceed with the Stage 2 works under the ECI clauses of NEC4.

Value for Money (VfM) Self-Assessment

The aim of this decision is to ensure that best value is achieved in the design and planning of this major infrastructure project. ECI is an industry recognised practice that offers potentially substantial savings in the delivery of major highways projects as set out previously.

3 Legal and Financial Implications

3.1 The legal implications are contained within the contract. Other legal matters related to the project will be managed through the appropriate channels (eg any CPO arrangements required).

3.2 The current budget for the scheme was approved by the Strategic Transport Infrastructure Board in September 2019.

3.3 In February 2018 Homes England announced that Wycombe District Council had successfully secured £7.5M of funding in principal towards the Abbey Barn Lane Realignment scheme. The remaining approximately £3.7M funding is made up of: £0.5M of LTB funding via the LEP and approximately £3.2M of S106 contributions (of which £2.5M is secured and further funding is under negotiation). This will give total funds approx. £11.2M.

The current budget for the scheme is set out in the table below:

HIF – Housing Infrastructure Fund via Homes England	£7,500,000
S106	£3,155,742
Local Transport Board Funding (through the Local Economic Partnership)	£525,737
OVERALL TOTAL BUDGET	£11,181,478

3.4 The current cost of the scheme is estimated at £11,181,478. These costs have been derived from pro-rata equivalent schemes, cost planning from Galliford Try and quotations received from AECOM for the design element. Further work is being undertaken on costs and given the significant risk associated with this project, these costs are likely to change. A report will be provided to the new authority setting this out once ground conditions are known and a preliminary design is complete. This is set out in more detail in Section 4 of this report.

Cost item	Value
Development costs including Design, Planning and Business Case	£756,977
Land Costs (including Legal Fees and potential Post Scheme Compensation Claims)	£1,142,625
Construction Cost (including Supervision & Utilities)	£6,088,876
Risk and Optimism Bias	£2,643,000
Internal Staff Costs	£550,000
Total	£11,181,478

3.5 The current profile of budget vs expenditure is set out below:

	2019/20	2020/21	2021/22	2022/23	2023/24	Future Years	Total
Estimated cost	526	943	4,629	4,558	214	220	11,181
Funding sources							
LTB	526	0	0	0	0		526
HIF		693	4,879	1,928			7,500
Developer funding*	-	250	-250	2,630	214	220	3,155
Total Funding	526	943	4,629	4,558	214	220	11,181

The above table illustrates the cost of the scheme against income. £7.5M of HIF funding has been confirmed. The remainder of the scheme will be funded through £0.526M LTB and S106 contributions. £2.5M of S106 has been confirmed and agreed with developers at Abbey Barn South Development. A further S106 contribution from Abbey Barn North is being negotiated.

4 Other Key Risks

4.1 Funding – Of the Approx. £3.2M S106 funding, £2.5M has been secured. Approx £0.7M has yet to be secured for this project and is dependent on Planning Approval for the Abbey Barn North development (seeking permission in approx. Dec 2020). There is the risk that this funding is not secured or secured to the same timescale as the project. However WDC have allowed for forward funding to mitigate this risk, and as such it is accounted for within the existing finance proposals of Buckinghamshire Council.

4.2 Ground Conditions / Potential Design Changes – if the earthworks require installation of structures, a change in alignment (based on earthworks / ground conditions, or environmental constraints), or if infiltration is not a viable surface water drainage solution then the project cost could increase. A Short Form Contract, approved by S151 officer, in line with the Spending Protocol, has been entered into, to enable Ground Investigation Surveys to be undertaken. This will enable the design alignment and suitable mitigation to be understood. The site topography is complex and a range of delivery options will be put forward. This could have substantial cost implications on the project. Further funding is being sought to cover this potential increase (such as increased S106 contribution from Abbey Barn Lane North). The results of the ground condition work are expected in April 2020.

4.3 HIF Timescales - The HIF Funding is conditional on the funding being spent by March 2023. The current programme shows complete delivery of the scheme in October 2023, and so the use of the HIF funding has been prioritised, and is expected to be fully used prior to March 2023. ECI will help inform the design and advise if the programme can be brought forward.

5 Dependencies

5.1 This paper only relates to release of contract which has no interdependencies at this stage. The decision to progress to construction is dependent on the outcome of the ground investigation work as, if this identifies very poor ground conditions costs could escalate above the funding available. Interdependencies of the whole project continue to be identified and managed by the Project Team.

6 Consultation

6.1 Local Members and Members of the Cabinet have been regularly updated on progress of the scheme.

Cllr Mark Shaw – Cabinet Member for Transportation has been informally briefed on the scheme, its issues and risks

Informal Consultation has occurred with Cllr Julia Wassall regarding the Ground Investigation surveys.

WDC are consulting with their Members appropriately

Public consultation will be developed and undertaken as part of the Preliminary Design Phase of this scheme with all affected parties to help develop the scheme proposal.

7 Equalities Implications

7.2 All public sector acquiring authorities are bound by the Public Sector Equality Duty as set out in section 149 of the Equality Act 2010.

7.3 An Equalities Impact Assessment is being discussed with WDC for this scheme. However at this stage it is not considered that any group with protected characteristics are adversely affected under the Equality Duty, further analysis will be undertaken when a construction programme is available.

8 Data Privacy Implications

8.1 Contracting bodies will conform with Data Protection requirements as per their framework contracts. Local Authority staff will operate using the centrally available guidance.

9 Next Steps

9.1 If awarded, work will proceed in developing the following stages of the project:

- Award of Contract for ECI works to Galliford Try under the regional call-off of the MHA Framework.
- Delivery of the already commissioned Planning Submission, Preliminary Design and Detailed Design via AECOM, also via the MHA Framework, with Galliford Try offering ECI including buildability support, programming and project estimation advice as set out in 2.34.

Report for:	Formal Shadow Executive
Meeting Date:	10th March 2020

Title of Report:	Adult Social Care Fee Uplift 2020/21
Shadow Portfolio Holder	Angela Macpherson
Responsible Officer	Elaina Quesada – Director Integrated Commissioning
Report Author Officer Contact:	Matilda Moss – Head of Integrated Commissioning mmoss@buckscc.gov.uk / 01296 387394)
Recommendations:	<ul style="list-style-type: none"> • It is recommended that option 2 be adopted: Uplift of up to 2% based on evidence of increased cost. Contractually required uplifts awarded to Heritage and Freemantle block contracts. • Utilisation of the following monies to meet fee uplift costs: <ul style="list-style-type: none"> ○ £1,142,000 earmarked for fee uplifts from the £9.5m demand growth monies ○ Up to £750,000 from the corporate contingency budget set aside to fund increases in the NLW ○ The balance from the additional £1m released to Adult Social Care from contingencies as part of the final approved budget.
Corporate Implications:	The decision on fee uplifts needs to be informed by consideration of a number of factors. This includes whether Adult Social Care is meeting its contractual obligations in relation to providers, Care Act obligations to take account of the costs of delivering care for providers and considerations of current pressures faced by our care and support market. There is a potential reputational and legal risk for Adult Social Care, which may impact on the Council more broadly, if due regard is not made to these considerations in taking the decision.
Options: (If any)	<ul style="list-style-type: none"> • Option 1: Universal uplift of between 1% and 2% across the adult care and support market. Contractually required uplifts awarded to Heritage and Freemantle block contracts. • Option 2 (recommended): Uplift of up to 2% on a case by cases basis, based on evidence of increased cost. Contractually required uplifts awarded to Heritage and Freemantle block contracts. • Option 3: Contractually required uplifts awarded to Heritage and Freemantle block contracts only. No further uplifts awarded.

Reason:	<p>The key advantages of option 2 are:</p> <ul style="list-style-type: none"> • Contractual and statutory commitments to providers will be met based on an assessment of evidence by each provider who chooses to submit a business case. • This approach takes account of the fact that providers are in different positions and will not all have been impacted in the same way by cost increases. • The business case approach supports transparency around provider costs, and the information provided could help commissioners and providers to continue to work together – for example on areas where further cost reductions may be an option. • This option allows us to try and develop the market in areas where our provision is not currently meeting need.

1. Purpose of Report

1.1 Ahead of a Key Decision, inform Formal Shadow Executive of the options and the recommendation for fee increases in 2020-21 for the providers of adult care and support services.

1.2 Formal Shadow Executive is asked to comment on and endorse the options and proposal for fee increases to care market providers in 2020-21, specifically:

- **It is recommended that option 2 be adopted: Uplift of up to 2% based on evidence of increased cost. Contractually required uplifts awarded to Heritage and Freemantle block contracts.**
- **Utilisation of the following monies to meet fee uplift costs:**
 - **£1,142,000 earmarked for fee uplifts from the £9.5m demand growth monies**
 - **Up to £750,000 from the corporate contingency budget set aside to fund increases in the NLW**
 - **The balance from the additional £1m released to Adult Social Care from contingencies as part of the final approved budget.**

There could be a potential further pressure of up to £600,000 for sleep-in night rate increases should the Supreme Court decides to support the Mencap case which will not be before July 2020. However it is recommended that this is recorded as a risk rather than provision being set aside from the growth budget at this time.

2. Executive Summary

2.1 Each year the Council considers, via a Cabinet Member Key Decision, whether to award a fee increase to adult care and support services. This decision needs to take account of a range of factors including contractual obligations to providers, the costs of delivering care for providers and considerations of current pressures faced by our care and support market.

- 2.2 In making the decision, we need to take account of contractual uplift requirements for our two block providers Freemantle and Heritage. Increases to the National Living Wage (NLW) from April 2020 are also noted. Overall, the decision needs to consider what represents **best value and affordability**, in the context of increasing demand, challenges about recruitment of the workforce, balanced against the risks of **financial sustainability** in the marketplace.
- 2.3 For 2020/21 3 options for fee uplifts are proposed:
- Option 1: Universal uplift of between 1% and 2% across the adult care and support market. Contractually required uplifts awarded to Heritage and Freemantle block contracts.
 - Option 2: Uplift of up to 2% on a case by cases basis, based on evidence of increased cost. Contractually required uplifts awarded to Heritage and Freemantle block contracts.
 - Option 3: Contractually required uplifts awarded to Heritage and Freemantle block contracts only. No further uplifts awarded.
- 2.4 Option 2 is recommended, with an uplift of up to 2% awarded based on evidence of need. The key reasons for this are that it:
- Contractual and statutory commitments to providers will be met based on an assessment of evidence by each provider who chooses to submit a business case.
 - This approach takes account of the fact that providers are in different positions and will not all have been impacted in the same way by cost increases.
 - The business case approach supports transparency around provider costs, and the information provided could help commissioners and providers to continue to work together – for example on areas where further cost reductions may be an option.
 - This option allows us to try and develop the market in areas where our provision is not currently meeting need.
- 2.5 It is recommended that a mix of monies is used to fund this fee uplift. This includes:
- £1,142,000 which was earmarked for fee uplifts from the £9.5m demand growth funding allocated to Adult Social Care
 - Up to £750,000 from the remaining £1,159,000 corporate NLW contingency budget
 - Any balance to be funded from the additional £1m released to Adult Social Care from contingencies as part of the final approved budget.

3. Background

- 3.1 In line with other local authorities, Buckinghamshire County Council considers on an annual basis what fee increases to offer providers of adult care and support services. This decision takes account of inflation and other pressures that may be faced within the market and helps ensure our provers can remain sustainable and willing to provide services to the Council. This decision sits in the context of evidenced continuing pressures and ongoing fragility of the care market nationally.
- 3.2 In making a decision, the Cabinet Member should include consideration of the following elements – these elements are not necessarily independent of each other.

- 3.3 **Contractual obligations** the Council has with its providers. Specifically, where we have block contracts for older people care home provision in place with providers, annual uplifts that are specified within contracts must to be awarded.
- 3.4 **Statutory changes in law:** Under the 2014 Care Act there is a statutory obligation for the Council to consider and take account of the costs of delivering care for providers. Although it is not the only issue, the biggest single matter remains the increase in the National Living Wage (NLW) from 1 April 2020 (see table 2 below).

Table 2: National Minimum and Living Wage increases from April 2020

Year	25 and over	21 to 24	18 to 20	Under 18	Apprentice
April 2019 (current rate)	£8.21	£7.70	£6.15	£4.35	£3.90
April 2020	£8.72	£8.20	£6.45	£4.55	£4.15
Percentage increase	6.2%	6.5%	4.9%	4.6%	6.4%

- 3.5 For the impact of NLW, the cost varies from provider to provider. Generally providers in Buckinghamshire already pay higher hourly rates than the NLW to be competitive in the labour market. However, domiciliary care, Direct Payments and sleeping nights are three areas that continue to be potentially affected in meeting NLW legislation.
- 3.6 On 13 February 2019, the Supreme Court granted Unison leave to appeal the Court of Appeal judgment on rates for sleep-in staff. The Supreme Court hearing will take place in February 2020, with a decision expected by July 2020. Dependent on the outcome, this could introduce an additional unfunded cost for all local authorities including Buckinghamshire. This relates to staff on sleep-in shifts who may have historically been paid flat rates for these shifts at below what would be the corresponding hourly NLW pay.
- 3.7 Other legislative factors cited by local providers as impacting costs include the increase to the auto-enrolment scheme for pensions, increased costs by CQC from 1st April 2019, and an increase in the Apprenticeship Levy.
- 3.8 **Recognition of costs due to inflationary pressures:** Inflationary pressures appear to have remained broadly static. The Consumer Prices Index (CPI) 12-month rate was 1.3% in December 2019, down from 1.5% in November 2019. However, nationally the continued process around Britain's exit from the EU means considerable uncertainty remains in relation to businesses economic performance. This includes the potential for far-reaching impact on workforce supply, delivery of care services and costs of consumables.
- 3.9 What represents **best value and affordability**, in the context of ongoing increasing demand, challenges about recruitment of the workforce, balanced against the risks of **financial sustainability** in the marketplace. Fee uplifts requested from across the local market for 2019/20 ranged from 2% through to 41%, with average requests around 4%. There is not much conclusive evidence of a failing market in Buckinghamshire at this time though there have been challenges. Generally, some providers have reported that ongoing recruitment challenges are causing cost pressures – for example where posts need to be advertised at a higher rate to enable successful recruitment.

- 3.10 For 2019-20 our SE regional ADASS Commissioning Group colleagues indicated that other Councils in the area were seeking fee uplifts, with percentages varying between 1-6%. For 2020-21 the position is likely to be similar, with uplifts applied either using a blanket approach or on a case by case basis.
- 3.11 When considering figures from other areas, it should be noted that local authorities do not all have the same starting point for fee uplifts or particular demands and comparisons should be viewed in that context.

4. Options Appraisal

- 4.1 We have developed three options and are recommending option 2 (an uplift of up to 2% based on evidence of increased cost) for the Key Decision.

Option 1: Universal uplift

- 4.2 This option is to pay a universal uplift of between 1% and 2% on the whole contract value, in recognition of increased costs to the sector and to support financial stability in the market. This blanket uplift would be inclusive of any increased costs through inflation or legislative changes such as increases to the National Living Wage.

4.3 Benefits:

- Would support financial stability in the market
- Would address the growing challenge that a standard 0% uplift has been in place for the vast majority of providers for the last 4 years
- Would support our ability to work effectively and collaboratively with providers to further develop the market in line with the ambitions set out in the Better Lives Strategy
- Would be straight forward to implement
- Does not require providers to spend time on submitting business cases and supporting evidence
- Contractual and statutory commitments to providers will be met

4.4 Disadvantages:

- A blanket approach does not allow us to recognise that not all providers will have been impacted by cost increases in the same way, or that increased costs will not have impacted across all elements of the contract.
- This approach does not give us any opportunity to stimulate or develop the market to offer particular models of care, improved quality or in areas of the county where provision does not currently meet need

Option 2: Uplift based on evidence of increased cost

- 4.5 Under this option, for the Heritage and Fremantle **block contracts**, the uplifts within contracts would continue be applied as outlined in the confidential appendix.
- 4.6 This option would adopt a zero % fee uplift in principle for all other commissioned care and support provision. However, an uplift of up to 2% would be available on a case by case basis, based on evidence of need.

- 4.7 The following factors could be considered in reviewing whether an uplift is awarded:
- Whilst we have had a standard 0% uplift for at least 4 years, providers who have predominantly provided care and support under spot contracts with a high degree of turnover have had other ways of leveraging price increases. For example where packages of care are put in place for new service users at a higher spot rate than for existing service users. This option would allow us to consider uplifts for providers who have been in a position where they have not been able to lever this type of fee increase. This includes the 4 additional block providers we have in addition to Fremantle and Heritage but on production of evidence, could also include providers who have offered placements for a number of years for a static group of service users.
 - We have three preferred domiciliary care providers (Westminster Care, Prime Care and All Care). For areas where these providers continue to operate under contract, this option would allow us to consider where these providers are supporting our most complex service users and maintaining them in their family homes.
 - Whether the provider is operating in an area of the market where there are known gaps or challenges in meeting need.
 - Impacts on the cost of care as a result of legislative changes.
- 4.8 Based on evidence supplied, the uplift could be applied across the whole contract value, or only across those elements of the contract where there is evidence of increased need.
- 4.9 If providers request to be considered for this uplift, they will be asked to submit a business case with supporting evidence. The evidence would be reviewed by a panel, with an uplift awarded on a case by case basis to individual providers based on an evaluation of the information and evidence submitted.
- 4.10 The business case will consider factors including:
- Current fee schedule and proposed increase
 - Provider profit margin
 - History of previous fee uplifts
 - Efficiency measures already taken and planned
 - Existing or opportunities to implement new models of care or for discount arrangements
 - Value for money and outcomes achieved for service users
- 4.11 For **direct payments** an increase would be awarded based on sector averages derived from spot contract business cases. The key sectors for direct payments are as follows.
- Domiciliary care agencies
 - Employed personal assistants
 - Self-employed personal assistants
 - Community opportunity providers
- 4.12 This option allows for a maximum 2% uplift across the whole market meaning the maximum cost impact would be in line with the 2% uplift option outlined under option 1. However, in practice because this is not a blanket award, but is based on individual evidence, the cost impact would be less than this.
- 4.13 **Benefits:**

- Contractual and statutory commitments to providers will be met based on an assessment of evidence by each provider who chooses to submit a business case.
- This approach takes account of the fact that providers are in different positions and will not all have been impacted in the same way by cost increases.
- The business case approach supports transparency around provider costs, and the information provided could help commissioners and providers to continue to work together – for example on areas where further cost reductions may be an option.
- This option allows us to try and develop the market in areas where our provision is not currently meeting need.

4.14 **Disadvantages**

- Asking all providers to complete and submit a business case and evaluating these is a much more time consuming process for both commissioners and providers.
- Where providers are unhappy with the outcome of the process, managing disputes can be time consuming for both commissioners and providers. Such disputes can also put pressure on commissioner / provider relationships at a time where we are seeking to work more collaboratively providers to transform the market and ensure we can provide the right care and support for our residents.
- The lack of a blanket approach means some providers will not receive any uplift. This may be challenging given the fragility of the market overall and the lack of an uplift for the majority of providers for the last 4 years. The associated risk is that some providers may service notice on current placements, putting additional pressure across the rest of the market.
- Despite the provision of a standard business case template, the 2019/20 fee uplift process demonstrated that providers will present information in varied ways. This can make it difficult for commissioners to compare responses across providers and undertake a consistent evaluation.
- For direct payments, there will need to be clear planning and communication to ensure clients understand the fee uplift process and pass on any uplift to relevant providers.

Option 3: Meet contractual obligations only

- 4.15 This option is only to award an uplift where we have a contractual obligation. This would mean only awarding an uplift for block contracted providers as outlined in the confidential appendix. There would be no uplifts on spot contracts or for direct payments.

4.16 **Benefits:**

- This option would be straight forward and quick for commissioning to implement.
- This option puts less pressure on Council budgets compared to options 1 and 2.

4.17 **Disadvantages:**

- Our ability to meet statutory commitments to providers may be challenged if providers can evidence they have increased costs based on legislative changes. This risk is mitigated to an extent by evidence that within Buckinghamshire the majority of providers already pay above the NLW.
- In the context of 0% fee uplifts having been awarded for the last 4 years, this option will not be well received by the market. It is likely to impact on our relationship with providers at a time where we are seeking to work collaboratively to transform the market to ensure we can provide the right care and support for our residents in line with the Better Lives Strategy.
- Some providers may service notice on current placements, putting additional pressure across the rest of the market.

- Commissioners are likely to have to spend significant amount of time responding to challenges or disputes from providers over fee uplifts and this will impact on business as usual activity.

5. Financial Implications

5.1 The financial implications for each option are set out in the main body of the report.

5.2 For 2019/20 the corporate NLW contingency budget and Growth Fund were used to fund free increases. For 2020/21 it is recommended that a mix of NLW contingency budget and other monies are used to fund the uplift as follows:

- **£1,142,000 from the £9.5m demand growth:** £9.5 million (originally 5.3m for growth but topped up to 9.5m through ASC precept) is available to CHASC to support demographic growth. It is recognised that there is demand on this contingency budget in terms of meeting the obligations of current year growth carried forward, as well as the additional growth forecast for 2020/21. However, when the original £5.3m was set aside, 0.9% was included for fee uplifts which amounts to £1,142,000.
- **Up to £750,000 from the corporate NLW contingency budget:** £1,159,000 is the total amount that is still available in this budget for use across the whole Council. It is therefore proposed that up to £750,000 could be taken to support the adult care and support fee uplifts to ensure there are remaining funds to meet demands across the remainder of the authority.
- **Any balance from the £1m additional contingency released for Adult Social Care as part of the final approved budget.**

5.3 This would provide a total of £1,892,000 from across the demand growth budget and NLW budget. It would provide a maximum available budget of £2,892,000 when the £1m contingency is also taken into account. Whilst the maximum cost of implementing option 2 would be £3,052,780 this would be based on every provider being awarded the maximum 2% uplift across the whole contract. As uplifts will be awarded on a case by case basis upon production of sufficient evidence, and will not necessarily be awarded across the whole contract value, in practice the total cost of option 2 will be less than £3,052,780. It is difficult to predict the number of providers who will chose to submit a business case, and from those the number that will be able to provide evidence of increased cost. However, based on the outcome of the fee uplift process for the current financial year, we would expect option 2 could be managed within a budget of £1,892,000. However, any costs over and above this would need to be met from the additional £1m contingencies released to Adult Social Care but with a maximum cost not exceeding £2,892,000,

6. Legal Implications

6.1 Section 3 sets out the legal context for this decision, both in terms of contractual obligations to providers, and our duties under the Care Act 2014.

7. Other Key Risks

7.1 As outlined in the main body of the report.

8. Dependencies

8.1 No dependencies.

9. Consultation

9.1 Not applicable.

10. Communications Plan

10.1 Not applicable.

11. Equalities Implications

11.1 An Equalities Impact Assessment is not required.

12. Data Implications

12.1 A Data Protection Impact Assessment is not required.

13. Next Steps

13.1 Following endorsement from CIG, this paper will go forward for a Key Decision in March 2020.

Background Papers	It is a legal requirement to make available background papers relied upon to prepare a report and should be listed at the end of the report (copies of background papers for executive decisions must be provided to Democratic Services). Hyperlinks to papers published online should be used where possible. Where there are no background papers, insert None.
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Report for:	Shadow Executive
Meeting Date:	10 March 2020

Title of Report:	Buckinghamshire Unitary Council Programme Update
Shadow Portfolio Holder	Councillor Martin Tett
Responsible Officer	Rachael Shimmin, Interim Head of Paid Service, Chief Executive Buckinghamshire Council, Chief Executive Buckinghamshire County Council
Report Author Officer Contact:	Roger Goodes, Programme Manager 01296 674486; rgoodes@buckscc.gov.uk
Recommendations:	That the update is noted
Corporate Implications:	n/a
Options: (If any)	n/a
Reason:	This report provides an update on the progress made with the programme to establish the new unitary council for Buckinghamshire.

Introduction

1. This report provides an update on the progress made with the programme to establish the new unitary council for Buckinghamshire.

Overview

2. Last month saw a major milestone in the programme when the Shadow Authority met to consider the budget and constitution for the new council. Both of these documents were agreed.
3. The Shadow Executive had previously agreed these when it met on 18 February. In agreeing the budget the Shadow Executive considered the feedback from the Overview and Scrutiny meetings held in January when they reviewed the proposed budget.
4. The Shadow Executive have also confirmed their support for the funding for Voluntary and Community Groups that the five existing councils had agreed for the next two years, recognising the important role played by these groups in helping the residents of Buckinghamshire. Other policies agreed by the Shadow Executive include a

number which provide support for residents and businesses with council tax and business rates, a revised approach to housing enforcement to protect vulnerable tenants and for the provision of housing adaptation grants and strategies on providing support for learning disabilities and mental health.

5. With just over 3 weeks to go to the launch of the new council, the Unitary programme remains on track to deliver the critical changes required for a smooth transition into the new council. In these final weeks the focus of the programme has turned to the many practical things that need to be in place for 1 April, ensuring there is clarity where changes are being introduced and reassurance where things remain unchanged.

Members

6. At the Shadow Authority on 27 February, Members agreed the budget and new constitution for the new council. This was a major milestone in the creation of Buckinghamshire Council. The meeting also agreed council tax levels, fees and charges, member allowances and the calendar of meetings for the new council.
7. At the Shadow Executive meeting held on 28 January, a number of decisions were made which focussed on how the new council will help its vulnerable residents. These included how Discretionary Housing Payments would be allocated, support for residents on War Disablement and War Widows' Pensions and support with Business Rates.
8. At the same meeting, members approved a new policy for housing enforcement which looks at the enforcement of private sector housing standards and licensing of houses in multiple occupation (HMOs) together with associated fees. They also approved a common housing grant (Housing Improvement and Adaptations) policy to ensure that wherever applicants live, there is parity in terms of the available grant assistance, and assistance is targeted to maximise preventative actions.
9. Members also agreed new strategies on providing support for residents with learning disabilities and those affected by mental health problems. Both identified the importance of working together with our partners to address need, build resilience within the community and ensure people can access the right support when needed.
10. At the meeting of the Shadow Executive on 18 February, members considered two of the significant milestones within the programme to create the new council: the new council's budget and constitution. At the meeting they received the feedback from Overview and Scrutiny following their review of the budget held in January. The final budget agreed by the Executive included a number of the changes proposed by the Overview and Scrutiny Committee. Members of the Shadow Executive also thanked the members of Scrutiny for the thoroughness of this review and the value this has added to the final budget proposal.
11. Members also considered the final draft of the constitution which will form the basis of governance for the new council. This has been developed from the existing council constitutions together with current best practice for a modern unitary council. It also reflects a significant amount of work from both members and officers which the Shadow Executive recognised when considering the final draft. This also went forward to the Shadow Authority meeting.

12. At the same Shadow Executive meeting members recognised the important work of the voluntary and community sector and, as seen in the strategies referred to above, how collaborative working is critical given one organisation cannot solve complex problems alone.
13. Members confirmed their support for the continuation of the predecessor councils' multi-year funding arrangements. They also agreed that a review of these arrangements should be undertaken during this period to review how the funding is distributed across the county.
14. The Overview and Scrutiny Committee also met in February and reviewed the progress of the unitary programme together with the work of the scrutiny task and finish groups.

Organisational Structure

15. Following the appointment of the Service Directors in December, there has been a considerable amount of work undertaken to align staff of the existing councils to the new services. As a result of this work, all staff members have now received confirmation of the Service Director to whom they will report.
16. Following this, Service Directors are hosting meetings for their staff to meet them and understand more about the priorities for their service over the coming months.
17. Ian Thompson, the Corporate Director for Planning Growth and Sustainability, started on 25 January. Ian was the last director appointed to the new council to start.

Progress

18. With just over 3 weeks left until the new council is launched, progress on the unitary programme continues to proceed well without any significant issues or concerns. In no small part this is down to the continued hard work of the many hundreds of staff from across the five councils working on the programme, as well as the support from members and partners.
19. Of the 115 critical deliverables or 'must haves' identified across the programme, at the end of February we have completed 45. There are 44 'must haves' due to be delivered in March, including 7 which have been delayed from February. In addition 26 'must haves' are scheduled for delivery after 1 April, which in part reflects the date of the election.
20. Overall there are just 12 of the remaining 70 'must haves', which are to be delivered, rated as Amber. However, all have mitigating actions and therefore remain on track to be delivered.
21. The programme risk register also reflects the status of the programme with no new risks identified and a number of the existing ones removed as we approach 1 April.
22. The focus of the programme is now on reviewing the practical arrangements for day 1 and identifying any risks to the smooth transition from the old councils to the new. A number of Service Directors are running 'day 1' workshops with their teams to identify and iron out any of these risks and all Directors are producing service plans. These

will map out the operational arrangements for their service areas from day 1, and in particular details of how the changes will affect current ways of working.

23. One of the critical areas for a successful launch of the new council is the 17 new Council Access Points. We have therefore asked our critical friend Ameo to carry out a review of our preparedness for 1 April. They have worked through a number of customer scenarios, talking to a range of staff and reviewing documentation and training plans. This review has not highlighted any major issues and subject to the training plans being delivered together with the other support arrangements we are putting in place, they found no fundamental problems with any one of the scenarios.
24. They also remarked from the conversations with staff that there is a very positive attitude about the launch of the new council and a can do attitude about making the experience as positive as possible for customers.
25. We are also working on a day 1 'response' plan so if there are issues in the early days of the new council we are able to deal with these immediately. This will include key staff 'floor walking' within all of the council office locations to deal with issues, in addition to telephone help desks and senior officers physically present in each location.

Communications

26. The external campaign running up to April to raise awareness of the new council has begun, using this theme:



27. Our new social media accounts are now live, posting updates including the first of a series of videos to reassure residents about continuity of services. Posters and adverts will start to appear from next week across the new council area and leaflets will be sent out in March to every household with council tax bills and to businesses through the business rates mailout. Articles are planned in the current councils' resident communications, as well as community magazines, and resources are being provided to town and parish councils and other partners to help spread the word.
28. The last of the current round of staff roadshows took place on 26 February, and throughout March we are running a series of drop in sessions across the council office locations where staff can get answers to any queries they have and to find out about support and training.

29. A new intranet is being developed to go live by day 1 for members and staff, which will provide key information for example on HR and finance policies.

Summary/Conclusions

30. We continue to remain confident that we are on track for April.

31. The hard work of staff and the support of members has ensured we are in a strong position and the assurance from our critical friend has provided additional reassurance that the plans we have put in place will ensure we launch the new council successfully on 1 April 2020.

Background Papers	None
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