Meeting: West Northamptonshire Shadow Executive

Date: 23 March 2021

Time: 6:00 pm

Venue: Virtual meeting via Zoom

The meeting will be available for the public to view here:
https://www.youtube.com/channel/UCujrRO-y6RzkN6zPQ-xNAtA

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Item	Subject	Key Decision?	Responsible Officer	Page no.
01	Apologies for non-attendance			-
02	Notification of requests to address the meeting.			-
03	Members' Declarations of Interest			-
04	Minutes of the Meeting held on 12th February 2021			7-18
05	Announcements			-
Items requiring a decision				
06	Director of Transformation's Programme Update	No	Jane Carr	19-35
07	Programme Change Requests (TBC) • NSport	No	Programme leads	37-42
08	West Northamptonshire Policy Adoption • Draft Waste Management Policy • Enforcement Policy • Private Sector Housing Enforcement Policy • Private Sector Housing Assistance Policy • Housing Allocations Policy (position statement)	Yes	Various	Separate Document
09	Emergency/Critical Incident Plan	No	Kerry Purnell	43-69
10	Business Continuity Management Policy and Strategy	No	Kerry Purnell	71-96
11	Inter-Authority Agreements	Yes	Cath Whitehead	Pack 2

12	Council-Owned Companies	Yes	Cath Whitehead	Pack 2
13	Children's Trust Business Plan	Yes	Cathi Hadley	Pack 2
14	Equalities, Diversity and Inclusion Framework	No	Andrew Hunkin	Pack 2
15	Northampton Town Council	No	Anna Earnshaw	Pack 2
16	Northampton Borough Council: Report in the public interest regarding the Council's loans to Northampton Town Football Club	No	George Candler	Pack 2
17	West Northamptonshire Council Constitution - Update	No	Cath Whitehead	Pack 2
20	Children's Trust Arrangements	No	Cath Whitehead	Pack 2
Matters that Stand Referred from the Shadow Authority				
18	Motion submitted by Councillor Wendy Randall This Shadow Authority commends to the West Northants Council that they develop an anti-poverty strategy that is worked through all service areas. This will include the recommendations from the Food Poverty working group passed at the NBC Cabinet meeting. The strategy will seek to ameliorate the poverty experienced by residents of West Northants. It will seek to support people out of poverty. It will seek to prevent the slide into poverty. Crucial to this will be the development of the authority as a Living Wage Foundation Living Wage Authority, including Living Wage Foundation accreditation. Also crucial to this will be access to benefits and debt advice. In the recent past this service has levered in an additional £7 million for Northamptonshire residents. All service heads will be required to produce an anti-poverty strategy for their area of work, to be incorporated into an authority wide strategy, and reported on annually.	No		
19	Motion submitted by Councillor Anjona Roy The Council resolves to: 1. Set up a working group within the council to develop further understanding of the council's role around food supply, resilience and insecurity. This will include, but is not limited to: (i) ensuring all children entitled to them, receive food vouchers in school holidays, and have their families receive them in a timely manner. (ii) supporting the development of a local Food Partnership using the Sustainable Food	No		

	Places approach to strengthen food resilience in the authority; and
	
	(iii) developing a food resilience strategy and food action plan for West Northamptonshire
	
	2. Ask Scrutiny to map the extent of food insecurity in West Northamptonshire.
	
	3. Continue to work with Northampton MPs to encourage Government to:
	  (i) Support our local economy and local food production and suppliers to protect workers jobs so that food supplies are sustained throughout the pandemic;
	  (ii) Ensure resilience of our food supply chains.
	  (iii) Support food-based initiatives that reduce health inequalities and food insecurity.
	  (iv) Commit to legislate the existing commitment to the UN Sustainable Development Goals to end hunger by 2030;
	  (v) Commit funding in the next spending review for the five Sustain policies to protect children's health and increase access to nutritious food that is culturally appropriate within the National Food Strategy;
	  (vi) Increase Universal Credit so people can buy enough food.			

Exempt Items				
20	Children's Trust Arrangements – Appendix 3	No	Cath Whitehead	
Urgent Items				
21	None notified.			-
	Catherine Whitehead, Proper Officer **Date issued: 15th March 2020**			

What is the Shadow Executive?

In accordance with Government legislation, the West Northants Shadow Authority has a Shadow Executive (executive committee). The Shadow Executive is responsible for taking many of the decisions required to establish the new authority by April 2021.

Who are the members of the Shadow Executive?

The Shadow Executive is made up of two representatives from each of the current councils, consisting of the Leader plus another Councillor.

Councillor	Authority
Councillor Ian McCord (Leader)	South Northamptonshire Council
Councillor Jonathan Nunn (Deputy Leader)	Northampton Borough Council
Councillor Richard Auger	Daventry District Council
Councillor Elizabeth Bowen	Northamptonshire County Council
Councillor Rebecca Breese	South Northamptonshire Council
Councillor Adam Brown	Daventry District Council
Councillor Matt Golby	Northamptonshire County Council
Councillor Phil Larratt	Northampton Borough Council

When does the Shadow Executive meet?

The Shadow Executive usually meets on a monthly basis, but it may meet more frequently if required. Meetings take place on Tuesdays at 6pm as follows:

- Tuesday 5 January 2021
- Tuesday 26 January 2021
- Tuesday 12 February 2021
- Tuesday 23 March 2021

The venue will be confirmed when the papers for a particular meeting are published, but at the moment meetings are takin place virtually. Members of the public who wish to view the meeting can do so via the West Northamptonshire Democratic Services YouTube Channel here: https://www.youtube.com/channel/UCujrRO-y6RzkN6zPQ-xNAtA

How do I find out about what is being discussed at future meetings?
The agenda and reports for all meetings are published 5 working days in advance and can be downloaded here:

https://cmis.northamptonshire.gov.uk/cmis5live/WestNorthamptonshireShadowAuthority.aspx

Can I participate in meetings?
Shadow Executive meetings are normally held in public. At present, members of the public may watch the proceedings via YouTube (see link above) in place of attending meetings in person. Members of the public who live or work in the area of the Shadow Authority may request to make a statement on any item on the public part of the agenda. Any person who wishes to make such a statement must submit their statement to the Monitoring Officer, via Democratic Services, at least 24 hours before the start of the meeting.

Declarations of Interest

Shadow Councillors are reminded that the Code of Conduct contains provisions relating to the declaration of interests. Please refer to the Code of Conduct for a fuller description of what constitutes an interest. Shadow Councillors are reminded of the seriousness of failing to declare an interest. Shadow Councillors are reminded that if they have a Discloseable Pecuniary Interest or a significant Non-Statutory Discloseable Interest in a matter to be discussed, whether registered or not, they must not take part in the debate or vote on that matter and should remove themselves from the meeting room irrespective of whether they are a member of the committee.

Members are reminded that under the Code of Conduct, they need only declare the existence of an interest if that interest is not already listed in their register of interests. When declaring an interest at a meeting, councillors are asked to state:
- The item number in which they have an interest;
- The nature of the interest; and
- Whether the interest is a Discloseable Pecuniary Interest or Non-statutory Disclosable Interest.

It is the responsibility of individual Shadow Councillors to decide whether any of these provisions apply in particular circumstances, but Shadow Councillors may wish to seek the advice of the Interim Monitoring Officer before the meeting.

Notice of items on this agenda which may be held in private

At times it is necessary for the Shadow Authority to give consideration to items where the public must be excluded from the meeting. Members of the public may be excluded from meetings whenever it is likely that confidential or exempt information would be disclosed. This includes exclusion from access to any pertinent documents. Details of the exemption categories can be found in the Access to Information Procedure Rules section in the Constitution.

The table below lists any items which may be considered in private at this meeting, the reason for holding the meeting or part of the meeting in private, any representations made to the Council regarding why the meeting should be held in public along with the Council's response to these representations.

Details of any items of this agenda which may be held in private			
Decision making body:	Shadow Executive		
Date & Time of meeting:	None		
Item in respect of which the meeting or part of the meeting may be held in private	Reason for holding the meeting or part of the meeting may be held in private	Details of any representations made to the Council regarding why the meeting should be held in public	Details of the Council's response to the representations
None	N/A	None	N/A

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West Northamptonshire Shadow Executive

12 February 2021

Shadow Executive Members Present:

Richard Auger	Matt Golby
Lizzy Bowen	Phil Larratt
Rebecca Breese	Ian McCord (Chair)
Adam Brown	Jonathan Nunn

Other Shadow Authority Members Present:

Fiona Baker	Peter Matten
Malcolm Longley	

Officers Present:

Joanne Barrett	Assistant Director of Wellbeing, South Northants Council
George Candler	Chief Executive, Northampton Borough Council
Jane Carr	Transformation Director, West Northamptonshire Shadow Authority
Martin Cox	Programme Lead, Corporate Programme, Future Northants
Anna Earnshaw	Chief Executive, West Northamptonshire Council
Richard Ellis	Chief Executive, South Northants Council
Belinda Green	Operations Director, CSN Resources
Cathi Hadley	Shared Director of Children's Services and Statutory DCS, North & West Northamptonshire Shadow Authorities
Martin Henry	Chief Finance Officer, West Northamptonshire Council
Andrew Hunkin	Legal and Democratic Lead, Future Northants
Stuart Lackenby	Executive Director for Adults, Communities and Wellbeing, West Northamptonshire Council
Maisie McInnes	Democratic Services Officer, Northampton Borough Council
Alex Melia	Democratic Services Officer, West Northamptonshire Shadow Authority (Minutes)
Rebecca Peck	Assistant Chief Executive, West Northamptonshire Council
Tracy Tiff	Democratic and Member Services Manager, Northampton Borough Council
Fiona Unett	Head of Waste Management, Northamptonshire County Council
Ian Vincent	Chief Executive, Daventry District Council
Catherine Whitehead	Monitoring Officer, West Northamptonshire Council

1. APOLOGIES FOR NON-ATTENDANCE:

None received.

2. NOTIFICATION OF REQUESTS TO ADDRESS THE MEETING:

None received.

3. DECLARATIONS OF INTEREST:

None received.

4. MINUTES OF THE MEETING HELD ON 26 JANUARY 2021

RESOLVED: That the Shadow Executive approved the minutes of the meeting held on 26 January 2021 as a true and accurate record.

5. ANNOUNCEMENTS

There were none.

6. TRANSFORMATION DIRECTORS UPDATE

The Transformation Director, West Northamptonshire Shadow Authority, introduced the report and highlighted the salient points:

- There is some risk regarding inter-authority arrangements, which will result in certain aspects being prioritised if considered as a critical deliverable. The risks concern data-sharing between the North and West authorities but mitigation for these issues is in place.
- There are a number of risks emerging within the IT programme. It was noted that this is not unusual for a programme of this size at this stage. One of the main risk areas concerns outdated equipment, which will be replaced by the end of March 2021.
- There has been a delay in the rollout of MS365 at Northamptonshire County Council, which is now being worked through in batches.
- It was noted that in some cases specialist skills are required to help finish the IT programme. This is being mitigated through a framework agreement which is now in place.
- There has been little movement with the Finance section of the programme.
- In response to a question, the Chief Finance Officer, West Northamptonshire Council, confirmed that there has been an underspend of £271,000, with a £1.1million delay on the delivery of savings. It was noted that, as previously reported, these savings have been profiled differently and will be achieved in future years.
- The main risk associated with Day 1 Critical Products concerns the disaggregation of NCC systems and subsequent GDPR breaches. The Monitoring Officers of both North and West Northamptonshire Councils, alongside the Information Commissioner's Office (ICO) are overseeing this area.
- It was noted that the ICO has determined that this risk is no different to the current situation and is therefore not an expanding risk for the programme.
- The authority and hosted service agreements required further legal capacity, which has now been brought in. These agreements may not all be in place by day one and therefore the highest risk areas will be prioritised.

There were no recommendations associated with this report.

7. BUDGET 2021-22 AND MEDIUM-TERM FINANCIAL PLAN – GENERAL FUND REVENUE AND CAPITAL

Councillor Rebecca Breese introduced the report and highlighted the salient points:

- The report contains the first budget and medium-term financial plan for the new West Northamptonshire Council, and Councillor Breese emphasised the challenging circumstances in which this budget has been developed.
- It was noted that since the budget was initially presented to the Shadow Executive, there have been some technical changes which are listed at Appendix C, but the net position remains the same.
- Core council tax has been proposed at 1.99%, in line with government thresholds, with an additional 3% adult social care precept proposed.
- As a result of consultation responses, there has been a proposed reduction in the maximum bill payable by low-income households from 26.5% to 20%. For most qualifying household claimants in West Northamptonshire, this will equate to a 33% reduction in annual bills.
- Councillor Breese noted that there will still be hardship for some residents and proposed an additional recommendation: to create a discretionary Council Tax Hardship Fund, amounting to £425,000, that residents will be able to apply for in 2021/22.
- A further recommendation was proposed by Councillor Breese: establishing a Care Leavers Support Package of £75,000 to provide additional Council Tax support to cared-for children between the ages of 18-25, to be implemented in 2021-22 and forming part of the base budget thereafter.
- The cost of these additional proposals will total £500,000 and will be funded from General Fund Reserves from 2021/22.

Members of the Shadow Executive commented as follows:

- Councillor Adam Brown highlighted the principles underpinning the budget, with particular reference to fiscal responsibility. Councillor Brown also noted the additional measures designed to help the most vulnerable residents.
- Councillor Matt Golby wished to recognise the volume of work put in to creating the budget and welcomed the extra recommendations.

Other Shadow Authority Members commented as follows:

Councillor Fiona Baker highlighted the additional recommendation for a Care Leavers Support Package and commended the Shadow Executive for including these measures within the budget.

The Chair thanked all Members and officers that helped in developing the budget. The additional support for low-income households was highlighted, and the Chair noted that 80% will either see a benefit or remain equal as a result of the additional recommendations.

The Shadow Executive received questions from the public. The following questions were submitted by Alan Knape:

1) *The budget made available to public only had very broad headings and was difficult to understand, I am an accountant and struggled so I don't know what people who don't have a financial background would have made of it.*

- Councillor Breese noted the volume of work involved in the budget and cited the complexity of local government finances as a reason for the complexity of the budget itself.

2) *The shadow executive seems to be very proud but that they have put forward a balanced budget but this is a legal minimum required. Do the residents of West*

Northamptonshire, who have suffered from many years of mismanagement of the County Council, not deserve a budget with more aspiration for improvement?

- Councillor Breese noted that NCC is now a solvent council following the election of a new Executive committee in 2017, and that finances within the authority have been improved. The impact of Covid-19 on resources and budget was highlighted, with Councillor Breese noting that this is a balanced budget with no reduction in service delivery.

3) The 'budget consultation' was on very limited items on the budget and the answers you could give were very limited. Did you really want any constructive feedback from stakeholders or was it just a box ticking exercise?

- Councillor Breese noted that there were 457 responses to the budget consultation, with the opportunity for all respondents to leave feedback. It was suggested that the limited number of questions on service proposals is due to these services being protected by the budget. Councillor Breese also emphasised that the majority of respondents were supportive of the proposals.

The recommendation was proposed and seconded. Upon the vote being taken it was:

RESOLVED: That the Shadow Executive:

a) Recommended to the Shadow Authority the 2021-22 Budget set out in this report, including:
  i. **An estimated net revenue budget of £712.276m (£326.070m excluding Dedicated Schools Grant) as set out in Appendix A;**
  ii. **Council Tax harmonisation for West Northamptonshire using the alternative notional amount approach over a 3-year period;**
  iii. **An average Band D Council Tax in 2021-22 of £1,566.39 for West Northamptonshire Council which represents an increase of 4.99% on the average Council Tax levied across the West Northamptonshire area (1.99% increase in 'core' Council Tax and 3% Adult Social Care Precept);**
  iv. **The utilisation of the Dedicated Schools Grant as set out in Appendix E;**
  v. **The Capital Programme as set out in Appendix G;**
  vi. **Setting the authorised limits for borrowing as set out in the table at paragraph 16.7;**
  vii. **The Flexible Use of Capital Receipt Strategy set out in Appendix H.**

b) Made the following further recommendations to the Shadow Authority to ensure that the revenue and capital budget and all associated financial policies can be delivered in a safe and legal manner from 1 April 2021 and also to ensure there is flexibility to manage the overall budget in the year:
  i. **To delegate authority to the Executive Director - Finance in consultation with the portfolio holder for Finance to amend the capital programme for 2021-22 going forward so that it accurately reflects issues such as slippage on current year projects that will need to be added to the programme, any amendments made to existing capital programmes, adjustments to accommodate any future use of capital receipts policy and for any other reason where the capital programme needs to be adjusted;**
  ii. **To delegate authority to the Executive Director - Finance to employ earmarked reserves for the purposes they were originally set up for;**
  iii. **To delegate authority to the Executive Director – Finance and the Director of Transformation in consultation with the portfolio holder for Finance to release**

the earmarked reserve of £500,000 for transformation projects subject to them being satisfied with the business case received seeking the release of such funding;

iv. **To delegate authority to the Executive Director – Finance in consultation with the portfolio holder for finance to release the general contingency fund of £5m if required in the year;**

v. **To delegate authority to the Executive Director – Finance in consultation with the portfolio holder for Finance to amend Fees and Charges if required in 2021-22;**

vi. **To delegate authority to the Executive Director – Finance to finalise and agree all outstanding financial policies and strategies in order to ensure that the Council has the policies in place by 1 April 2021;**

vii. **To delegate authority to the Executive Director – Finance to resolve any other financial related matters to ensure the efficient operation of the new council and to ensure that it operates within a safe and legal manner from 1 April 2021;**

c) Noted the estimated taxbase for West Northamptonshire has been calculated at 137,520 band D equivalents as set out in paragraphs 9.6 to 9.8;

d) Noted the S25 statement of the Chief Finance Officer detailed at paragraphs 18.1 – 18.10 of the report;

e) Noted the approach to Fees and Charges as set out in section 11 and the proposed Fees and Charges included as Appendix F;

f) Noted the provisional allocations, and planned usage of the Dedicated Schools Grant (DSG) for 2021-22 pending the final DSG settlement, and following consultation with the Schools Forum, delegates authority to the Director for Children's Services in consultation with the Portfolio Holder for Children's Services, the Portfolio Holder for Finance and the Executive Director of Finance (S151 Officer) to determine the DSG 2021-22 schools funding formula, high needs funding arrangements and the Early Years Funding Formula in line with Department for Education guidance;

g) Noted the consultation feedback on the budget in Appendix I; and

h) Noted the feedback from the Overview and Scrutiny Committee in Appendix J;

Two additional recommendations were proposed and approved during the meeting. Upon the vote being taken it was:

RESOLVED: that the Shadow Executive:

i) Approved the creation of a discretionary Council Tax Hardship Fund, amounting to £425,000, that residents will be able to apply for in 2021/22; and

j) Approved the establishment of a Care Leavers Support Package, to provide additional Council Tax support to cared-for children between the ages of 18-25, to be implemented in 2021-22 and forming part of the base budget thereafter.

8. HOUSING REVENUE ACCOUNT (HRA) BUDGET, RENT SETTING 2021/22 AND BUDGET PROJECTIONS 2022/23 TO 2025/26

Councillor Rebecca Breese introduced the report and noted that the Shadow Executive committee is familiar with the HRA budget and the contents of the report. Members were also asked to note the capital investment programme for the refurbishment and building of new social housing.

Members of the Shadow Executive commented as follows:

Councillor Lizzy Bowen endorsed the HRA budget and emphasised the ambitious nature of the proposals within the report.

The Chair also highlighted the ambitions of the new authority and noted the intentions to spend £1million per week for the first four years of the council on expanding council house provision.

Councillor Jonathan Nunn echoed the comments of other Members and commended the new West Northamptonshire Council for aiming to continue the work of Northampton Borough Council in providing social housing for residents.

The recommendation was proposed and seconded. Upon the vote being taken it was:

RESOLVED: That the Shadow Executive:

a) Recommended to Full Council to approve:
  i. **An average maximum rent increase of 1.5% per dwelling, in line with the legislation and the government's national rent standard, to take effect from 5th April 2021;**

  ii. **The HRA budget for 2021/22 of £54.7m expenditure detailed in Appendix 1;**

  iii. **The HRA capital programme for 2021/22, including future year commitments, and proposed financing as set out in Appendix 2;**

  iv. **The proposed service charges listed in Appendix 3;**

  v. **That the Shadow Executive be authorised, once the capital programme has been set, to approve new capital schemes and variations to existing schemes during 2021/22, subject to the funding being available and the schemes being in accordance with the objectives and priorities of the Council; and**

  vi. **Approved the Total Fees proposed for NPH to deliver the services in scope for 2021/22 detailed in Appendix 4.**

b) Acknowledged the issues and risks detailed in the Chief Finance Officer's statement on the robustness of estimates and the adequacy of the reserves contained within the final budget report;

c) Approved that the Council be recommended to confirm the reserves strategy of protecting balances wherever possible to allow the option of supporting future years' budgets, aiming for a minimum level of unallocated HRA balances of at least £5m for 2021/22 having regard to the outcome of the financial risk assessment;

d) Approved that authority be delegated to the Chief Finance Officer to make any technical changes necessary to the papers for the Council meeting of 23 February 2021;

e) Approved that Council be recommended to delegate authority to the Chief Executive and Chief Finance Officer to implement any retained HRA budget options and restructures; and

f) Approved that authority be delegated to the Chief Finance Officer in consultation with the Portfolio Holder for Finance, and where appropriate the relevant Head of Service and Portfolio Holder to:

  • **Transfer monies to/from earmarked reserves should that become necessary during the financial year;**

- **Transfer monies to /from HRA working balances between the Council and NPH for cash flow purposes should that become necessary during the financial year;**
- **Update the budget tables and appendices, prior to Council should any further changes be necessary; and**
- **Update prudential indicators in both the Prudential Indicators report and Treasury Strategy report, for Council for any budget changes that impact on these.**

9. ECLIPSE: CONTRACT AND BUDGET CHANGES

Councillor Matt Golby introduced the report and highlighted the salient points:

- The purpose of this report is to set out the rationale for contractual and budget changes to the Eclipse System Project within the Adults' Transformation Programme.
- The planned rollout and cost of the Eclipse system across Children's and Adults' have been impacted by Covid-19, including delays to the go-live date for the Children's Trust and a change to the Eclipse roadmap.
- The Eclipse system went live in Northamptonshire Adult Social Services (NASS) in December 2020 and is now stabilising.
- The next key project areas include: Vesting Day readiness, Children's Social Care Implementation and finance implementation for both Adults and Social Care, with a current go-live date of April 2022.

The Chief Executive, West Northamptonshire Council, added that the extra investment to split the systems now is designed to protect these systems in the future and avoid encountering issues from separating at a later date.

The recommendation was proposed and seconded. Upon the vote being taken it was:

RESOLVED: That the Shadow Executive:

a) **Agreed to proceed with a new contract on a 2+1+1 G Cloud framework with OLM;**

b) **Agreed to proceed with change control procedures with Northamptonshire Children's Trust to manage the impact of the changes; and**

c) **Agreed to advise the Shadow Executive of the impacts to the Capital Programme and ongoing revenue impacts in a paper for February 2021.**

10. A NEW CONSTITUTION FOR WEST NORTHAMPTONSHIRE COUNCIL

Councillor Adam Brown introduced the report and highlighted the salient points:

- Councillor Brown extended thanks to members of the Council Governance Task & Finish group as well as the officers involved in developing the constitution over the previous months.
- It was noted that the purpose of the Task & Finish Group was to set the parameters around which the constitution was crafted. Transparency, accountability and clarity for the public were highlighted as key elements.
- Councillor Brown highlighted the importance of cross-party involvement in helping to draft the constitution.

- This input contributed to the proposal of three separate scrutiny panels, to provide the opportunity for as many members as possible to play an active role in scrutinising the decisions of West Northamptonshire Council.

The Monitoring Officer, West Northamptonshire Council, added that the constitution also contains arrangements for the interim period between April 2021 and the elections scheduled for May 2021. It was also noted that some elements of the constitution, such as the Shared Service Arrangements at Item 12 of the current meeting, will be finalised and brought to the next Shadow Executive meeting in March.

Councillor Phil Larratt stated that he felt the constitution builds on the work of both the Shadow Authority and the existing sovereign authorities, to provide a solid foundation for the new council. It was also noted that the constitution is a living document that may require reviewing and updating where appropriate.

The recommendation was proposed and seconded. Upon the vote being taken it was:

RESOLVED: That the Shadow Executive:

a) **Approved the draft Constitution in relation to those elements which are the responsibility of the Executive to decide; and**
b) **Noted that the Constitution will be referred to the Shadow Authority meeting on 23rd February 2021.**

11. FUTURE NORTHANTS CORPORATE WORKSTREAM – DELEGATION OF RESPONSIBILITY TO THE HEAD OF PAID SERVICE FOR EMPLOYMENT MATTERS

The Programme Lead, Corporate Programme, Future Northants, introduced the report and highlighted the salient points:

- It was noted that the Corporate Programme has endeavoured to develop a set of employment policies that are modern, progressive, and that build upon the policies of the current councils whilst also utilising best practice.
- These policies have been developed in consultation with staff and Trade Unions.
- The purpose of this report is to seek delegation to the Head of Paid Service to begin agreeing these policies with the Trade Unions at the conclusion of these consultations. It was noted that this delegation is standard practice for an organisation the size of West Northamptonshire Council.

The recommendation was proposed and seconded. Upon the vote being taken it was:

RESOLVED: That the Shadow Executive:

a) **Delegated responsibility to the Head of Paid Service in consultation with the relevant portfolio holder to negotiate pay and terms and conditions for the new Council with recognised trade unions;**
b) **Delegated responsibility to the Head of Paid Service in consultation with the relevant portfolio holder for the HR employment policies listed in Appendix 1 to the Head of Paid Service; with the exception of the Pay Policy statement under s38 Localism Act 2011 which must be approved by Full Council; and**
c) **Noted that the final terms and conditions package, along with the financial considerations are recommended for approval by the Shadow Executive late in March 2021 (excluding those relating to the Chief Officers).**

12. SHARED SERVICE ARRANGEMENTS

The Monitoring Officer, West Northamptonshire Council, introduced the report and highlighted the salient points:

- In September 2020, the Shadow Executive agreed the arrangements for the delivery of upper-tier services under two new unitary authorities.
- These include a number of shared delivery arrangements, some of which are short-term hosted arrangements, and others which are long-term lead authority arrangements.
- The report sets out the legal governance to give effect to these decisions, including a joint-committee, an over-arching decision making body to be supported by an officer group and individual officer delegations.
- The governance will be supported by an agreement between the two councils to set out the terms of arrangements for service delivery.
- The agreement will be supported by detailed service schedules which are currently being prepared, and as many of these schedules as possible will be presented at the next meeting of the schedule.

The recommendation was proposed and seconded. Upon the vote being taken it was:

RESOLVED: That the Shadow Executive:

a) Agreed to share the services described as Hosted or Lead Authority, in the Blueprint schedule attached as Appendix A to this report, with the North Northamptonshire Council as detailed in this report;

b) Agreed to establish an Executive Joint Committee within the governance framework of the Council with the Terms of Reference set out in Appendix C to oversee the shared arrangement
c) Noted the reservation of delegated powers to the Chief Executive, Corporate Directors, Directors and Assistant Chief Executive which will be set out in the Constitution and described in Appendix E (this decision will be made as part of a separate report to this meeting on the Constitution).

d) Agreed the Heads of Terms for the inter authority agreements with the North Northamptonshire Council for the delivery of the services set out in Appendix B and in particular agreed to:

  i. **Provide the services set out in Appendix A and described as hosted by West Northamptonshire Council on a short-term basis in accordance with the terms of the proposed agreement;**
 ii. **Provide the services set out in Appendix A and described with West Northamptonshire as Lead Authority in accordance with the terms of the proposed agreement until the agreement relating to that service is terminated;**
iii. **Receive the services set out in Appendix A and described as hosted by North Northamptonshire on a short-term basis in accordance with the terms of the proposed agreement; and**
 iv. **Receive the services set out in Appendix A and described with North Northamptonshire as lead authority in accordance with the terms of the proposed agreement until the agreement relating to that service is terminated;**

e) Agreed to establish a Joint Officer Board to support the Joint Committee in accordance with the Terms of Reference set out in Appendix D.

13. ICAN SYSTEM PARTNER PROCUREMENT

Councillor Matt Golby introduced the report and highlighted the salient points:

- This report seeks approval to procure a system transformation partner on behalf of local health partners.
- This procurement will identify a suitably equipped partner who will be funded to take forward the ICAN programme and deliver the associated savings and outcomes.
- Councillor Golby noted the issues facing the local healthcare system, such as: the excess number of people admitted to hospital, winter pressures, an inability to manage surges in demand, and significant financial pressures.
- These issues are expected to worsen in future years as the county sees an increase in its population, with a particular increase in the number of people aged over 65.
- There is also national recognition of the need to alter healthcare systems to manage such pressures. All areas must now form an Integrated Care System (ICS) as a legal requirement from April 2021.
- An ICS allows NHS organisations, in partnership with local councils and others to take collective responsibility for managing resources and delivering NHS care. These ICS allow organisations to work more closely together and coordinate resources.
- The ICAN programme has been designed to complement and enhance the council's adult social care operating model.
- It was noted that health partners are in the process of ratifying an investment of between £2million and £6million to fund a system transformation partner that may deliver savings of up to £21million in what is expected to be an 18-month programme.
- Health partners have subsequently approached West Northamptonshire Council to host the procurement of a suitably qualified system transformation partner for the ICAN programme.
- Councillor Golby noted the benefits to the authority acting as the host for this procurement: securing influence, reclaiming VAT, aligning adult's transformation programme to the ICAN system, and allowing the system to begin prior to the expected winter pressures in 2021/22.
- Council Golby also directed Members to the embedded document on the final page of this report that provides in-depth detail on the ICAN system.

The Chair commented that the County Council Network is now proposing an integrated approach to healthcare as best practice, and highlighted the potential benefits of an approach of this type.

The Chief Executive, West Northamptonshire Council, highlighted that health colleagues are currently involved in a vaccination rollout programme and noted that hosting the ICAN system demonstrates this partnership approach to healthcare.

The recommendation was proposed and seconded. Upon the vote being taken it was:

RESOLVED: That the Shadow Executive:

Subject to confirmed funding in full from health, approved delegated authority to the Executive Director for Adults, Communities and Wellbeing in consultation with the Cabinet member to procure and appoint a system transformation partner on behalf of the health and care system for the delivery of Integrated Care in Northamptonshire (ICAN).

14. VISION AND VALUES TASK & FINISH GROUP REPORT

The Chief Executive, West Northamptonshire Council, introduced the report and highlighted the salient points:

- The Vision and Values Task & Finish Group is seeking a final vision statement to be adopted by the new West Northamptonshire Council. The report contains two potential options, set out at Appendix A.
- Feedback from the group indicated a common theme regarding the word ''thrive'' and how the vision council should seek to make this a reality for its residents. A value charter, recommended for approval, has been developed based on this concept and is set out in Appendix A.

Members of the Shadow Executive commented as follows:

- The importance of vision and culture to the new authority was emphasised, with the Task & Finish Group cited as an example of the commitment to these concepts.
- Members noted that the aspirations are a positive step, but will remain as aspirations until they are internalised by the new organisation.

The Chair wished to place on records thanks to officers and Members of the Task & Finish Group, noting that the visions and values have been shaped in conjunction with multiple parties and stakeholders.

After discussion, it was agreed that the Shadow Executive would make a final decision in selecting one of the options outlined in the report, rather than delegating this decision to the full Shadow Authority meeting. The Shadow Executive subsequently voted to adopt option 1:

West Northamptonshire Council: A great place to live, work, visit & thrive – "Our ambition is simple: to make West Northants a great place to live, work and visit – a place where everyone can thrive".

The recommendation was proposed and seconded. Upon the vote being taken it was:

RESOLVED: That the Shadow Executive:

a) **Acknowledged with thanks the feedback from community, customer, members and staff (Appendix A and B).**
b) **Selected option 1 as vision which best represents the ambition of West Northants Council (Appendix A), and**
c) **Approved the suggested "Values Charter" set out in Appendix A to be developed to drive the new council and its culture.**

15. NORTHAMPTON BOROUGH COUNCIL – REPORT IN THE PUBLIC INTEREST REGARDING THE COUNCIL'S LOANS TO NORTHAMPTON TOWN FOOTBALL CLUB

This item was withdrawn from the agenda.

16. OPERATIONAL AND NON-STATUTORY POLICIES

The Monitoring Officer, West Northamptonshire Council, introduced the report and highlighted the salient points:

- The transitional regulations provide detailed provisions to enable continuity for the delivery of services. However, the majority of non-statutory policies do not transfer automatically.
- The report seeks delegation to the Chief Executive, in consultation with the relevant portfolio holders, to agree these policies in order to avoid impracticably lengthy agendas for Shadow Executive meetings.

The recommendation was proposed and seconded. Upon the vote being taken it was:

RESOLVED: That the Shadow Executive:

Delegated to the Chief Executive (in consultation with the relevant Portfolio Holder) the authority to approve operational and non-statutory policies and procedures for the new council.

URGENT ITEMS:

There were none.

EXEMPT ITEMS:

There were none.

There being no further business, the meeting ended at 19:27.

Item No: 06

FUTURE
NORTHANTS

Programme Status Report
Jane Carr, Director of Transformation
March 2021

Future Northants Vision and Mission

Our Vision

To create the two best performing local authorities in the country

Our Mission

The Future Northants Programme team will put their heart and soul into serving the citizens of Northamptonshire by designing, planning and implementing services that are safe and legal on day one, with as much transformation as possible before vesting day.

Transformation and aspiration will be at the forefront of our minds to enable the vision to be delivered by 2024.

Future Northants Programme Dashboard
Adult Social Care Programme

Overall	Budget	Risks	Issues	Schedule	Estimated direction of travel for next period
					Amber →

(Risk) Eclipse system and data cannot be split for Day 1 leading to a potential GDPR breach as staff at North and West Councils can see one another's data. It will also affect the ability to run statutory reports which will impact on insight into the volume and efficacy of care and support outcomes and are vital to underpinning the approach to monitoring the quality of care for vulnerable individuals. This could also lead to risks relating to their safety leading to Adult Safeguarding consequences. Reporting is also required in order to provide accurate and timely performance reports as required under The Care Act (2014) Adult Social Care Outcomes Framework. As a result of this there may also be reputational risks to the Council in relation to performance and assurance. Whilst the preferred option for Eclipse is to deliver two instances before the end of March 2021, the volume and complexity of work to be completed within these tight timescales means this risk remains high.
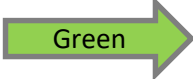
Mitigation: Progress is being closely monitored and a contingency plan is in place where the current system remains as is, should it not be possible to implement Plan A. This will have consequences for billing/payments and data protection until the two instances of Eclipse are implemented post-vesting day. From 1st March daily calls are taking place between service and project team to monitor, and the next no-go decision is 15th March.

(Risk) CareFirst-ERP interface does not function as required meaning Adults financial transactions cannot be processed automatically, and it will not be possible to pay suppliers.

Mitigation Work on schedule with CareFirst-ERP test day planned for 19th March 2021. Monitored daily between programme and service

Future Northants Programme Dashboard
Children's Services (Education & ICF) Programme

Overall	Budget	Risks	Issues	Schedule	Estimated direction of travel for next period
					Green →

The delivery team continue to make good progress across the Children's Services Programme with focus on achieving the critical deliverables and mitigating any emerging risks, while supporting the Director of Children's Services to gain a detailed oversight of the successes undertaken or in progress across their area of responsibility.

Future Northants Programme Dashboard
Corporate Programme

Overall	Budget	Risks	Issues	Schedule	Estimated direction of travel for next period
					Amber →

(Risk) There is a risk of failure to reach agreement for new T's & C's with the TU's
Mitigation: Close down meeting held with TU's to discuss final Phase 1 package in late Feb. Proposed Terms and Conditions were communicated to all staff on 8th March.

(Risk) There is a risk that not all the contracts will be in place for Vesting Day.
Mitigation: The key and largest contracts are being drafted first and additional resource has been brought in to help drafting. Delegated authority is in place for expedient approval by CEX's, and Joint Committee is available for governance and resolution. Intention is that all critical IAA's will be fully drafted, and lower priorities will be in high level form for 25th March. Process needs to be agreed on charging regime now that the headline authority budgets have been approved; a meeting will be arranged w/c 8th March. Work will continue post Vesting Day.

(Issue) There is a risk that we will not be GDPR compliant on Day 1 regarding the split of NCC data, which could result in ICO investigation, fines and reputational damage.

Mitigation: Conversations with MHCLG & ICO have taken place to set our position. DPIA's are being completed for each system that carries risk of significant harm. A robust mitigation plan is in place, adding actions from each DPIA to ensure service responsibility and ownership. The Record of Processing Activity contains all data, what, why and how it will be processed, this is in draft form, and should be complete by 15th March. New data sharing and processing agreements between services to ensure compliance are on schedule, completion 17th March. Amend training modules to include the handling of North and West data as part of mandatory training and run training sessions for Information Asset Owners to reinforce the risks and their responsibilities to the data security in Early April.

Future Northants Programme Dashboard
Customer Contact and Digital Programme

Overall	Budget	Risks	Issues	Schedule	Estimated direction of travel for next period
🟩	🟩	🟧	🟩	🟩	Green →

[Risk] Routings - There is a risk that routing between the new website/ new telephony approach and back-office systems/ contact centres will not be set up correctly for all areas on day 1, which would mean the customer would not get to the correct place for their enquiry to be resolved

Mitigation: routing is being tested by users/ SME's/ customer service advisors to ensure the customer can get to the correct place for their enquiry. Interaction Voice Response (IVR) (Press 1 for x, Press 2 for x) routing has been built in house so can be amended quickly. There is a testing plan in place which commenced w/c 1st March. All options will be tested to ensure they are directed to correct place. Any errors will be resolved. We have completed the daytime and Out of Hours testing. All on track to go live on vesting day. If post vesting day an error is found, we can change this in house very quickly so it shouldn't affect the customer journey for long.

Website user testing began in January. We are testing using Agile approach so when we find a fault, we can resolve it straight away. The live beta site will be launched w/c 15th which will allow for even further testing from a wider audience. Testing will be undertaken until 24th March ready for vesting day.
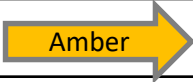
Future Northants Programme Dashboard
ICT Programme

Overall	Budget	Risks	Issues	Schedule	Estimated direction of travel for next period
🟧	🟩	🟩	🟧	🟧	Amber →

(Risk) - The Adult Social Care 2 instances of Eclipse for day 1 continues to be a risk as there is no contingency for slippage on the critical deliverables right up to 1 April. There are a number of go/no go dates built in, the first one was 1 March to sign off the OLM Build, and the decision was to continue with Plan A. The project has now moved into the Testing Phase.

Mitigation - if there is a no-go decision this will initiate Plan C where the current system remains as is and will be covered by a Data Protection Impact Assessment (DPIA) until the 2 instances are safe to go live after 1 April. Plan C includes making dual payments through March and April to ensure providers and vulnerable people receive payments until the 2 instances go live. The next no-go decision is 15th March (moved from 12th due to a full day of testing, and potentially over the weekend too). The service is fully engaged in this project and daily calls started w/c 1 March, which include both the service and the project team, to discuss the latest progress and any current risks and issues.

Future Northants Programme Dashboard
Finance Programme

Overall	Budget	Risks	Issues	Schedule	Estimated direction of travel for next period
					Amber →

(Risk) Financial Reporting: This piece of work concerns the Financial reporting mechanisms for the Unitaries on day 1 and beyond. This only affects D & B data & currently no process has been agreed for the working group, and time is very pressing. The risk is that there will not be enough time to design, implement and test the chosen mechanism. The impact of this is that the Unitaries will be unable to accurately forecast or monitor spend.

Mitigation: Prioritise high value budget lines via Working group with Finance/ERP. Building and testing reports. A high level time-line has been developed & the process should be signed off by 26th March.

(Risk) Closedown: Risk that legacy systems access will be removed for those working on NCC and NBC closedown.

Mitigation: This is being mitigated against with help from the DPIA legal leads and the FN IT Enabler. This is being mitigated against with help from the DPIA legal leads and the FN IT Enabler. A timeline has been developed and the process will be signed off by 26th March.

(Schedule) Officers are working to finalise the disaggregation arrangements for the outstanding balance sheet items and any associated novation of agreements with third parties etc.

Mitigation: The work continues to be progressed, with ongoing dialogue between the two Authorities in order to reach a conclusion shortly. Any formal County Council agreements will then transfer to the relevant Unitary Authority.

Future Northants Programme Dashboard
Place Programme

Overall	Budget	Risks	Issues	Schedule	Estimated direction of travel for next period
					Green →

Good progress continues to be made across the Place West Programme as we approach Vesting Day. The delivery team are focussed on achieving the critical deliverables and mitigating any emerging risks, while supporting the newly appointed assistant directors to gain a detailed oversight of the successes undertaken or in progress across their areas of responsibility.

FUTURE NORTHANTS

Programme Name	Benefits Realisation
Enabler	Audra Statham
Date approved by Programme Lead	March 2021
Document Author	Jeff Abbott

Future Northants Programme Costs	2019/20 £000	2020/21 £000	2021/24 £000	Total £000	Year End Outturn Projection 2020/21 £000	Variance Under / (Over) 2020/21 £000
Staff Costs (cover NCC Transformation & LG Transformation)	3,047	5,697	8,423	17,167	5,653	44

Other Programme Costs:	2019/20 £000	2020/21 £000	2021/24 £000	Total £000		
Sub Total	1,390	4,948	8,400	14,738	4,572	376

Total FN Programme Costs	4,437	10,645	16,823	31,905	10,225	420

| Business Rates Funded Projects | Investment / Costs | | | | | | Savings | | | | | | Impact in 2021/22 |
	2019/20 £000	2020/21 £000	2021/24 £000	Total £000	Year End Outturn Projection 2020/21 £000	Variance Under / (Over) 2020/21 £000	2019/20 £000	2020/21 £000	2021/24 £000	Total £000	Year End Outturn Projection 2020/21 £000	Variance Under / (Over) 2020/21 £000	
BRR04 - CFN Improving Fostering	16	120	334	470	239	(119)	0	281	2,019	2,300	215	66	Shortfall partially recovered
BRR06 - CFN Practice Improvement (Improved Children's Outcomes)	482	185	128	795	297	(112)	0	294	2,106	2,400	14	280	Delay not recoverable
BRR08 - Adults Review Task Force Team	388	12	0	400	12	0	1,000	0	0	1,000	0	0	
BRR09 - Adults Review of Target Operating Model	400		0	400	0	0	0	815	13,185	14,000	1,085	(270)	No delay recorded
BRR10 - Strategic Infrastructure - Growth and Infrastructure Plan	27	223	0	250	223	0	0	0	60	60	0	0	
BRR18 - Customer Contract - Customer and Digital Strategy	0	1,900	3,750	5,650	1,900	0	0	0	3,000	3,000	0	0	
BRR20 - Shared Service Redesign	1,966	2,134	0	4,100	2,134	0	0	0	2,500	2,500	0	0	
BRR21 - Corporate Contracts Review	0	250	0	250	250	0	0	0	500	500	0	0	
BRR26 - CFN Workforce Programme	539	196	0	735	232	(36)	0	138	1,262	1,400	88	50	Delay not recoverable
BRR45 - Adults Overnight Carers Scheme	350	0	0	350	0	0	626	0	0	626	0	0	
BRR46 - Adults Rapid Response Team	291	859	450	1,600	400	459	0	718	8,115	8,833	0	718	Shortfall wholly recovered
Total Business Rates	4,459	5,879	4,662	15,000	5,687	192	1,626	2,246	32,747	36,619	1,402	844	

| NCC Transformation - Investment/Costs | Investment / Costs | | | | | | Savings | | | | | | Further analysis of 2020/21 variance | |
	2019/20 £000	2020/21 £000	2021/24 £000	Total £000	Year End Outturn Projection 2020/21 £000	Variance Under / (Over) 2020/21 £000	2019/20 £000	2020/21 £000	2021/24 £000	Total £000	Year End Outturn Projection 2020/21 £000	Variance Under / (Over) 2020/21 £000	Delayed but wholly deliverable in 2021/22 £000	Delayed but partly deliverable in 2021/22 £000
Adults	1,204	4,250	0	5,454	4,408	(158)	22,975	7,130	748	30,853	5,287	1,843	394	1,449
Children's	92	0	0	92	0	0	4,086	1,636	3,038	8,760	779	857	-	600
Corporate Services	977	0	0	977	0	0	3,740	258	-	3,998	1,093	(835)	-	-
Place	0	0	0	0	0	0	2,480	2,241	1,851	6,572	3,608	(1,367)	-	-
LGSS	0	0	0	0	0	0	0	970	-	970	970	0	-	-
Total Transformation	2,273	4,250	0	6,523	4,408	(158)	33,281	12,235	5,637	51,153	11,737	498	394	2,049

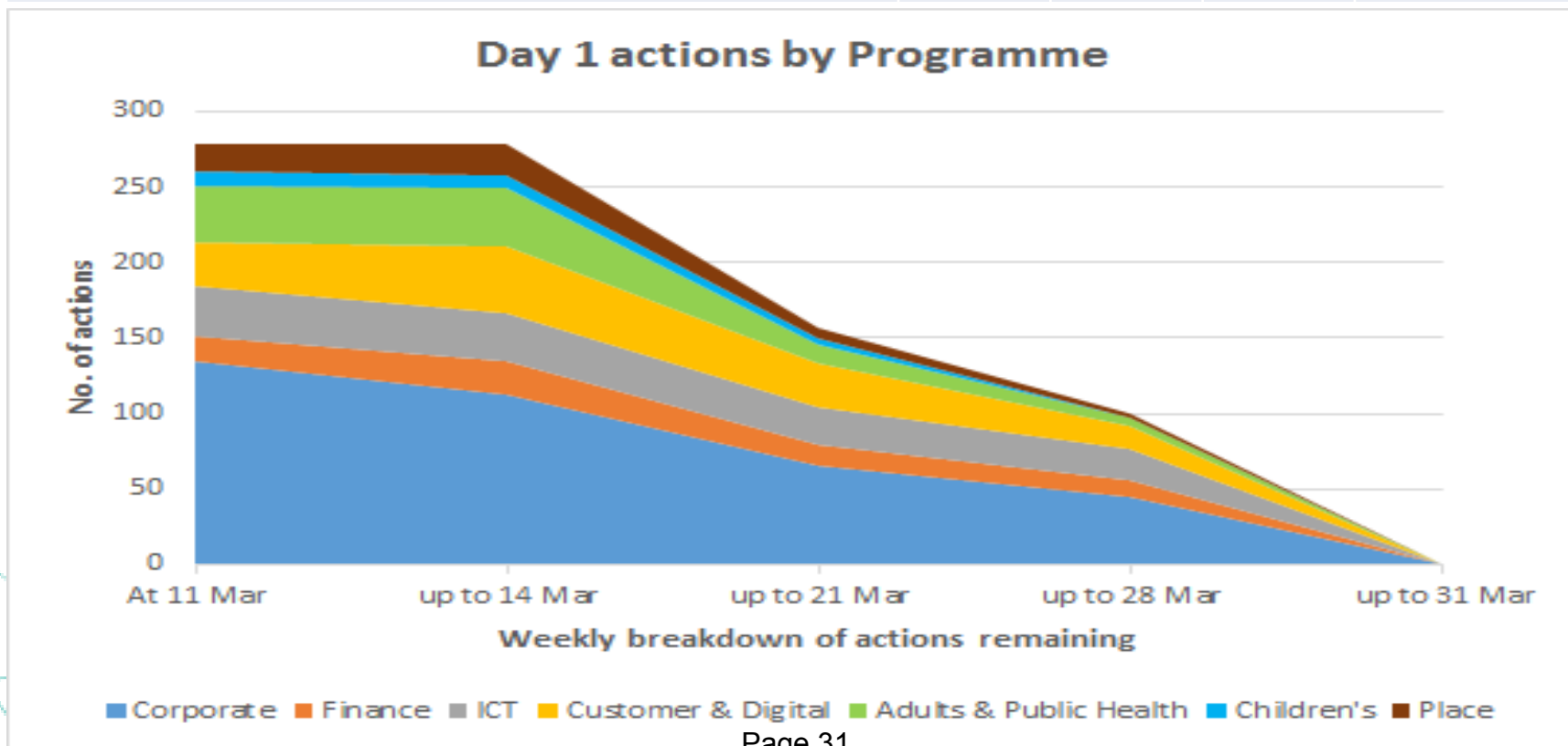| Total	11,169	20,774	21,485	53,428	20,320	454	34,907	14,481	38,384	87,772	13,139	1,342		

Combined Impact: £0.454m reduction in costs offsetting a £1.342m reduction in savings provides total adverse movement of   £0.888 m

FUTURE NORTHANTS

Programme Name	Day 1 Assurance
Programme Lead	George Candler
Date approved by Programme Lead	March 2021
Programme Manager	Stuart Hill

	At 12th Feb	At 18th Feb	At 23rd Feb	At 11th March
Total critical deliverables remaining to be delivered	167	125	122	91
Total actions remaining to be delivered	620	523	490	279

Day 1 actions by Programme

Weekly breakdown of actions remaining

■ Corporate ■ Finance ■ ICT ■ Customer & Digital ■ Adults & Public Health ■ Children's ■ Place

FUTURE
NORTHANTS

Programme Name	Change Managers
Programme Lead	Liz Fairholm
Date approved by Programme Lead	March 2021
Document Author	Lesley Currie

Our Assurance that change activity does not stop on 31st March:

- Change Management Programme Plan
  - Forms the basis of a handover for the Change Managers appointed to the Transformation Teams (N&W)
- Day 1 Critical Deliverables Plan
  - Plan on a Page being created by Liz Fairholm (CM)
- ERP Gold change activity:
- MS365 NCC rollout change activity:
- Manager Engagement:
- Change Champions Spring Workshops
- Change Champions (400+) Day 2 onwards:
- FN Programme Policies work stream:
- Finally, of course we will continue with...
  - Facts About sheets
  - Change Champion activity

FUTURE NORTHANTS

Programme Name	Comms and Engagement
Enabler	Claire Hazelgrove
Date approved by Enabler	March 2021

Recent activity
- Launched FN 'Infobursts' – short sessions on key topics for staff
  - Residents' campaign, vision and values, processes after 1st April
- Further development of Day One comms and engagement for staff
  - 'Spot the…' selfie competition, 'Connecting Creatively' campaign to bring people together virtually and in offices, 'Leadership Voices'
- Launched 'final phase' of Day One residents awareness campaign
  - Council Tax bills, radio, buses, out-of-home advertising
- Ongoing activity inc. content in final residents' magazines
- Promotion of the 'one month to go' mark - press activity and social media
- Joint Anna and Rob media interview on elections

Next steps
- Continued ongoing promotion of Day One awareness messaging and activity
- Ongoing support developing and communicating 'Facts About' sheets, alongside Change Managers
- Ongoing support for Day One priority branding decision-making process
- Ongoing support for promotion and integration of vision / values
- Advice and hands-on support to programmes
- Ongoing support for North and West leadership

So that residents and staff feel up to date, engaged with and excited by the changes to the new councils on 1st April. We will hand over this positive legacy to the new West informal comms hub to take forward positively.

FUTURE NORTHANTS

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West Northamptonshire
SHADOW AUTHORITY

WEST NORTHAMPTONSHIRE SHADOW EXECUTIVE

23RD MARCH 2021

Report Title	Change Request(s)	
Report Author	PMO	
Future Northants Programme		Place
Future Northants Programme Lead		George Candler
Date of final endorsement by Joint Implementation Board		3rd February 2021
Date of final endorsement by Joint Implementation Executive		10th February 2021

List of Appendices

Appendix A – Change Requests that affect the Blueprints:
A1:   Place – NSport Swim

1.   Purpose of Report

1.1.   To set out and approve Change Requests relating to the Future Northants programme.

2.   Executive Summary

2.1   This process will

1) ensure a clear governance and recording process and,
2) propose changes that amend the Blueprint, outlined in Appendix A

Recommendations

2.2   It is recommended that the Shadow Executive Committee:

a) Approve the changes requested to the Blueprint as outlined at Appendix A

   (Reason for Recommendations – to ensure a robust change management and recording process for the Blueprint for the new unitary authorities).

3.   Report Background

3.1   This process has been agreed to ensure a clear governance and recording process for any changes to be made to the Blueprint or to other aspects of the programme.

3.2   This report includes proposed changes for approval, in line with the agreed process.

4.   Issues and Choices

4.1   The Blueprint was approved by the West Northants Shadow Executive on 22nd September and the North Northants Shadow Executive on 24th September. The Blueprint is the key document that shows how the functions and services provided by all the constituent authorities will be placed across the two new North & West Unitary authorities.

5.   Implications (including financial implications)

5.1   **Resources and Financial**

There are no resources or financial implications arising from the proposals.

5.2   **Legal**

There are no legal implications arising from the proposals.

5.3   **Risk**

5.3.1   There are no significant risks arising from the proposed recommendations in this report.

5.3.2   The changes proposed to the Blueprint re designed to mitigate risks in ensuring services are safe and legal for Day 1.

5.4   **Consultation**

5.4.1   The change process does not require consultation.

5.5   **Consideration by Overview and Scrutiny**

5.5.1   Consideration is welcome as requested by the Overview and Scrutiny committee.

5.6   **Climate Impact**

5.6.1   None related to the change process outlined in this report

5.7   **Community Impact**

5.7.1   None related to the change process outlined in this report

6. Background Papers

6.1 Blueprint for each of North and West Northants Shadow Authorities.

6.2 Agreed process for managing change requests as agreed by West Northants Shadow Executive on 24th November and by North Northants Shadow Executive on 26th November.

Change Request Form

Document Type	Change Request Form – School Swim Service
Programme Name:	Place North and West

Audience for this document
Programme Manager – Day 1 Assurance, Joint Implementation Board

Purpose of this document
The Change Request Form is a form used to submit a request for a change within the Programme. All changes to scope should be documented on a Change Request Form, and authorised by the Programme Board, Programme Manager – Day 1 Assurance, Joint Implementation Board and relevant stakeholders. The Change Request Form should be used alongside the Change Request Log to track progress (template available).

Version History			
Date	**Version**	**Author**	**Brief Comments on Changes**
20/01/21	0.01	N.Byrom	Initial draft

Distribution (For Information, Review or Approval)	
Name	**Resp** (1)
Programme Manager – Day 1 Assurance, FN	A
Brian Degruchy – Place North Programme Manager, FN	
Kerry Purnell – Assistant Director, NCC	
Chris Holmes – Director, NSport	

Jane Carr – Transformation Director West Northants	
Lisa Hyde – Transformation Director North Northants	

(1)   Responsibility: R=Review, A=Approval, I=Information

Document Approval	
Date	

1. Description of Requested Change

It has recently been identified that there was no disaggregation treatment identified for the Schools Swim Service in either the West or North Blue Prints. Following discussions with the Chief Executives for West and North Northants and the service management the following treatment is recommended.

Schools Swim Service to be hosted > 12 months in the North rather than Disaggregating as per other services in the Blueprints. With COVID causing significant impact on the ability to each authority to reactivate sports and leisure related services, the intention is that those NCC staff who work in this service will be transferred to the North Northants Unitary Authority but the day to day operational management of this function and staff will be provided as part of package of sport and leisure services provided by NSport back to the two Unitaries.

The North will maintain the relationship management of NSport (a standalone company for period of hosting. In the future the two authorities may choose to revert to individual arrangements for the NSport relationship management. This is a change from that set out in the Blueprints for West and North where this element originally sat under Corporate Services in the new senior management structures.

2. Purpose of Request

The School Swim Service was missed from the detailed level of the West and North Blueprints. The service provision is overseen by NSport the separate but locally owned entity for a variety of local authority sport and leisure services in the county.

Much of the work is seasonal, term time activity and with schools and the leisure sector closed due to COVID, the senior leadership teams of both West and North Unitaries accepted a recommendation to host the staffing of the service under North Northants.

The situation will be kept under review as COVID restrictions are lifted in the future but it was felt that a longer than 12 month scenario for hosting would be required to ensure that there would be some sort of normality back in the service before management consider how to disaggregate the service permanently in due course. This is unlikely to be a priority over 21/22 and by delaying the disaggregation some of the leisure contracts in North Northants will require recommissioning so this timeframe fits well with potential changes to service providers etc in future years.

3. Likely Impact of Requested Change

None

4. Impact of *not* implementing Requested Change

Not implementing the change would then require both the West and North Unitaries to disaggregate the 3.6 FTEs across both authorities and find suitable line management arrangements for both services. With the sport and leisure sector in lockdown as part of COVID restrictions it is not viewed as an appropriate juncture to ensure line management of the swim service

5. Additional costs of implementing Requested Change	
Capital Costs	Nil
Revenue Costs	Nil
Benefit Costs	Nil

6. Additional Benefits

West Northamptonshire
SHADOW AUTHORITY

WEST NORTHAMPTONSHIRE SHADOW EXECUTIVE

23RD March 2021

Report Title	Emergency Plan / Critical Incident Plan for West Northamptonshire
Report Author	Beth Gordon, Service Development Manager beth.gordon@kettering.gov.uk

Future Northants Programme Name	Place
Future Northants Programme Lead	Ian Vincent
Date of final endorsement by West Implementation Boards	03/03/2021
Date of final endorsement by West Implementation Executives	10/03/2021

Contributors/Checkers/Approvers		
West MO	Catherine Whitehead	
West S151	Martin Henry	
Other Director/SME		

List of Appendices

Appendix A – Emergency Plan / Critical Incident Plan

1.   Purpose of Report

1.1.   The purpose of this report is to seek member approval for the Emergency Plan / Critical Incident Plan (attached at Appendix 1) for West Northamptonshire as required as part of our responsibilities under the Civil Contingencies Act 2004 (CCA).

2.   Executive Summary

1.2.   The report provides an overview of our responsibilities under the CCA and the key points contained within the emergency plan.

1.3.   The emergency plan has been developed using information from existing plans across Northamptonshire and using best practice.

3.   Recommendations

3.1   It is recommended that the Shadow Executive Committee:

a) Approve the Emergency Plan / Critical Incident Plan for West Northamptonshire and the officers delegated to declare an emergency / critical incident.

3.2   Reason for Recommendation –
*   • To accord with legislation or the policy of the Shadow Authority*

4.   Report Background

4.1   West Northamptonshire Council is categorised as a Category 1 responder under the CCA and therefore the Council is required to
   • assess the risk of emergencies occurring and use this to inform contingency planning
   • put in place emergency plans
   • put in place business continuity management arrangements
   • put in place arrangements to make information available to the public about civil protection matters and maintain arrangements to warn, inform and advise the public in the event of an emergency
   • share information with other local responders to enhance co-ordination
   • co-operate with other local responders to enhance co-ordination and efficiency
   • provide advice and assistance to businesses and voluntary organisations about business continuity management (local authorities only)

4.2   The requirements relating to business continuity are covered in a separate report to this Committee.

4.3   This report complies with our statutory duty to put in place an emergency plan (Appendix 1) and details the:

   • Command and control structures
   • Arrangements for activation of the plan
   • Activation and escalation procedures
   • Roles and responsibilities
   • Recovery following an emergency
   • Associated activities around any emergency e.g. financial considerations, media
   • Training and exercising requirements

4.4   For year 1 West Northamptonshire will be receiving the Emergency Planning Services as hosted by North Northamptonshire, and although this plan has been written for this authority, the principles within it are based on best practice which will be relevant to North Northamptonshire.

4.5   It is recommended that this plan is reviewed in 1 year (or before if required), to ensure that the roles and arrangements proposed are working within the new authority.

4.6   This plan provides the Council's response to an emergency. There are a number of internal or Local Resilience Forum plans which will support this emergency plan on more specific risks. These are already in place but a timetable will be developed to review these specifically in relation to West Northamptonshire.

5.   Issues and Choices

5.1   The Emergency Plan has been developed for the North Northamptonshire Council and adapted for West Northamptonshire Council. Consideration needs to be given to whether the West Northamptonshire Council are content with this approach pending a fuller review of the document post vesting day.

6.   Implications (including financial implications)

6.1   Resources and Financial

6.1.1   This emergency plan requires suitably trained and competent staff to undertake the roles identified within it. The roles are normally taken in addition to their day to day role and will require them to be released for training and exercising and to fulfil their role in the event of an emergency. A training programme is available for roles within the plan.

6.1.2   The Emergency Plan specifies key roles which should have a duty officer arrangement in particular for gold and silver levels. These will need to be agreed by the Corporate Leadership Team and a duty rota, with appropriate remuneration, put in place.

6.1.3   There will be a requirement to harmonise the current arrangements for a Duty Emergency Planning Officer across North Northamptonshire. Currently Northamptonshire County Council (NCC) has this arrangement in place, for which staff are paid, however the existing district and borough councils in the North do not.   There will be a requirement to ensure a more formal arrangement is in place to have the necessary cover out of hours and single point of contact for other organisations who need to contact us about an incident. The existing arrangements will need to be reviewed and a Duty rota and associated payment scheme agreed. This may result in additional costs if more staff are included than within the current arrangements NCC have in place. There will need to be an agreement with West Northamptonshire about what this role will cover in relation to an emergency for the period the service is hosted by the North. This will be outlined in the Inter Authority Agreement.

6.1.4   If an emergency situation should occur then the authority may incur additional costs in relation to the event, such as emergency welfare support or the provision of accommodation for those displaced and unable to return to their homes. Financial implications are recognised as part of the emergency plan with measures put in place to manage this.

6.2   Legal

6.2.1   Under the CCA 2004 it is a legal requirement for the Council to have an emergency plan in place prior to Vesting Day.

6.3 **Risk**

6.3.1 Management of the current Covid pandemic has meant that the emergency planners across Northamptonshire have had an integral role in managing the response to the pandemic. In recognising this Shadow Executive agreed on 29 October 2020 to the North hosting the emergency planning service (and public health service). Emergency planners are still heavily involved in this role.

6.3.2 The agreed model assumes that the majority of emergency planners currently employed by NCC will continue to work on the Covid response. This currently leaves limited capacity for other emergency planning and business continuity work, which is a significant risk, especially if there is an emergency incident. It will also be a determining factor in the amount of day to day emergency planning and business continuity work that can be carried out within the organisation.

6.4 **Consultation**

6.4.1 This plan has not been consulted on as it details the arrangements within North Northamptonshire Council for the declaration of an emergency / critical incident and the processes internally for activation and roles and responsibilities.

6.4.2 A draft of the plan was shared with the existing local authorities across Northamptonshire for comment before being finalised.

6.5 **Consideration by Overview and Scrutiny**

6.5.1 This report has not been considered by Overview and Scrutiny Committee.

6.6 **Environmental Impact**

6.6.1 There are no environmental impacts arising from this report.

6.7 **Community Impact**

6.7.1 There are no direct community impacts from the approval of the plan, however the declaration of an emergency / critical incident may have an impact on the community at the time. The definition of an emergency within the plan aims to ensure that community impacts are considered when an emergency is declared and that the process ensures the community are supported through the emergency and subsequent recovery.

6.8 **Equalities**

6.8.1 As the policy is an internal plan an EIA is not required.

Emergency Plan / Critical Incident Plan for West Northamptonshire

March 2021

Document Control

The distribution of this document is controlled and the current version is available at on the West Northamptonshire page of the Resilience Direct Website.

Title	Emergency Plan / Critical Incident Plan for West Northamptonshire
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V0.1	All	First Draft	09.02.21
V0.2	All	Minor amendments, added role of LA	19.02.21
V0.3	All	Document adapted to West Northamptonshire	22.02.21
V0.4	All	Edits	25.02.21

Associated Plans (plans that are likely to be used in conjunction with this plan)

LRF Multi-Agency Response Manual
Emergency Control Centre Plan
West Northamptonshire Business Continuity Policy
LRF Media Plan

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Contents

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1.0   Introduction

1.1   The Requirement for a Plan

1.1.1   This Emergency Plan fulfils requirements of the Civil Contingencies Act 2004 (CCA) which places a statutory duty upon Local Authorities to prepare for and respond to emergencies.

1.1.2   The chief requirement of the Act in respect of Emergency Planning is to maintain plans to ensure that, if an emergency occurs or is likely to occur, each Category 1 responder body can deliver 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.

1.1.3   In Northamptonshire, the Local Resilience Forum (LRF), which is based on the geographic area covered by Northamptonshire Police, provides a framework for cooperation between emergency responders in the county

1.2   Definition of responders

1.2.1   Responders are defined into two categories: into two categories, category 1 and category 2.

Category One (Core responders), typically:
Emergency services (Police, Fire, Ambulance)
Local authorities
Health bodies (NHS Commissioning Board, Public Health England, Directors of Public Health, and the majority of NHS provider organisations)
Government agencies (Environment Agency)

Category Two (Cooperating responders), typically:
Utilities
Transport
Health bodies (Clinical Commissioning Groups)
Government agencies (Health & Safety Executive)

1.3   Duties required by the Act

1.3.1   The duties that responders are required to perform can be summarised under the following headings. Category Two Responders are only required to satisfy points 6 and 7 below:

1. Risk assessment
2. Business continuity management
3. Emergency planning
4. Maintaining public awareness and arrangements to warn inform and advise the public
5. Provision of advice and assistance to the commercial sector and voluntary organisations (Local authorities only)
6. Cooperation
7. Information Sharing

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1.4   *The Role of the Local Authority*

1.4.1   Local authorities are one of the main bodies representing the community and their role in emergency response and recovery largely reflects this. They have a wide range of functions that are likely to be called upon in support of the emergency services during emergency response and recovery.

1.4.2   The local authority will play an enabling role in close collaboration with a wide range of bodies who are not routinely involved in emergency response. In particular, the local authority will work with partners to:

- Maintain critical service provision
- Provide immediate shelter and welfare for survivors not requiring medical support and their families and friends via Evacuation, Rest, Humanitarian and other Centres to meet their immediate to short term needs
- Provide medium to longer-term welfare support of survivors
- Communicate relevant updates to the public for information and reassurance
- Exercise the functions of the Director of Public Health
- Co-ordinate the activities of the various voluntary sector agencies involved and spontaneous volunteers
- Lead the recovery effort and coordinate related multi-agency activity
- Facilitate the remediation and reoccupation of sites or areas affected by an emergency
- Liaise with the coroner's office to provide emergency mortuary capacity in the event that existing mortuary provision is exceeded; and,
- Provision of other Local Authority functions to support the emergency response and recovery as required.

2.0   Aim

2.1   The aim of this plan is to facilitate an effective and co-ordinated Council response during an emergency, to control, mitigate or prevent the impact of an emergency/incident on its communities and/or the environment.

3.0   Objectives

3.1   The objectives of this plan are to:

- Detail command and control structures
- Detail arrangements for its activation
- Identify activation and escalation procedures
- Outline recovery and debriefing processes

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4.0   Definition of Emergency / Major Incident / Critical incident

4.1   The Civil Contingencies Act 2004 (Part 1) defines an "emergency" as

- an event or situation which threatens serious damage to human welfare in a place in the United Kingdom,
- an event or situation which threatens serious damage to the environment of a place in the United Kingdom, or
- war, or terrorism, which threatens serious damage to the security of the United Kingdom.

4.2   The definition of "emergency" is concerned with consequences, rather than with cause or source. Therefore, an emergency inside or outside the UK is covered by the definition, provided it has consequences inside the UK.

Source: Emergency Preparedness Chapter 1 paragraph 1.14 – 1.15

4.3   For the purposes of this plan, however, a **"Critical Incident"** is defined as any incident or emergency that involves some or all of the following:

- Causes serious harm to the people, community and/or environment of West Northamptonshire
- Significant resources are required to respond effectively to the incident
- Actual or potential disruption to public service is incurred or likely to be
- Compromises the ability of West Northamptonshire Council (WNC) to deliver its prioritised activities
- A co-ordinated response over and above day to day working practices is required

4.4   A **"major incident"** is a multi-agency term 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". They are likely to be larger, more complex, endanger more people or threaten larger areas, and will require additional levels of command, control and co-ordination.
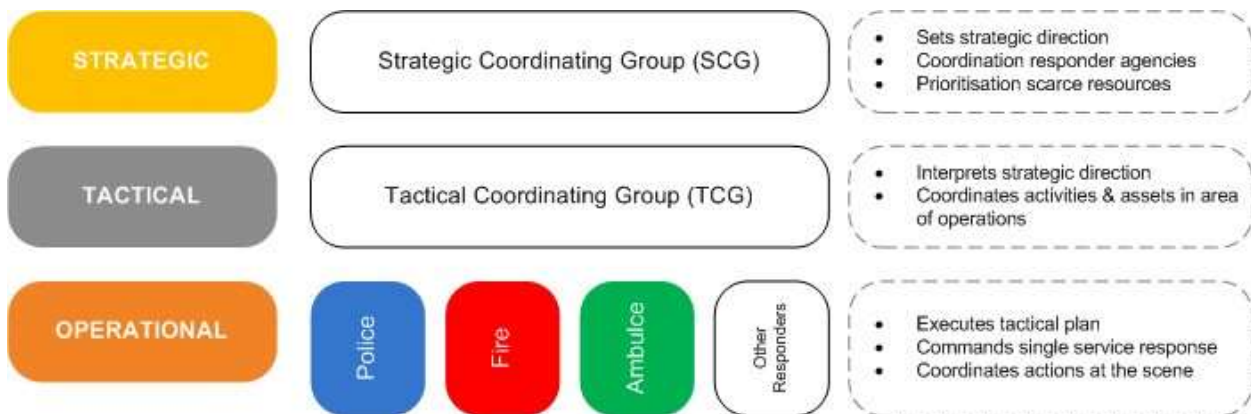
Notes

1. *A major incident is beyond the scope of business-as-usual operations, and is likely to involve serious harm, damage, disruption or risk to human life or welfare, essential services, the environment or national security.*
2. *A major incident may involve a single-agency response, although it is more likely to require a multi-agency response, which may be in the form of multi-agency support to a lead responder.*
3. *The severity of the consequences associated with a major incident are likely to constrain or complicate the ability of responders to resource and manage the incident, although a major incident is unlikely to affect all responders equally.*
4. *The decision to declare a major incident will always be a judgement made in a specific local and operational context, and there are no precise and universal thresholds or triggers.*

5.0   Management, Control and Co-ordination

5.1   *Levels of Command – Overarching Response Structure*

5.1.1   The generic command structure, nationally recognised, accepted and used by the police, other emergency services and partner agencies, is based on the gold, silver, bronze hierarchy of command and can be applied to the resolution of both spontaneous incidents and planned operations.

5.1.2   The terms gold, silver and bronze are used in each single agency. However, the hierarchy of the terms strategic, tactical and operational refers to a multi-agency co-ordination group.

STRATEGIC	Strategic Coordinating Group (SCG)	• Sets strategic direction • Coordination responder agencies • Prioritisation scarce resources
TACTICAL	Tactical Coordinating Group (TCG)	• Interprets strategic direction • Coordinates activities & assets in area of operations
OPERATIONAL	Police Fire Ambulce Other Responders	• Executes tactical plan • Commands single service response • Coordinates actions at the scene

5.1.3   During an incident, responding agencies will assume a structure of command that will govern the process of dealing with the incident. The following command and control structure is adopted:

STRATEGIC – SINGLE AGENCY GOLD

TACTICAL – SINGLE AGENCY SILVER

OPERATIONAL – SINGLE AGENCY BRONZE

These are titles and functions that will be adopted across all responding agencies. These titles are not rank related.

5.1.4   There are a number of roles and responsibilities within the plan which are described below in section 6 and the Council should be represented at any Strategic Coordinating Group (Gold level) and Tactical Coordinating Group (Silver level) meetings.

5.2   *Principles of joint working*

5.2.1   During major emergencies it has been consistently proven that preparation and joint working is the key to an effective response. The Joint Emergency Services Interoperability Programme (JESIP) was developed to provide emergency services

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with a framework to respond together as effectively as possible. Council responders will need to link into this when attending multi-agency meetings.

5.2.2   The Joint Doctrine – The Interoperability Framework has been introduced for the emergency services called the Joint Emergency Services Interoperability Programme (JESIP). Its purpose is to provide emergency service commanders with a framework to respond together as effectively as possible, and Council responders will need to link into this when attending multi-agency meetings.

5.2.3   There are 5 joint working principles which can be applied to any type of multi-agency Incident where organisations need to work together more effectively. The 5 joint working principles are as follows:

Co-locate
Co-locate with commanders as soon as practicably possible at a single, safe and easily identified location near to the scene.

Communicate
Communicate clearly using plain English.

Co-ordinate
Co-ordinate by agreeing the lead service. Identify priorities, resources and capabilities for an effective response, including the timing of further meetings.

Jointly understand risk
Jointly understand risk by sharing information about the likelihood and potential impact of threats and hazards to agree potential control measures.

Shared situational awareness
Shared Situational Awareness established by using METHANE and the Joint Decision Model.

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6.0   Roles & Responsibilities in the Plan

6.1   *Duty Gold Officer*

6.1.1   The Head of Paid Service will designate officers to undertake the role of Gold Officer. In doing so they will be delegated authorities to take action to mitigate or avert the effects or potential effects of an emergency.

6.1.2   Decisions shall be made and recorded in accordance with the Constitution and in particular the Officer Scheme of Delegation

6.1.3   The designated gold officer will assess any incident or developing situation and determine whether an Emergency/Critical Incident should be declared in accordance with the definition at section 4.3 and managed in accordance with this plan. This decision will be appropriately documented and the Leader of the council notified (please see section 7.2 regarding Activation Procedure).

6.1.4   In declaring a Critical Incident the Duty Gold Officer is able to access additional decision making powers enabled by the Emergency Procedures Rules within the Council's constitution.

6.1.4   The Duty Gold Officer is the individual who has overall responsibility for coordinating the council's response at a strategic level. The Duty Gold Officer will be contacted by the Emergency Planning Officer who will offer advice and guidance. The Duty Gold Officer has the authority to request the assistance of other Directors and Assistant Directors in response to an emergency/critical Incident.

6.1.5   Once an emergency has been declared the Duty Gold Officer will do the following:
- Determine strategy and decide on the range of assistance to be provided based on the circumstances and needs of the Council or other organisations involved in the emergency
- Identify and commit relevant council staff and resources to address the immediate needs of the incident
- Redirect the activity of any service area if required
- Represent and make decisions on behalf of West Northamptonshire Council within the multiagency strategic coordinating group (SCG)
- Ensure expenditure incurred in connection with the incident is only up to thresholds outlined in the financial procedures rules of the constitution or any revised threshold set by the Executive in connection with the emergency; and
- To make any proportionate and justifiable decision necessary in connection with the emergency where the urgency of such a decision does not allow for reference elsewhere.
- Ensure elected members are informed
- Coordinate the public information and media response
- Direct actions across the organisation to effectively manage the situation

6.1.6   The Duty Gold Officer may be asked to make a number of decisions, in general terms these decisions will fall into the following areas:

Priorities	Setting strategic objectives in order of priority
Parameters	Setting acceptable standards and success criteria, including ratifying tactical plans

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Command Structure	Determining who is in charge of what and when in order to best achieve the objectives
Resources and logistics	Determining what resources will be made available to tactical commanders and financing these resources

6.1.7 The Duty Gold Officer will provide a full account of actions and decisions they have taken in connection with the emergency to the Leader of the Council or Executive Committee within the timescales and as such intervals as determined by the Leader.

6.2 Emergency Management Team (EMT)

6.2.1 In an emergency / critical incident the EMT will be formed and chaired by the Chief Executive (or their nominated representative). The EMT will make all the strategic decisions for the continued provision of the council's services, and the recovery from the incident. The strategy will set out the high-level overview of the WNC response and, as such, does not get drawn into tactical or operational details. The EMT will take information, situation reports, and any other intelligence and use this to guide their decisions as the incident develops. Members of the EMT may include Directors, Assistant Directors and other specialist staff as appropriate to the incident. This group will be supported by a loggist to record actions and decisions made.

6.2.2 The roles and responsibilities of this group will be to:
  * Maintain overall strategic management control of the council response to an incident
  * Set the strategic direction for managing the incident, including dealing with the media, providing a media spokesperson and approval of media statements in conjunction with any multi agency press statements, and provide information to central government agencies when requested
  * Providing the tactical (Silver Duty Officer) with aims and objectives to determine the priorities of the response
  * Provide support to the tactical (Silver Duty Officer) through the provision of resources
  * Ensuring effective liaison between all services and agencies
  * Identifying and deciding any financial issues and any potential impacts on the delivery of council services
  * Briefing the Leader of the Council and other elected members on the incident where necessary
  * Determining the plans for the recovery of the organisation and community

6.3 Silver Duty Officer

6.3.1 The Silver Duty Officer will command and coordinate the overall tactical response in compliance with the strategy, and is the tactical commander of the incident. The main functions of the silver duty officer are as follows:
  * Determine tactics and objectives necessary to achieve the overall strategy set by the EMT or Duty Gold Officer
  * Ensuring that the actions of the Council are coordinated with other responders
  * Utilising the resources of the Council and determining the most appropriate use and allocation of them based upon the information available

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- Providing the operational (bronze) managers & staff with support and direction as necessary. This includes staff undertaking roles such as Incident Liaison Officers and Reception Centre Managers
- Attend any Tactical Coordinating Group (TCG) meetings
- Provide appropriate updates to and briefings to EMT and/or Duty Gold Officer, including seeking clarifications where necessary
- Ensuring appropriate consideration is given to the safety and welfare of staff members and the public
- Assisting in the development of recovery strategies

6.4   Emergency Planning Duty Officer

6.4.1   West Northamptonshire maintains a 24-hour response to emergencies. For emergencies not managed by a single service or as part of "day to day" provision for such events, the Council's first point of contact is the Emergency Planning Duty Officer who is on standby 24/7. The primary role of the Duty Emergency Planning Officer is essentially to coordinate information and manage the initial response to the emergency/incident.

6.4.2   The Emergency Planning Duty Officer is part of the Emergency Planning Service which is hosted by North Northamptonshire Council and operates on behalf of West Northamptonshire Council under agreed terms

6.5   Incident Liaison Officer (ILO)

6.5.1   It may be necessary to send a Council representative to a multi-agency command location. This will normally be an ILO. They will be deployed to a rendezvous point (RVP) or directly to a place of forward control, which could be referred to as a forward control point (FCP).

6.5.2   On arrival at the RVP or point of forward control the ILO will need to undertake the following duties:

- Report to the Incident Commander
- Seek a safety briefing from the appropriate officer
- Represent the Council at the scene
- Assess the situation and report back as directed in their initial briefing
- Advise the emergency services on our resource capacities
- Relay requests for assistance from the emergency services
- Send regular situation reports
- Keep, and document operational records as required

6.6   Emergency Control Centre (ECC) (also known as Incident Control Room (ICR))

6.6.1   During any major incident the activation of an ECC should be considered. The aim of an ECC is to deliver effective incident management by providing a framework for controlling and coordinating the response of the authority to an incident or an emergency. It allows for better co-ordination and management of the emergency and ensures the steady flow of information from and to the scene.

6.6.2   The ECC process should provide the organisation with situational awareness and the following objectives are important in delivering this:

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- To provide a scalable and flexible tactical capability that aligns with, and supports the authorities' response across all levels
- To provide a central point of contact for incident related communication and when required, call handling capability.
- To manage information through a system that includes collection, collation and effective dissemination.
- To bring together and/or coordinate directorate and service area representation within a managed incident support team.
- To assess needs and identify and task the resources likely to be required in the operational response.

6.6.3 The Emergency Control Centre plan provides more detail on the process and procedures involved and the locations available for an ECC.

6.7 Emergency Control Centre Manager (ECCM)

6.7.1 Usually performed by a silver commander, their task will involve delivering effective incident management by running the framework for controlling and co-ordinating our response to an incident. The ECCM will ensure the facility is ready for use as soon as practicable following the decision to use it.

6.7.2 The ECCM should ensure Emergency Control Operators are briefed on:

- The details of the incident and provide important updates relevant to their role
- Their roles and responsibilities

6.8 Emergency Control Operator

6.8.1 The primary functions performed by this role are handling information and maintaining situational awareness with the support and direction of the Duty Emergency Planning Officer and/or Silver Duty Officer.

6.9 Loggist

6.9.1 This officer is required to record actions, decisions made and other relevant information usually at a management or co-ordinating group meeting convened in response to the incident. The Council must ensure that an accurate record of its actions is maintained and preserved, thereby providing a reliable, transparent source of evidence to justify its actions in the response to an incident during any subsequent debriefs, investigations, public inquires, civil and criminal prosecutions. The record can also be used to accurately identify areas of good practice and where improvements may be required.

6.10 Reception Centre Manager

6.10.1 A Reception Centre may be set up for a variety of reasons or to serve particular categories or groups of people affected by an emergency or incident. A trained Reception Centre Manager will be required to manage those using and resourcing the Centre.

6.10.2 Information on reception centres available in West Northamptonshire can be found on Resilience Direct.

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6.11 Elected Members

6.11.1 Elected members provide a vital interface with the communities they serve and are well placed to pass on information to and from local people should a serious incident occur.   In the early stages of an emergency or critical incident there is little direct action an elected member can take, and officers of the Council must be allowed to get on and manage the situation. In the first instance the Leader of the Council, relevant portfolio holder and ward member will be advised of the situation by the EMT. Wider communication of the incident to other Elected Members will be decided on by the EMT.

6.11.2 Elected Members may be approached to give media statements and interviews. Elected Members should refrain from speaking to the media direct, unless guided to do so by the Council's Communications Team, as this could have a detrimental effect on the community and overall emergency response.

6.11.3 Some of the overall actions for Elected Members will include, but not limited are:
- To have direct communication with their constituents
- To provide consistent and accurate messages to the community
- To act as a conduit between the Council and the community in allaying fears, explaining strategy and providing feedback
- To act as spokesperson for the Council, when appropriate
- To provide representation to areas of operation as appropriate
- Be briefed by whatever appropriate method of the media briefs being released to the press to avoid confusion / ambiguity
- Keep a log of any significant involvement for official records and enquiries

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7.0   Activation and Mobilisation

7.1   *Trigger for Activation of the Plan*

7.1.1   The following may trigger the activation of this plan:

- A major incident that affects the West Northamptonshire area is declared by a partner organisation
- A delegated officer within West Northamptonshire Council (see section 6.1.1) considers it necessary or desirable in order to effectively prevent, reduce, control or mitigate the impact of an incident or potential incident.

7.2   *Activation procedure within the Council*

7.2.1   An emergency can be declared by a delegated officer of the Council (see section 6.1.1).

7.2.2   It is important that any incident which could affect a Service Area / Directorate is immediately reported to the Assistant Director and/or Director so the appropriate response can be implemented.

7.2.3   The incident should be assessed against the definition of an emergency / major / critical incident (see section 4) and where it meets the definition or has the potential to it should be communicated to the Corporate Leadership Team as soon as possible for communication to the rest of the organisation.

7.2.4   Where an incident requires a response by the Council, the Emergency Planning Duty Officer should be contacted immediately.

7.2.5   When an emergency / major incident is declared the Corporate Leadership Team and the Leader of the Council should be informed at the earliest opportunity.

7.3   *Activation procedure by an external organisation*

7.3.1   If an emergency is declared by an external organisation the Emergency Planning Duty Officer will notify the Gold Duty Officer for the day. They will brief the Gold Officer on the incident who will determine the appropriate level of response and issues instructions as necessary.

7.3.2   A major incident declaration by another emergency responder within Northamptonshire will be treated as such by West Northamptonshire Council until such time as a local assessment has determined otherwise

7.4   *Situational Awareness*

7.4.1   Whoever receives the initial report should use the mnemonic METHANE (see section 7.4.3 below) to assist them with collecting the information required, and to be in a position to achieve and share situational awareness. The use of the mnemonic METHANE is widely recognised and may usefully assist in the taking and giving of information throughout the incident response.

7.4.2   The following information should be recorded:

- The name and contact details of the person spoken to and those of the person you may have been asked to contact

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- Confirmation of the action you have been asked to complete and the timescales this is set against
- Who else has been informed and what has been asked of them

7.4.3   METHANE –   the following mnemonic should always be used when collecting and passing information in the initial stages, between all relevant responders to establish effective situational awareness.

M	MAJOR INCIDENT	Has a major incident or standby been declared? (Yes / No - if no, then complete ETHANE message)	Include the date and time of any declaration.
E	EXACT LOCATION	What is the exact location or geographical area of the incident?	Be as precise as possible, using a system that will be understood by all responders.
T	TYPE OF INCIDENT	What kind of incident is it?	For example, flooding, fire, utility failure or disease outbreak.
H	HAZARDS	What hazards or potential hazards can be identified?	Consider the likelihood of a hazard and the potential severity of any impact.
A	ACCESS	What are the best routes for access and egress?	Include information on inaccessible routes and rendezvous points (RVPs). Remember that services need to be able to leave the scene as well as access it.
N	NUMBER OF CASUALTIES	How many casualties are there, and what condition are they in?	Use an agreed classification system such as 'P1', 'P2', 'P3' and 'dead'.
E	EMERGENCY SERVICES	Which, and how many, emergency responder assets and personnel are required or are already on-scene?	Consider whether the assets of wider emergency responders, such as local authorities or the voluntary sector, may be required.

7.5   Record Keeping

7.5.1   It is important that information received in the initial alert stage and in any subsequent exchange is recorded immediately. The information recorded must be accurate and retained as it may be needed in the future.

7.5.2   If an Emergency Control Centre is activated then incident management forms that are a part of that process should be used.

7.6   Emergency Stand Down

7.6.1   The decision to stand down an incident within the Council should be made between the EMT and Duty Gold Officer with advice sought from the Duty Emergency Planning Officer. The decision should be based upon whether there is an on-going need for a coordinated response of council services to the incident. Consideration should be given as to whether the reason for declaring the emergency are still applicable. This decision should be communicated to all parties.   Ending the

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emergency does not mean that there is no longer any work to do, but that control of the situation has been regained, and all actions fall within the scope of the normal procedures of the council.

7.6.2   It may be that the decision to stand down an emergency is taken in conjunction with other partner agencies through the Strategic Coordination Group and/or Tactical Coordinating Group which the Council will contribute to. Although the emergency may have been stood down the Council may still be involved in recovery following the incident.

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8.0 Recovery

8.1 Recovery is an integral part of the emergency management process. It can be characterised as the process of rebuilding, restoring, and rehabilitating the community once the immediate responses to save life, property and recover evidence have concluded. Multi-agency recovery operations should start as soon as possible after the onset of an emergency – ideally in tandem with the response itself.

8.2 In the aftermath of a major emergency, the principle concerns of the Council will be:
- Ongoing Business Continuity management
- Further support to the emergency services
- Continue normal support and care for the local and wider community
- Use resources to mitigate the effects of the emergency
- Co-ordinate the response by organisations other than the emergency services
- Recovery allows for the exploration of opportunities afforded by emergencies
- Establishing what happened
- Identifying improvements
- Applying lessons learned

8.3 The return to normality should also comprise of actions that take steps to adapt systems, services, and infrastructure to meet future needs in the event of a future emergency.

9.0   The Debrief Process

9.0.1   To ensure that the Council identifies and learns lessons from the incident debriefs should be undertaken. These follow two formats. In addition there may be a multi-agency debrief.

9.1   Hot Debrief

9.1.1   This takes place immediately after the incident has ended, usually at the scene. The hot debrief process allows for all responders – those present at the scene and those operating away from the scene – to discuss and share lessons learnt and ask questions. Many debrief processes may happen simultaneously depending upon the location of various responders and the various teams that may be operating at the site. A debrief involving all responders may also take place as they come together at the end of an incident. The hot debrief process ensures that support and information is shared amongst responders and allows learning points to be recorded for future reference and inquiry. It also allows for staff to take the opportunity to identify any further help and support that they themselves may require as a result of the incident. The hot debrief also allows for any safety issues or actions requiring immediate introduction of new systems to avoid similar mistakes occurring.

9.2   Cold Debrief

9.2.1   A cold debrief does not take place immediately after the event but at a time and place after and away from the incident scene. Holding a cold debrief allows incident responders and those involved with the incident to reflect upon the incident management and to consider other factors involving the emergency. A debrief that takes places a little while after an incident also ensures that personal issues that the event may have triggered can be identified.

9.2.3   A cold debrief should be led by an appropriately trained individual who was not involved (or only had very limited involvement) in the incident which is being debriefed to ensure that findings are not clouded by personal experience.

9.3   Multi Agency Debrief

9.3.1   Northamptonshire Local Resilience Forum has a debrief procedure and after a major emergency this may be put into place to capture the LRFs response to the incident. Key pertinent points from Council's internal debrief and any issues for other organisations can be taken to this debrief.

10.0 Financial considerations

10.1 Emergency Expenditure

10.1.1 In responding to an emergency / critical incident the common consent is that if something is urgently required to safeguard life or property, providing it is justifiable and proportionate, emergency expenditure measures may be undertaken. It is crucial in any emergency to keep a record of expenditure together with any invoices relating to the incident. Where possible an emergency budget code will be used but should not be presumed.

10.1.2 It should be noted that emergency procedures are only appropriate for the immediate emergency and officers will be expected to follow normal tendering and procurement procedures if circumstances allow.

10.1.3 Full recording and documentation of decisions taken and expenditure incurred is crucial and procedures must be put in place to ensure this happens. This may support any claims for cost recovery that follow in the aftermath of the incident.

10.2 The Bellwin Scheme

10.2.1 The Bellwin scheme is a scheme of emergency financial assistance to help local authorities meet uninsurable costs they incur when dealing with the aftermath of an emergency in their area. Authorities are expected to have budgeted for a certain amount of emergency expenditure, so relief is paid only when such expenditure goes beyond what the Government thinks it is reasonable to expect them to have budgeted for.

10.2.2 When the scheme is activated each local authority can claim for eligible costs above a set threshold.

10.2.3 Bellwin is regularly activated in times of emergency to make financial assistance available to local authorities. Further information is available from www.gov.uk.

10.3 Mutual Aid

10.3.1 During an incident it is a possibility that the need for council resources required is beyond those available. As a result, mutual aid might be requested from North Northamptonshire Council. Such requests maybe in the form of the provision of personnel and / or resources.

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11.0   Media & Communications

11.1   Following declaration of an emergency / critical incident, the Council's communications team will coordinate public information messages and may, if circumstances dictate, establish a Media and Communications Cell to act as a Single Point of Contact for any media enquiries.

11.2   It is essential that staff, elected members and the public are kept informed with timely and accurate information that they may need to act upon for their safety and wellbeing, and that they are offered reassurance. Any delay between an incident occurring and the public reaction to the incident must be minimal.

11.3   Following the declaration of a critical incident, the Northamptonshire LRF Media Plan will be activated, the objectives of which are to
   • Provide a multi-agency framework in which media enquiries can be efficiently and constructively handled
   • Establish key roles and responsibilities
   • Enable exchange of information between Communications Officers (COs) of the various agencies involved
   • Help control the flow of information and prevent a breakdown in communications
   • Provide a focal point for information gathering

11.4   The agencies involved will exercise flexibility in deciding which aspects of the plan to activate. Some major incidents may not require the whole plan to be put into operation.

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12.0 Training and Exercising

12.1 The Civil Contingencies Act 2004 requires all emergency plans be exercised regularly to ensure the plan is relevant and fit for purpose. All those persons with a nominated role in this plan will be identified and involved in appropriate briefing, training and exercises at regular intervals.

12.2 The Council has a training prospectus detailing the courses required for each role in the emergency plan. The prospectus also details dates of training and exercising through the year.

12.3 The West Northamptonshire Council Critical Incident Plan should be subject to regular testing and at a minimum of once a year. This testing will be coordinated by the Emergency Planning Service

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13.0   Glossary

ECC   Emergency control centre

ECCM   Emergency control centre manager

FCP   Forward control point

EMT   Emergency Management Team

ICR   Incident Control Room

ILO   Incident Liaison Officer

JESIP   Joint Emergency Services Interoperability Principles

RVP   Rendezvous point

SCG   Strategic Coordinating Group

TCG   Tactical Coordinating Group

A fuller list of related terms can be found at
https://www.gov.uk/government/publications/emergency-responder-interoperability-lexicon

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WEST NORTHAMPTONSHIRE SHADOW AUTHORITY

SHADOW EXECUTIVE COMMITTEE MEETING

23rd March 2021

Report Title	Business Continuity Management Policy & Strategy
Report Author	Jenny Walker, Environmental Protection Manager jenny.walker@east-northamptonshire.gov.uk

Future Northants Programme Name	Place
Future Northants Programme Lead	Jane Carr
Date of final endorsement by West Implementation Boards	03/03/2021
Date of final endorsement by West Implementation Executives	10/03/2021

Contributors/Checkers/Approvers		
West MO	Catherine Whitehead	
West S151	Martin Henry	
Other Director/SME		

List of Appendices

Appendix A – Business Continuity Management Policy and Strategy

1. Purpose of Report

1.1 To seek approval of the draft West Northamptonshire Business Continuity Management Policy and Strategy attached to this report.

1.2 To note the areas that require further review and implementation post vesting day.

2. Executive Summary

2.1 This report sets out the progress made in relation to drafting the West Northamptonshire Business Continuity Policy and Strategy document and highlights key areas that need to be considered post vesting day to update and support the policy document.

2.2 Emergency planning as a function is to sit with North Northamptonshire and the service is to be hosted by the North to the West. Whilst this document has been developed through the Emergency Planning Group it is important to

recognise that Business Continuity is a corporate function that is specific to each organisation. North Northamptonshire may take a different view and stance on the contents and priorities set out in this document.

3.   Recommendations

3.1   It is recommended that the Shadow Executive Committee:

    a) Approve the West Northamptonshire Council Business Continuity Management Policy and Strategy document as provided in Appendix A
    b) Note the areas with the policy that require further action and incorporation post vesting day

3.2   (Reason for Recommendations –To accord with legislation or the policy of the Shadow Authority)

4.   Report Background

4.1   The Civil Contingencies Act (2004) places a statutory duty on the council to have in place a business continuity plan to ensure that prioritised services and activities can continue to be performed as far as is reasonably practicable in the event of any emergency or disruption and to fully recover all services to normality as soon as possible.

4.2   In order to achieve this it is required that the authority has clear procedures in place for invoking the business continuity plans, training and exercising for staff involved in the plan is undertaken periodically, the arrangements set out within the document are kept under review ensuring they are up to date and that Business Continuity Management is promoted by the authority to commercial and voluntary organisations.

4.3   A key requirement is to ensure the authority assesses both internal and external risks when developing and reviewing the business continuity (BC) arrangements.

4.4   The Policy provided in Appendix 1 is an overview document that is legally required to be in place. This document details what BC is, aims, objectives and scope of BC. It also sets outs the generic roles and responsibilities for various functions of the plan within the authority and the governance of BC.

4.5   Details are also set out regarding the creation of the BC Plan which directly sits underneath the Policy. The BC Plan has not been developed at this time and will not be in place before vesting day. In order to develop the detailed plan for the organisation Business Impact Assessments need to be undertaken by each directorate in order to determine the priority services and activities that have to kept in place and be restored as soon as it is possible to do so.

4.6   The BC Policy and the subsequent plan reaches every single area of the organisation and input and assessment is required from each service area to highlight key risks and activities but to also identify required disaster recovery

processes such as ICT disaster Recovery Plans to ensure the key services can be maintained.

4.7   As a result of the complexity for assessing each area, the Business Continuity Plan is a key area that needs to form part of each authority post vesting day and where we must recognise that the North and West may differ in terms of risk/activities and recovery mechanisms.

5.   Issues and Choices

5.1   The BC Policy has been developed for the West Northamptonshire Council. The Policy and Strategy document includes a list of business continuity priorities which have been pulled from the existing district and borough councils and a list provided by Northamptonshire County Council. This list can be used as a basis for the work programme, however, a Business Impact Analysis process will determine a comprehensive list for the new authority which will be subject to approval by the Corporate Leadership Team.

5.2   The Business Continuity Plan which follows this policy document will need developing post vesting day. It may be deemed appropriate that both councils at this stage utilise the overarching policy document as set out in Appendix A with the aim of developing separate business continuity plans which contain the details of critical functions alongside what action should be taken in each area following a business continuity event.

6.   Implications (including financial implications)

6.1   Resources and Financial

6.1.1 The development of this policy and the subsequent required plans has significant implications for both staff resourcing and, potentially, financial resources.

6.1.2 The review and assessment of critical functions and the consideration of resources provided is resource intensive by staff and, due to current unitary reform and potential further transformational work, changes to the services and how they are delivered may not be fully known until post vesting day and may require a number of different reviews before the final plan is in place.

6.1.3 The Business Continuity plan process may highlight weaknesses in the disaster recovery mechanisms in place for the authorities that could require further investment to ensure they meet the required needs. Any requirements at this level should be brought back to a further committee for approval.

6.2   Legal

6.2.1 It is a legal requirement for the Business Continuity Strategy and Policy to be in place and must be pre vesting day. In order to ensure the organisation is effective during an event the detailed plan must be generated and tested.

6.3   Risk

6.3.1 A key risk for the new organisations post vesting day is the development of the business continuity plan that sits underneath the policy. The scale of work required to effectively assess the organisation's critical functions and the determination of the processes to be followed during an incident cannot be underestimated and may require several reviews.

6.3.2 Failure to undertake this work effectively or create the necessary plans not only is a reputational risk for the organisation but would also result in failing to meet legal requirements for the provision of key services.

6.4 Consultation

6.4.1 This policy is an internal document that does not require external consultation at this stage. Business continuity is a consideration for any contract that is in place from the authorities and will exist within existing contracts that will be novated to the new authorities.

6.5 Consideration by Overview and Scrutiny

6.5.1 This report has not been considered by Overview and Scrutiny.

6.6 Environmental Impact

6.6.1 There is no environmental impact arising from this report.

6.7 Community Impact

6.7.1 Business continuity is vital to ensure our communities are protected as much as possible from a business continuity impact affecting the services they receive from the authority. Where an incident effects the provision of these the business continuity policy and plan must aim to reduce these as much as possible, put into place alternatives and return to business as usual as quickly as possible.

6.8 Equalities
6.8.1 As the policy is an internal document an EIA is not required.

7. Background Papers

7.1 Historic North Northamptonshire Safety and Resilience Partnership (NNSRP) Business Continuity and Recovery Documents
Historic Northamptonshire County Council Business Continuity Documents
Borough Council of Wellingborough Corporate Business Continuity Management Strategy and Policy
North Northamptonshire Safety and Resilience Partnership (NNSRP) Emergency Plan and Emergency Response Plan

West Northamptonshire Council

Business Continuity Management Policy & Strategy

Document Control

The distribution of this document is controlled and the current version is available…...

Title	Business Continuity Policy and Strategy
Purpose of document	To detail the business continuity policy and strategy
Document Control Number	BCP 1
Related documents	• British Standards ISO 22301:2012 Societal security – Business continuity management systems – Requirements • Historic NNSRP and NCC Business Continuity and Recovery Documents
Document Status	Draft for approval
Document Author	Laura Hannam/Peter Ludford
Document Owner	
Protective marking	Unprotected
Intended audience	
Date Approved	
Approved By	
Next Scheduled Review	

Revision Status

Revision Number	Section	Details of Change	Date
v0.1	All	First Draft	06/02/2021

V2	All	Amendments made from North Northamptonshire to West Northamptonshire - not applicable to NNRSP	17/02/2021
V3	2	Insert of the Leadership statement	14/03/2021
	7	Update of **pre-identified list of prioritised services** list of Council	

Contents

1 Introduction

1.1 The purpose of this document is to outline the approach of West Northamptonshire Council to business continuity management (BCM). It will determine the context, scope and governance of the business continuity programme. It outlines the council's strategy to business continuity, including roles and responsibilities.

1.2 West Northamptonshire ensures the services and activities it provides will continue to be delivered to our residents at minimum agreed levels during unexpected serious disruption. Such events could be internal disruption, such as ICT failure, or when a major external emergency occurs, such as severe weather. The continuity of services and activities is achieved through the business continuity management process which will limit the impact of an incident.

1.3 The council provides a diverse range of services, both internally and to the community of West Northamptonshire. These services are often critical to the well-being of our residents and essential to the success of the council. In many cases the council has a statutory duty to provide certain services and activities. It is therefore essential to put plans in place in advance rather than being unprepared at the time of a disruptive event occurring.

2 Corporate Strategy/Statement of Intent

West Northants Council is committed to providing public services to the people who live, work, run businesses and visit West Northamptonshire.

Our vision agreed by our executive and developed with our stakeholders is

"to make West Northants a great place to live, work, visit and thrive"

Underpinning this are a clear set of values and behaviours that reflect how we work to ensure that what we do we do well and we create an environment and community that is safe, fair, creative and supportive.

Our commitment to our local communities is important. While we encourage and support a relationship in which people are independent and more Communities have a stake in West Northants and its success, we also have a key role in supporting those who need our help. People at the heart of everything we do and it is vital that when things go wrong we are having to ability to ensure that vital services continue and people remain safe and secure.

This Business Continuity Management Policy & Strategy is more than a document. It is a statement of intent that we will work tirelessly to keep services running in the event of unforeseen circumstances and that we will take the necessary actions to protect our residents and stakeholders from any risk and restore services at the earliest opportunity possible**.**

Cllr Ian McCord   **Anna Earnshaw**

Leader of West Northamptonshire Shadow Authority   **Chief Executive**

3   Definition of Business Continuity

3.1   Business continuity is defined as ' *the capability of the organisation to continue delivery of services at acceptable pre-defined levels following a disruptive incident'* (The Business Continuity Institute Good Practice Guidelines (BCI GPG)).

3.2   Business Continuity Management (BCM) is about identifying the parts of your organisation that you can't afford to lose - for example, premises, staff, information, equipment – and planning how to maintain these, if an incident occurs. BCM can be defined as 'a holistic management process that identifies potential threats to an organisation and the impacts to business operations those threats, if realised, might cause, and which provide a framework for building organisational resilience with the capability of an effective response that safeguards the interests of its key stakeholders, reputation, brand and value-creating activities.' ISO 22301

3.3   A business continuity management system (BCMS) builds and improves the resilience of organisations. The aim of having a (BCMS is to ensure that West Northamptonshire Council has identified its prioritised services and is able to deliver a minimum level of these services when faced with disruptive challenges.

4   Statutory Requirements

4.1   This business continuity policy provides the framework within which our authority can comply with the business continuity requirements of our customers and other interested parties by introducing a business continuity management system (BCMS) that aligns with the international standard for business continuity ISO 22301:2012

4.2   The Civil Contingencies Act (2004) places a statutory duty on the council as a Category One responder to ensure that it can:

- respond to an emergency
- support emergency responders
- continue to provide essential services to its residents

The Act in relation to business continuity requires the council to:

a)   Maintain business continuity plans to ensure that prioritised services and activities can continue to be performed as far as is reasonably practicable in the event of any emergency or disruption, and to fully recover all services to normality as soon as possible.
b)   Have clear procedures for invoking business continuity plans.
c)   Have arrangements in place for the provision of training for staff involved in the plan and include exercises to ensure the plan is effective.
d)   Review its business continuity arrangements and keep them up to date.
e)   Assess internal and external risks when developing and reviewing BC arrangements.
f)   Promote BCM to commercial and voluntary organisations.

5   Business Continuity Aims

The purpose of this document is to formalise the Business Continuity Management System (BCMS) of West Northamptonshire Council to provide organisational resilience across all prioritised services and activities. This policy provides guidelines for developing, maintaining and exercising Business Continuity Plans (BCPs).

6   Business Continuity Management Objectives

The council's business continuity management objectives which are in line with the duties of the Civil Contingencies Act and the International Standard for Business Continuity Management (ISO 22301:2012) are to:

- Provide a framework for the development, implementation and monitoring of a Business Continuity Management System while supporting the delivery of the council's strategy.
- Identify the council's prioritised services and activities along with supporting resources and interdependencies through the process of business impact analysis.
- Develop and maintain business continuity plans for all council's prioritised services to ensure the continuity of services at a minimum acceptable level and within specific timeframes following a disruption.
- Identify key roles and responsibilities to deliver the business continuity programme.
- Identify and mitigate internal and external business continuity risk to the delivery of prioritised services/activities.
- Support the response, resumption and recovery of the organisation's operations and activities during a service interruption event.
- Train staff of their roles within the plans.
- Exercise, test and review plans at regular intervals.
- Embed business continuity awareness and practices within the culture of the organisation.
- Promote and encourage business continuity in the local community, with local business and voluntary organisations.

7   Scope of the BCM Programme

7.1   Although this strategy applies to all parts of the council as all service areas play a key role in ensuring service delivery, it is important to recognise that not all service areas will be treated as *prioritised services* and do not fall into the scope of the full BCMS work programme.

7.2   A *prioritised service or activity* is defined as the activities to which priority must be given following an incident in order to mitigate impacts.

7.3   The policy provides guidance for the resumption and recovery of these time sensitive activities in accordance with pre-established timeframes as well as ensuring that adequate plans are in place for the less time sensitive activities.

7.4   Although all services are important, priority for recovery will be given to those services which have been pre-identified by the Business Impact Analysis process as being 'priority services'. These service areas may include those that;;

- Deliver a service on Public Holidays, or;
- Have measures in place to compensate for a service not being delivered on Public Holidays (e.g. additional bin collections arranged to allow for no service on Christmas Day).
- Provide functions which, if ceased, would result in a significant increase in instances of death or serious injury.
- Provide essential care which, if ceased, would result in a serious impact on the basic needs of the vulnerable.
- Provide functions which, if impacted, would seriously disrupt the ability of the community to maintain essential activities resulting in significant social, environmental or economic harm.

7.5 It is unlikely that the entire service will be recovered immediately, however, the pre-identified prioritised activities within the service area will be restored first to mitigate impacts followed by the other activities when possible.

7.6 At the initial launch of the BC programme with the new unitary authority, West Northamptonshire, the existing pre-identified District and Borough prioritised services list will be the focus for conducting the business impact analysis (BIA) and developing BC plans. Once this initial work has been completed, all service areas within the organisation will undergo an initial BIA in order to identify areas of time constrained services and activities.

These prioritised services are:

West Northamptonshire Council's priority services	
Department/Priority Service	**BC Plan Ownership/Activity**
Waste	Refuse Collection
Housing	Perform statutory function of homeless prevention and resolution
	Responding to vulnerable tenants
	Continue provision of emergency response to tenants
Environmental Health	Health and safety response to serious accidents
	Environmental protection response to serious pollution events
	Outbreaks of infectious disease, and food poisoning
	Burials and Cremations Service
Building Control	Inspecting dangerous structures

Democratic Services	Event and time critical
Communications	Press and media management
	Social media
	Internal communications
Customer Services	Customer Contact – Telephone, safeguarding lines
	Customer Contact - Email
	Customer Contact - Face to Face
	Customer Contact - Out of Hours
Finance	Accounts Payable/Accounts Receivable
	Treasury Management
Payroll Services	Payroll processing and payment of BACs
Revenues and Benefits	Housing Benefit/CTS Assessment and payment to vulnerable customers
	Council Tax and Business Rates Billing and collection
	Provision of Debt and Money Advice service to vulnerable residents
	Provision of Revs and Bens systems including payment runs
	Provision of sundry debtors' service
	DWP Housing Benefit Subsidy (time critical)
Emergency Planning	Emergency response to incidents
	Incident Control Room (ICR) functions
Adult Social Care	Safeguarding
	Crisis Response Team
	In House Care Home Recovery
Children's Services	Safeguarding
	Emergency Duty Team
Bereavement Services	Coroners Service
	Registration of deaths

Highways	Emergency call out
	Winter maintenance service
Trading Standards	Emergency call out
Public Health	Communicable disease control/ Test and Trace
	Infection Prevention and Control (IPC)
	Outbreak Management
ICT	Critical Business systems
	Provision of Network Services / Applications / Access & Hardware
Web Team	Public information updates
Human Resources	Corporate supporting service.
	Workforce planning and employee relations
Facilities Management	Corporate supporting service. Provision of council buildings, access and responsibility for assets
	Property Helpdesk (including schools)

7.7 The secondary focus of the authority's business continuity arrangements are developing plans for the functions that directly support operational activities. These are Facilities, Human Resources and ICT services.

7.8 In addition to the above plans, an over-arching corporate business continuity plan will be developed to provide guidance for managing disruptions which affect more than one service area and to support the recovery of these services.

7.9 All service areas must eventually be restored following an unplanned disruption. As such generic plans will be in place for non-prioritised services.

7.10 Business continuity should also apply to outsourced contracts. Priority service areas that have outsourced contracts that are integral to the delivery of their prioritised activities should seek assurance that business continuity arrangements are in place with the contractor so that acceptable standards of delivery of services can continue in a disruptive event.

7.11 This policy does not seek to replace or supersede existing relevant policies or planning (e.g. site specific documents).

8 Roles and responsibilities

The following list outlines roles which will ensure the success and support of the council's business continuity management programme.

8.1 Chief Executive and Corporate Leadership Team

- Overall strategic responsibility for setting business continuity objectives.
- Ensure the council's business continuity management policy is established for the benefit of the council and compliance with the Civil Contingencies Act.
- Communicate and promote business continuity across all council services.
- Approve prioritised services and activities at a corporate level.
- Ensure resources are available for business continuity.
- Participate in strategic level business continuity exercises where appropriate.
- Lead a strategic level Incident Management Team when strategic direction is required.
- Sign off corporate business continuity plan.
- Prioritise services across the council in a business continuity incident.

8.2 Leader of the Council

- Endorse and sponsor business continuity across all council services.
- Assist the strategic business recovery group where appropriate, communicating key information to other elected members and to the community.

8.3 Corporate Management Team – Assistant Directors

- Implement business continuity tasks for own areas of responsibility, and ensure they are resourced accordingly.
- Nominate a manager to be responsible for the creation and maintenance of BC plans for each service area that requires a plan.
- Raise awareness of business continuity across the organisation.
- Ensure individuals carry out their roles as appropriate within the organisation.
- Participate in strategic level business continuity exercises.
- Prioritise services and teams in a business continuity incident.
- Be part of a strategic Incident Management Team when required.
- Ensure there is a consistent approach to the implementation of the business continuity management programme.

8.4 Business Continuity Sponsor

- This will be a member of the Corporate Management Team to support the Business Continuity Coordinator in raising awareness of business continuity across the organisation.
- To attend quarterly business continuity meetings with the business continuity steering group.

- Reports to CLT on progress and any issues raised in the business continuity work programme.

8.5 Business Continuity Coordinator

- Coordinate business continuity policy and programme within the council.
- Monitor the performance of the BCMS and compliance with the policy.
- Provide support and guidance to BC plan owners.
- Schedule and chair quarterly BC meetings with BC steering group.
- Facilitate training, exercising and reviewing the business continuity programme.
- Reports to steering group on priorities and progress of the work programme.

8.6 Business Continuity Plan Owners

- Each department to appoint a BC representative who is responsible for writing, maintaining and reviewing plans for their service.
- Collect information for the BIA with guidance from the business continuity professional.
- Participate in exercises and testing of plans.
- Raise awareness amongst their teams of the BC plan as well as individual's roles within the plan.

8.7 All Staff

- Understand the business continuity programme and have awareness of the roles and responsibilities during an incident.
- Recognise an incident, alert responders and react appropriately.

8.8 Interested Parties

- This group could include councillors, suppliers, other local authorities, representative bodies, regulators and governing bodies.
- Act where relevant within the business continuity programme or in response to an incident.

9 Governance

9.1 The Assistant Director of Regulatory Services will be responsible for the maintenance of the Corporate BCP, including reviewing, updating, training and exercising of the plan.

9.2 The West Northamptonshire Emergency Planning team will have the equivalent Resilience Direct set-up even if the EP Team resides with North Northamptonshire in the short term.

9.3 The BC Coordinator will have responsibility for the day-to-day administration and guidance of the service area BC Plans including training, exercising and maintenance.

9.4 A BC Governance Board/Steering Group will convene quarterly to oversee the implementation and monitoring of West Northamptonshire's BCM Strategy and will;

- Be chaired by the Business Continuity Coordinator.
- Be attended by the BC sponsor and prioritised service area plan owners.
- Oversee, advise and manage the business continuity programme.
- Share best practice, make recommendations and report to ELT.
- Identify any issues emanating from individual service areas, which could have an impact on the service area's continuity arrangements or other departments.
- Horizon scan and raise awareness of future risks and disruptions.
- Review the Corporate and Directorate Risk Registers at each meeting to ensure that the business continuity programme is aligned to these. ELT will review the Council's risk profile on a quarterly basis at corporate and directorate levels with designated SROs for each of the risks.
- Identify the requirement for business continuity exercises and provide support as required to the exercise programme.

The business continuity programme delivery

The council will follow the Business Continuity Institute's Good Practice Guidelines and The Business Continuity Management Lifecycle: Building Organisational Resilience in achieving the programme delivery.

A programme is needed to fully integrate business continuity into the organisation and achieve the duties of the Civil Contingencies Act (2004). The following activities and documents support the delivery of the programme;

10 Analysis - Business Impact Analysis (BIA)

10.1 Better understanding the organisation is achieved through the process of Business Impact Analysis which determines the impact of a sudden disruption to the activities carried out by the individual service areas.

10.2 All service areas will eventually undergo an initial business impact analysis (BIA). However, the BIAs that will be conducted first will be those identified in the scoping section as delivering a prioritised service/activity. The BIA is essentially a questionnaire completed by individual service area managers or a delegated officer to identify the business continuity requirements which are the time frames, resources and capabilities necessary to continue to deliver prioritised services.

10.3 The BIA helps to understand:

- The service area's objectives, statutory duties and operating environment.
- The activities and resources required to support the delivery of key services.
- The impact of failure of these activities over time.
- The maximum tolerable period of disruption (MTPD), the time it would take for adverse impacts to arise as a result of not delivering a service or activity.

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- The period of time that each service would need to be resumed by (Recovery Time Objective).
- The threats that could disrupt the service delivery.
- Methods of mitigating risks and maintaining service delivery.
- The resources required to maintain activities at a minimal acceptable level (Minimum Business Continuity Objective).

10.4 Impacts over time by failing to deliver a service or activity could include;

- Failure to meet statutory or regulatory obligations.
- Personal injury to staff/resident/visitor/contractor.
- Financial impacts (penalties, loss of income, delayed payments).
- Public confidence and reputation.
- Implications for community or the environment.
- Delays to new projects.

10.5 The information from the BIA process will be used to produce a list in rank order of the organisations prioritised services and activities. This will inform CLT decisions on how the effort should be distributed across priority services during an incident.

10.6 BIAs will be updated every two years or after any significant changes within the service area.

10.7 Details of key stakeholders are documented in detail in the individual Business Impact Assessments (BIA).

11 Risk assessment

11.1 Once the prioritised services and activities have been identified through the BIA, a risk assessment can be conducted to identify the risk and likelihood of potential impact due to various threats that could cause a business interruption to the prioritized services and activities.

11.2 Any incident, large or small can cause major disruption to the organisation. Both external threats (the risk of an emergency occurring) and internal risks (business risks) can impact an organisation. The authority shall be prepared for risks including, but not limited to;

- Loss of, or access to, premises
- Loss of staff
- ICT failure
- Adverse weather
- Loss of utilities e.g. water, gas or electricity
- Loss of supplier or contractor
- Disruption to transport

11.3 The identification of business continuity risks can be incorporated into corporate and service risk registers compiled by the Corporate Leadership Team. Risk assessment

information will enable effective business continuity solutions and mitigation measures to be designed.

11.4 If information is received that an emergency is likely to occur that will impact on the delivery of the council's prioritised activities and services, a meeting will be convened attended by senior managers and a member of the Business Continuity Steering Group forming the Incident Management Team to assess the risks in relation to business continuity.

11.5 In the event of any major incident or emergency, business continuity management must form part of the council's strategy in its response capabilities.

12 Design & Implementation - Business Continuity Plan

12.1 It is essential to plan solutions to deal with disruptive situations so that the organisation can continue to function with as little interruption as possible. An over-arching corporate business continuity plan will be developed to provide guidance for managing disruptions which affect more than one service area and to support the recovery of these services.

12.2 Each prioritised service area defined as in scope (see in scope section above) will have their own individual service area plan which will be developed by the manager or delegated officer responsible for that service area with support from the business continuity coordinator.

The plans will provide documented guidance and contain;

- A process for activating the response.
- Details to manage the immediate consequences of the incident.
- Defined roles and responsibilities during and following an incident.
- Interim solutions to maintain an emergency level of service.
- Risk mitigation measures to reduce the likelihood and/or impact of risks to the delivery of prioritised activities.
- Details on how the organisation will communicate with employees, key interested parties and emergency contacts.
- Procedures to recover, resume and restore to a predefined level of operation following disruption.
- A process for standing down once the incident is over.

12.3 There is a corporate template which should be used to complete plans, unless service areas have developed their own agreed plans working with the business continuity coordinator.

12.4 Business continuity plan owners will be responsible for regularly updating their business continuity plans. All plans should be reviewed annually or sooner following an incident or learning from an exercise. All contact details held in the plans will be updated no less than once quarterly.

12.5 BC plans should be sent electronically to the business continuity coordinator to be stored securely on Resilience Direct.

12.6 The information within the plans will help to develop the ICT disaster recovery plan in order to prioritise key software in an ICT disruption event.

13 Invoking the Business Continuity Plans

13.1 In the event of a major incident involving wider consequences or the threat of an emergency, it may be necessary to escalate the response. Such incidents could include

- serious danger to the welfare of council staff, members or visitors
- serous loss or damage to key assets
- emergency situations in Northamptonshire
- major disruption to council services

13.2 The procedure by which the Corporate Business Continuity Plan (CBCP) is invoked should be clearly documented in plans, setting out the individuals who have the authority to invoke the plan and under what circumstances. The CBCP may be invoked by any member of the council's Corporate Leadership Team.

13.3 The request to invoke service area plans may also be made at the same time. The CBCP should set out the process for both activating and standing down the relevant teams.

13.4 Once plans are invoked an Incident Management Team will be convened to identify the threat of risks to the organisation and any remedial action that needs to be taken in the immediate and longer term. This strategic team will focus on the issues that impact the organisation's objectives and services. The recovery effort will depend on the type of risk and the associated challenges.

13.5 The incident management team will be comprised of managers from;

- Corporate Leadership Team and Assistant Director Team
- HR
- Communications
- ICT
- Facilities
- Finance
- Health and Safety
- Business Continuity Sponsor and Coordinator
- A log list will also record decisions.

13.6 The role of the IMT is to provide the strategic command, control and decision making during a disruptive event. The IMT will establish how to maintain and restore each affected prioritised activity within the service area. The priority in which services affected by a disruption are allocated resources will also be confirmed. This will be

based on the recovery time objectives of the prioritised activities across all service areas.

13.7 A Tactical team may also be in place to coordinate the continuity of services, provide expertise and support to the operational group, and to ensure that resources are allocated where needed.

13.8 An Operational Team may be required to focus on the continuation of activities in individual service areas and managing the effects of an incident.

13.9 It is vital that during the time of a business disruption, managers can quickly gain an overview of the extent of the disruption to their own service area. This information will need to be escalated to the IMT so that the impact across all services can be established. Activities may include;

- Evaluating the extent of the situation and the potential consequences.
- Prioritising the reactivation of activities across all service areas.
- Acquiring sufficient resource to support the continuity of services/activities.
- Changing priorities as a situation evolves.
- Ordering and purchasing replacement equipment where needed.
- Ensuring measures are in place to protect staff welfare.
- Implementing measures to protect property, resources and ensuring all sites remain secure and safe.
- Agreeing recovery procedures in order to provide an operational service to employees and residents.
- Corporate communication with media, employees and the public ensuring protection of reputation throughout.
- Briefing members.
- Keeping records of decision making and expenditure arising out recovery operations.
- Instigate and oversee the insurance claim process.
- Recovery of damaged files, vehicles, equipment and premises.
- Organising the return to normality once the emergency period has passed through a Resilience Working Group.

Validation - Training, awareness and exercising BCM arrangements

BC plans should be reviewed, exercised and validated at regular intervals to determine whether any changes are required to procedures and responsibilities.

14 Review

The review of BCM arrangements shall be regular and be conducted either through self-assessment or formal audit. Planned review periods should not exceed 12 months. Periodically, the BCP may be audited in line with the council's auditing policy. The review should be documented and ensure that the BCM arrangements:

- Accurately reflect the organisation's objectives.
- Include a programme for training, exercising and awareness.
- Identify all prioritised service areas and supporting resources.
- Incorporate improvements identified during incidents and exercises.

14.1 Management review of the BCMS

Senior management shall review the authority's BCMS at planned intervals and when significant changes occur to ensure its continuing suitability, adequacy and effectiveness. This review shall include assessing opportunities for improvement and the need for changes to the BCMS, including the business continuity management policy and business continuity management objectives. The results of the reviews shall be clearly documented and records shall be maintained.

14.2 Internal Audit

The authority shall ensure that internal audits of the BCMS are conducted at planned intervals to determine whether the BCMS:

- Conforms to planned arrangements for BCM, including the requirements of this BCM standard.
- Has been properly implemented and is maintained.
- Is effective in meeting the authority's BCM policy and objectives.
- Provides information on the results of audits to management.

14.3 Post incident review

In the event of an incident that results in the invocation of the BCP, a post-incident review shall be undertaken to:

- Identify the nature and cause of the incident.
- Assess the adequacy of management's response.
- Assess the organisation's effectiveness in meeting its recovery time objectives.
- Assess the adequacy of the BCM arrangements in preparing employees for the incident.
- Identify improvements to be made to the BCM arrangements.

15 Maintenance

15.1 A maintenance programme will ensure that plans are updated by the plan owner:

- As employees or responsibilities change.
- If there are changes to the organisation's structure or services.
- If there are changes to the environment in which the authority operates.
- Following lessons learned from an incident or exercise.
- Following a review or audit.

- Following good practice.

16 Continual Improvement

16.1 The authority shall continually improve the effectiveness of the BCMS through the review of the business continuity policy and objectives, audit results, analysis of monitored events, preventive and corrective actions, and management review.

17 Training and Awareness

17.1 Raising awareness of BCM with staff is an essential part of embedding BCM within the culture of the organisation. Awareness training sessions will be provided for all BC plan holders.

17.2 The authority shall ensure that all personnel who are assigned business continuity responsibilities are competent to perform the required tasks by:
- Determining the necessary competencies for such personnel.
- Conducting training needs analysis on personnel being assigned BCM roles and responsibilities.
- Providing training to all service areas providing prioritised activities.
- Ensuring that the necessary competence has been achieved.
- Maintaining records of education, training, skills, experience and qualifications.

18 Exercising

18.1 A business continuity plan cannot be considered reliable until it is exercised and has proved to be workable. There is a continual need to prove plans and strategies by testing them.

18.2 The authority will exercise its BCM arrangements to ensure that they meet business requirements and are consistent with the business continuity objectives. The authority shall:

- Develop exercises that are consistent with the scope of the BCMS.
- Rehearse key staff and those involved in prioritised services.
- Have an exercise programme to ensure exercises are carried out at planned intervals and when significant changes occur.
- Carry out a range of different exercises including tabletop discussions, scenario, simulation and live exercises that taken together validate the whole of its business continuity arrangements.
- Plan exercises so that the risk of an incident occurring as a direct result of the exercise is minimised.
- Define the aims and objectives of every exercise.
- Carry out a post-exercise review of each exercise that will assess the achievement of the aims and objectives of the exercise.
- Produce a written report of the exercise, including lessons learnt, to determine any amendments required when the plan(s) are updated.

18.3 The overarching BCP should be tested at least annually to ensure credible recovery preparedness. Test results shall be shared with the authority.

18.4 Service-specific BCPs should also be tested at least annually. The respective business plan owner and the BC coordinator shall work with the CLT to perform these business-unit specific tests.

19 Communication

19.1 Copies of the BC Plans will be internally saved electronically under secure conditions.

19.2 Copies will also be held on the North Northamptonshire's Resilience Direct page which can be accessed by the plan owners.

19.3 The Civil Contingencies Act 2004 places requirements on Category 1 responders to 'publish aspects of their BCPs in so far as making this information available if necessary or desirable for the purposes of dealing with emergencies'.

19.4 The overarching and department/service-specific BCPs shall include mandatory instructions, advice, process, procedure or guidance concerning internal and external communications. External communication during the time of crisis is a critical business process. The CLT shall develop the process and messages that will be communicated to the press and to staff in the event of an area-wide or department/service-specific business interruption.

19.5 It is important that the authority informs partner organisations of any event that may threaten the delivery of its prioritised activities and activities. This information should be communicated in order to prevent, reduce, mitigate the effects or take action in connection with the threat to the delivery of services.

19.6 In the *Communication Section* of the corporate business continuity plan and in individual service area plans a list of interested parties and key contacts is held who may need to be contacted prior to or during a business interruption event.

20 References & Glossary

20.1 References

- The Civil Contingencies Act 2004
- ISO 22301 and 22313 Societal Security – Business Continuity Management Systems – (2012)
- The Business Continuity Institute Good Practice Guidelines 2018 Edition
- North Northamptonshire Safety and Resilience Partnership (NNSRP) Business Continuity and Recovery Documents
- Historic Northamptonshire County Council Business Continuity Documents

- Borough Council of Wellingborough Corporate Business Continuity Management Strategy and Policy
- North Northamptonshire Safety and Resilience Partnership (NNSRP) Emergency Plan and Emergency Response Plan

20.2 Glossary

BC   Business Continuity

BCP   Business Continuity Plan

BCM   Business Continuity Management

BCMS   Business Continuity Management System

BIA   Business Impact Analysis

CBCP   Corporate Business Continuity Plan

IMT   Incident Management Team