



THE LONDON BOROUGH  
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DATE: 21 January 2019

To: Members of the  
**PUBLIC PROTECTION AND ENFORCEMENT POLICY DEVELOPMENT &  
SCRUTINY COMMITTEE**

Councillor David Cartwright QFSM (Chairman)  
Councillor Chris Pierce (Vice-Chairman)  
Councillors Kathy Bance MBE, Julian Benington, Mike Botting, Hannah Gray,  
Samaris Huntington-Thresher, Alexa Michael and Harry Stranger

Non-Voting Co-opted Members –

Sharon Baldwin, Chairman - Safer Neighbourhood Board  
Julie Clark, Victim Support  
Dr Robert Hadley, Bromley Federation of Residents Associations  
Fen Johnson, Bromley Youth Council  
Alf Kennedy, Bromley Neighbourhood Watch  
Cameron Ward, Bromley Youth Council

A meeting of the Public Protection and Enforcement Policy Development & Scrutiny  
Committee will be held at Bromley Civic Centre on **WEDNESDAY 30 JANUARY  
2019 AT 7.00 PM**

MARK BOWEN  
Director of Corporate Services

*Copies of the documents referred to below can be obtained from  
<http://cde.bromley.gov.uk/>*

## **PART 1 AGENDA**

**Note for Members:** Members are reminded that Officer contact details are shown on each report and Members are welcome to raise questions in advance of the meeting.

## **STANDARD ITEMS**

- 1 APOLOGIES FOR ABSENCE AND NOTIFICATION OF SUBSTITUTE MEMBERS**
- 2 DECLARATIONS OF INTEREST**
- 3 QUESTIONS FROM COUNCILLORS AND MEMBERS OF THE PUBLIC  
ATTENDING THE MEETING**

In accordance with the Council's Constitution, questions to this Committee must be received in writing 4 working days before the date of the meeting. Therefore please

ensure questions are received by the Democratic Services Team by 5pm on January 24<sup>th</sup>.

**4 MINUTES OF THE PUBLIC PROTECTION AND SAFETY PDS COMMITTEE MEETING HELD ON 4TH DECEMBER 2018 (Pages 1 - 12)**

**5 MATTERS ARISING (Pages 13 - 16)**

**6 POLICE UPDATE**

**HOLDING THE PORTFOLIO HOLDER TO ACCOUNT**

**7 QUESTIONS TO THE PORTFOLIO HOLDER FROM MEMBERS OF THE PUBLIC AND COUNCILLORS ATTENDING THE MEETING**

In accordance with the Council's Constitution, questions to this Committee must be received in writing 4 working days before the date of the meeting. Therefore please ensure questions are received by the Democratic Services Team by 5pm on Thursday, January 24<sup>th</sup>.

**8 PRE-DECISION SCRUTINY OF PORTFOLIO HOLDER REPORTS**

Portfolio Holder decisions for pre-decision scrutiny.

**POLICY DEVELOPMENT AND OTHER ITEMS**

**9 DRAFT BUDGET 2019/2020 (Pages 17 - 32)**

**10 PARKING SERVICES – CONTRACTOR PERFORMANCE REVIEW, APCOA PARKING. YEAR 2. (Pages 33 - 72)**

**11 MOPAC UPDATE (Pages 73 - 76)**

**12 EMERGENCY PLANNING AND BUSINESS CONTINUITY SERVICE UPDATE (Pages 77 - 184)**

**13 PUBLIC PROTECTION AND ENFORCEMENT PERFORMANCE OVERVIEW (Pages 185 - 186)**

**14 CONTRACTS REGISTER REPORT AND DATABASE EXTRACT--PART 1 (Pages 187 - 196)**

**15 ENVIRONMENTAL AND COMMUNITY SERVICES RISK REGISTER UPDATE (Pages 197 - 208)**

**16 WORK PROGRAMME (Pages 209 - 212)**

## **PART 2 AGENDA**

**17 LOCAL GOVERNMENT ACT 1972 AS AMENDED BY THE LOCAL GOVERNMENT (ACCESS TO INFORMATION)(VARIATION) ORDER 2006, AND THE FREEDOM OF INFORMATION ACT 2000**

The Chairman to move that the Press and Public be excluded during consideration of the items listed below as it is likely in view of the nature of the business to be transacted or the nature of the proceedings that if members of the press or public were present there would be disclosure to them of exempt information.

**18 CONTRACTS REGISTER DATABASE  
EXTRACT-PART 2 (Pages 213 - 214)**

Information relating to any individual.  
Information which is likely to reveal the identity of an individual.

**19 EXEMPT MINUTES OF THE MEETING HELD ON  
4TH DECEMBER (Pages 215 - 218)**

Information which is likely to reveal the identity of an individual.

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## **PUBLIC PROTECTION AND ENFORCEMENT POLICY DEVELOPMENT & SCRUTINY COMMITTEE**

Minutes of the meeting held at 7.00 pm on 4 December 2018  
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### **Present:**

Councillor David Cartwright QFSM (Chairman)  
Councillor Chris Pierce (Vice-Chairman)  
Councillors Julian Benington, Mike Botting, Kevin Brooks,  
Hannah Gray, Samaris Huntington-Thresher,  
Alexa Michael and Harry Stranger

Sharon Baldwin, Dr Robert Hadley, Alf Kennedy and  
Cameron Ward

### **Also Present:**

George Brown, Sarah Foster, Superintendent Craig  
Knight, Steve Phillips, Andrew Rogers, John Stephenson,  
Joanne Stowell and Louise Sylver

## **STANDARD ITEMS**

### **34 APOLOGIES FOR ABSENCE AND NOTIFICATION OF SUBSTITUTE MEMBERS**

Apologies were received from Julie Clark.

Apologies were received from Nigel Davies, and Joanne Stowell attended as substitute.

Apologies were also received from Councillor Kathy Bance and Councillor Kevin Brooks attended as substitute.

### **35 DECLARATIONS OF INTEREST**

There were no declarations of interest.

### **36 QUESTIONS FROM COUNCILLORS AND MEMBERS OF THE PUBLIC FOR THE ATTENTION OF THE CHAIRMAN OR COMMITTEE**

There were no questions from Councillors or Members of the Public.

### **37 MINUTES OF THE PUBLIC PROTECTION AND ENFORCEMENT PDS COMMITTEE HELD ON 27th SEPTEMBER 2018--EXCLUDING EXEMPT INFORMATION**

The Committee considered the minutes of the meeting of Public Protection and Enforcement PDS Committee held on 27<sup>th</sup> September 2018.

**RESOLVED that the minutes of the meeting held on 27<sup>th</sup> September 2018 be agreed and signed as a correct record.**

### **38 MATTERS ARISING**

#### **CSD18177**

Members noted the Matters Arising report, and the progress that had been made regarding these matters since the previous meeting.

The Chairman suggested that Superintendent Knight update on matters arising relating to the police in the Police update.

It was agreed that the update due from the Head of Trading Standards and Community Safety in connection with property management operators and the redress scheme, would be looked into outside of the meeting by the Assistant Director for Public Protection.

**RESOLVED that the matter relating to whether or not property management operators had to pay to join a redress scheme be investigated by the Assistant Director for Public Protection, and reported back to the Committee.**

### **39 POLICE UPDATE**

The police update was provided by Superintendent Craig Knight. The Chairman referenced the fact that he had requested statistical information from Mr Knight in advance of the meeting. The Chairman acknowledged that in this case he had probably not submitted the request in good enough time. Nevertheless, the Superintendent had provided a Headline Performance document on the morning of the meeting, and this had been disseminated to the Committee.

Mr Knight addressed the matter that had arisen at the previous meeting concerning fleet vehicles. He explained that due to tighter controls on car emissions in central London, Bromley police had lost their newest fleet of vehicles and had got their old fleet of vehicles back. Bromley police were not getting new vehicles; they were bound by fleet management rules. They were also looking at trying to obtain local sponsorship for some vehicles.

A Member suggested that due to the size of the Bromley Borough, Bromley needed cars more than inner London, and perhaps this was an argument that could be used with Fleet Management. Mr Knight stated that the argument had been made. It was clarified that the vehicle exchange was undertaken on a one to one exchange basis.

The Chairman asked what would happen in central London (in the tighter emission control areas) if they required reinforcements from older vehicles. It was noted that in case of emergencies, the police would have no choice other than to use the older vehicles. The Chairman enquired what the timescale was to resolve the matter. Mr Knight responded that the debate was ongoing and that a detailed paper had been submitted concerning the Bromley fleet. A response was expected in March 2019. It was noted that police vehicles normally had a lifespan of three years, and were then replaced.

A co-opted member enquired if Bromley police were short of vehicles. Mr Knight answered that it would be helpful if they could obtain 2/3 vehicles that could be dedicated to remoter areas. Bromley police were not lacking any response vehicles, what would be helpful was a few more vehicles that could be used by Safer Neighbourhood Teams. Conversations with potential sponsors were currently taking place. It was noted that vehicles pertaining to dog handlers fell under a different command.

Mr Knight provided an update with respect to police office buildings in Bromley. The Committee was saddened to hear that buildings were going to be closed and leases were not going to be renewed. Alternatives were being looked at such as sharing premises with the LFB. There was going to be a trial at Purley Fire Station in February to see if operating out of fire stations was workable. Sainsbury's had offered to help with office space. The main police station in Bromley South would remain open.

A Member asked if a possible location could be community centres. Mr Knight said that all options would be looked at. Any premises used by the police would require 24/7 access and certain security measures would need to be in place. A discussion took place concerning how decisions were made to close buildings and what the specifications were for new buildings as in the past the specifications often changed. The sale of properties was taking place as part of the ongoing need to save revenue as it was still the case that £360m was required to be saved over the next three years. The sale of properties was funding new technology.

A Member asked if the police had considered a partnership with McDonalds in Penge. The franchise owner of the premises was very positive towards community groups. There were some rooms upstairs in the premises that could possibly be used. Mr Knight said that he would make an approach. The Chairman asked if there was a list of premises and their anticipated closure dates. Mr Knight said that there was, but it changed frequently. Mr Knight stated that Bromley police were now effectively looking for free space as they could not afford to pay rent.

A Member asked if any specific facilities would be required in a building used by the police. Mr Knight responded that technology had moved on, so the two main things required would be secure lockers and electric points for the charging of equipment.

Mr Knight then referred to the other matter that had arisen which was concerned with the arrest and prosecution of Travellers. He informed the Committee that there was a problem with accessing the relevant data and asked if the matter could be carried over to the next meeting. The problem was caused by the fact that when Travellers were arrested, they would be taken to different custody suites run by different commands. The Chairman agreed that the matter could be carried over to the next meeting. The Chairman asked Mr Knight to inform him if accessing the data continued to be problematic, as he would not wish to use up too much police time on an action that may not bear fruit that was proportionate to the effort involved in sourcing the data.

Burglary was rising in Bromley, but it was also rising across the country. In the rolling 12 months, burglary in Bromley had increased by 4%, which was in line with the MET average. Some of this increase was due to burglaries carried out by foreign criminal gangs during the spring and summer periods; arrests had been made, but the trend was still rising. Additionally, there had been a lot of smaller scale burglaries in the north of the borough.

Mr Knight informed the Committee that there would be two ANPR operations undertaken over the next 4 weeks, one would be overt and one would be covert. He would be happy to report back on the results of the operations. Operation 'Be Safe' (burglary initiative) would coincide with the winter nights. Social media would be used to increase the awareness of the public to burglary and crime prevention. Mr Knight informed the Committee that he had recently been appointed as the Strategic Lead for burglary in the south area.

It was noted that the number of offences for non-domestic violence was increasing. Mr Knight said that a greater number of arrests had been made for various public order, weapons and drug offences—this was because a greater number of uniformed officers had been placed on the streets.

The Committee was briefed that over the next six months, there would be an increase in the number of stop and search operations in an attempt to reduce knife crime and other serious violence offences.

The Superintendent mentioned the response times for 'I' and 'S' calls. 'I' calls were the most urgent calls that required a response within 15 minutes. There had been a dip in hitting this target across the MET, and also in Bromley. This had not been helped because of Bromley's geography. The Chairman pointed out that this issue had been raised in the Tri-Borough discussions. Mr Knight assured that the problem was not a serious one. The performance for the response to S calls was rising.

Mr Knight expressed the view that Bromley was still a safe borough. A Member responded and questioned the validity of this assertion based on the fact that in the Penge, Anerley and Crystal Palace Wards, it was not uncommon for there to be attacks using knives, acid and firearms. He was concerned that there was a not a proper understanding of the borough in that

when assertions were made with respect to safety, certain problem wards in Bromley were not being properly taken into consideration.

Mr Knight maintained that Bromley was still probably the safest borough in London but he was aware that certain wards had problems unique to them. He said that the wards where there were issues with gangs and other serious violence had seen extra resources deployed. LBB had previously been concerned that resources would be removed from Bromley to deal with issues in Croydon, but Mr Knight said that in fact the reverse was happening. Resources were being deployed from Croydon and Sutton to deal with crime in Bromley.

A Member also raised the issue of young people being placed in Penge from Lewisham (for emergency housing) when in some cases they belonged to a rival gang. He asked if Mr Knight had any control over this, and Mr Knight responded that he did raise objections, but it was a matter that he was not able to control.

A Member enquired about the data that pertained to low level crime in the borough. It was explained that this related to low level offences such as noisy neighbours, house parties, people being drunk, and kids playing around. It was a deliberately broad classification and hard to break down further.

Mr Knight stated that police satisfaction was high in Bromley, and that he intended to keep it that way. His focus would be on reducing priority crimes such as violence with injury, burglary and other high harm crimes like sexual offences. The number of reported sexual offences was rising because people now had more confidence to report such incidences. Some of the reporting of sexual offences was historic. As a consequence of this, more resources had to be allocated to safeguarding.

There was a discussion around the issue of perception, and the allocation of resources. Mr Knight explained that he had to allocate officers to where crimes were being committed and so this would mean that in some cases officers would not always be able to attend community meetings. A discussion also took place about the potential for a conflict of priorities for the police, as it seemed that different priorities were emanating from diverse sources. Mr Knight responded that the police clearly had a duty to deal with crime related to Violence with Injury, Burglary, Safeguarding and Terrorism. However in terms of local priorities the focus was likely to be on VWI, Burglary, and the priorities set by the Local Ward Panels.

A Member raised the matter of Duty Officer cover after being informed when he attended a fire at a bus garage recently that no Duty Officer was available at that time. Mr Knight explained about the number of Duty Officers available, and how their work was allocated.

A Member asked if a breakdown of the burglary figures could be provided and it was noted that these were primarily residential burglaries. A question was also asked about the definition of a firearm and it was clarified that this

definition would apply to any section 5 weapon and would include CS Gas canisters. It was explained that the definition of 'knife crime' would include crimes where the use of a knife was threatened even if it was not seen.

Mr Knight gave an explanation of the work and shift patterns of Ward Officers.

The Chair of BYC (Bromley Youth Council) had attended the BYC conference that had been focused on Gangs. He said that the feedback that he had received from young people was that the police were not listening or engaging with them properly. They felt that the police were not there for them and not engaging with them in schools. He asked what could be done to change this. Mr Knight answered that there had been a significant investment in Schools Officers, and that the number of Schools Officers was going to increase in the south area from 22 to 34. Additionally, £150k was going to be invested in a trial pilot to further engage with young people, and it was hoped that by the end of the pilot, young people would be able to be involved in stop and search operations. The Chairman asked if Cameron could be invited to School Officers briefing meetings and Mr Knight said that he would arrange this.

The Chairman thanked Mr Knight for attending the meeting. He suggested that he meet with Mr Knight to discuss the format of pre-written information/data going forward. Mr Knight stated that he wanted to use a standardised format. Members were free to write to the Chairman if they wanted to raise any further questions outside of the meeting.

**RESOLVED that:**

- 1) The police update is noted.**
- 2) The matter regarding the data for the arrest and prosecution of Travellers be deferred to the January meeting.**
- 3) Superintendent Knight would invite Cameron Ward to future School Officers' meetings.**
- 4) The Chairman and Mr Knight would meet up at some point to discuss how the police could provide pre-written information for the PDS Committee going forward.**

**HOLDING THE PORTFOLIO HOLDER TO ACCOUNT**

**40 QUESTIONS TO THE PORTFOLIO HOLDER FROM MEMBERS OF THE PUBLIC AND COUNCILLORS.**

There were no questions from Councillors or Members of the Public.

#### **41 PORTFOLIO HOLDER UPDATE**

The Portfolio Holder update was provided by the Portfolio Holder for Public Protection and Enforcement—Councillor Kate Lymer.

She updated the Committee as follows:

- The Crime Summit took place in September and was very successful with around 140 attendees. Presentations were given by BYC and by Neighbourhood Watch
- She had attended a meeting of the 'Gold' Group, following the murder that had taken place in Penge
- Monthly meetings were taking place to discuss remedies for the ongoing fly tipping problems in Star Lane
- There had recently been a court hearing where LBB had applied for an extension to the injunction that had been obtained previously with regard to Travellers. The Hearing had been adjourned.
- Because the Hearing was adjourned, an extension was granted in the interim.
- The Safer Bromley News had just been published and was being distributed
- The Portfolio Holder had travelled to Erith with the Communications Executive to witness the crushing of a van that had been involved in fly tipping.
- The Portfolio Holder gave a brief update concerning an organisation called 'Recycling Lives' that was involved in finding employment for former prisoners after they had been released from prison. Their work had been very effective in reducing re-offending.

**RESOLVED that the Portfolio Holder update is noted.**

#### **42 PORTFOLIO PLAN--6 MONTH PERFORMANCE OVERVIEW**

The Portfolio Plan Six Month Performance Overview update was given by Sarah Foster.

The update was presented by using an A3 colour spreadsheet. Despite this, the print was still a bit small and the Chairman asked if larger type could be used in the future. Ms Foster agreed to spread the data over two pages next time.

The Committee was referred to item number 9 which was the number of unrated food premises that required inspection. This had changed from a Red to Amber risk which was good news for the Food Safety Team (FST). This was because the FSA (Food Standards Agency) had met with the FST and had advised them to shift the focus away from unrated premises. The target had therefore reduced down from 427 to 327.

Ms Foster updated the Committee with respect to the matter of fly tipping. She said that the Fly Tipping Working Group had met three times this year, but was now being reinvigorated and would be meeting again the same week. The working group was developing a fly tipping action plan. The Legal Section had advised that it was ok for LBB to send out fly tipping warning letters in cases where fly tipping was not proven but suspected. Increases in vehicle stop and search were planned.

A Member raised concerns around the non-inspection of low risk premises, and pointed out that the situation could change over time. Karen Ryan from the Food Safety Team explained about the different ratings for food premises and the inspection regime.

It was noted that although the official figures with respect to fly tipping had decreased, it was also the case that many cases of fly-tipping probably went unreported because it was such a common occurrence in certain areas like Star Lane.

The Committee discussed the effectiveness (or otherwise) of using CCTV cameras. It was noted that in the Star Lane area this practice had not proved effective for various reasons including all of the bends in the road. Four cameras had recently been installed at Star Lane and they were all stolen. A Co-opted Member asked if LBB had enough enforcement officers and wondered why LBB was using temporary agency staff.

The Committee noted the update on Mentoring Relationships and was advised to contact Councillor Lymer if any further information was required.

**RESOLVED that the Portfolio Plan Performance Overview Report is noted.**

**a BUDGET MONITORING 2018/2019**

**FSD18089**

The Budget Monitoring report had been drafted by Claire Martin—Head of Finance.

The report provided an update on the current budget monitoring position for 2018/19 for the Public Protection and Enforcement Portfolio, based on expenditure and activity levels up to 30<sup>th</sup> September 2018. It showed an underspend of £118K.

The Committee was satisfied with the reasons for the underspend.

**RESOLVED that the Portfolio Holder endorses the latest 2018/19 budget projection for the Public Protection and Enforcement Portfolio.**

**b FOOD SAFETY SERVICE PLAN 2018 to 2019**

The report was written by Joanne Stowell and presented by Karen Ryan. The Chairman praised the report for being good and comprehensive. A Member expressed concern at the lack of resourcing in the Food Safety Team. She asked what the position was with respect to recruiting permanent staff, or possibly using a graduate trainee, or even to train up a school leaver. She also asked if some of the work could be undertaken by someone who did not have the relevant qualifications.

Ms Stowell explained that some local authorities had nurtured their own staff and then they went on to leave. This was because they could earn more money doing agency work. The matter of 'golden handcuffs' was mentioned. A discussion took place around inspections relating to market stalls.

Ms Ryan elaborated on the matter of food poisoning as mentioned in the report. It was explained that these were single isolated outbreaks where the source of the potential food poisoning was difficult to determine, and so no prosecutions had taken place.

**RESOLVED that**

**1) The Portfolio Holder approves the Service Plan for the Food Safety Team.**

**2) The PDS Committee and the Portfolio Holder note the progress that had been made against the resubmitted Action Plan which had been agreed with the FSA.**

**3) The PDS Committee and the Portfolio Holder note that the targets to reduce the backlog of inspections remained dependent on being able to recruit to the additional food safety posts.**

**43 ANIMAL LICENSING LEGISLATION--REVIEW OF FEES.**

**ES18096**

The report on Animal Licensing Legislation—Review of Fees, was presented by Steve Phillips—Lead Practitioner for the Licensing Team.

A new statutory instrument came into effect from 1<sup>st</sup> October 2018. The new legislation introduced a new licensing framework and revised fee structure for a variety of activities involving animals. The report showed the revised fees that needed to be implemented, which were based upon the premise of cost recovery.

Members noted that the new fees were significantly higher, and it was feared that many small businesses would no longer be able to operate, and would have to close.

A Member asked if DEFRA would be informing people that they were responsible for the introduction of the increased fees. The answer to this was no. LBB would be undertaking a letter campaign so that the public understood that the fee structure had been introduced by DEFRA, and not by LBB.

A discussion took place regarding the City of London Vet Services and whether or not an alternative provider could be considered. Mr Phillips explained that the City of London Vet Services provided the complete package of services that was required, and that their rates were reasonable. Their service was good and they also supported the other London boroughs.

**RESOLVED that the report be noted and that the Portfolio Holder agree the revised fees as set out in Appendix 1 of the report—to be implemented from 1<sup>st</sup> January 2019.**

**a CAPITAL MONITORING REPORT--QUARTER 2--2018-2019**

**FSD18097**

The Committee was presented with the Capital Programme Monitoring Report for the second quarter of 2018/19.

The Committee noted the report, and the changes to the Capital Programme that had been agreed by the Executive in November 2018.

**RESOLVED that the Portfolio Holder confirms the changes agreed by the Executive in respect to the Capital Programme for the Public Protection and Enforcement Portfolio.**

**44 PLANNING ENFORCEMENT SCRUTINY REPORT**

**ES18092**

The Planning Enforcement Scrutiny Report was written and presented by John Stephenson, (Head of Planning Appeals and Enforcement Manager).

Members were being asked to consider the report.

Members were pleased to note that the Planning Enforcement Team was being more pro-active in their approach. It was noted in section 3.6 of the report that the term 'enquiries' was now being used instead of 'complaints'.

Members noted that since January 2018, 785 cases had been closed and this was good news. However, it was also the case that unfortunately 390 new cases had been registered for investigation.

It was explained that the Planning Enforcement Team consisted of 3 full time officers and 2 full time temporary officers who were agency staff. A Member commented that it was plain to see the benefits of being able to employ 2 extra investigating officers. She asked if it would be better if they were full time instead of temporary agency staff and Mr Stephenson agreed that it would be better if they were full time permanent staff. This would be a decision for Members.

Members referred to section 3.9 of the report which was a list of enforcement cases pending prosecution. A Member stated that it was important to prosecute whenever possible, and that successful prosecutions should be publicised by the Communications Team.

Members noted section 3.14 of the report which was a list of cases where prosecutions were pending. A Member asked if from time to time ward councillors could be kept updated concerning the progress of these cases. Mr Stephenson said that this should be possible.

A Member asked if a new case number was created if a previously closed case was re-opened. It was explained if new information came to light, and a case had to be re-opened, it would be linked to the previous case, but it would be allocated a new case number.

**RESOLVED that**

- 1) The Planning Enforcement Scrutiny Report is noted.**
- 2) The Planning Enforcement Team periodically update Members concerning progress made with regard to planning enforcement prosecutions.**

**45 UPDATE ON THE MORTUARY CONTRACT**

As this update would contain matters that were likely to be commercially sensitive, it was moved that the update be provided under the Part 2 section of the meeting.

**46 WORK PROGRAMME**

**CSD18153**

Members noted the Work Programme.

It was suggested that a possible future report that could be considered by the Committee was a report on LBB's contract with the Coroner.

It was agreed that outcomes pertaining to the Locality Review should come back to a future meeting for noting.

It was suggested that a possible future visit could be to the Coroners' Court.

**RESOLVED that the Work Programme Report is noted.**

*Post Meeting Note:*

*An item had been listed (TBC) on the Work Programme for a report on the Air Quality Action Plan. It has since been decided that this item will go to the Environment PDS instead.*

**47 DATE OF THE NEXT MEETING**

The date of the next meeting was confirmed as 30<sup>th</sup> January 2019.

**48 LOCAL GOVERNMENT ACT 1972 AS AMENDED BY THE  
LOCAL GOVERNMENT (ACCESS TO  
INFORMATION)(VARIATION) ORDER 2006, AND THE  
FREEDOM OF INFORMATION ACT 2000**

**49 UPDATE ON NEGOTIATIONS REGARDING THE MORTUARY  
CONTRACT**

The minutes for this item are in the Part 2 section of the minutes.

**50 EXEMPT MINUTES OF THE MEETING HELD ON 27th  
SEPTEMBER 2018**

The exempt minutes of the meeting held on 27<sup>th</sup> September 2018 were agreed and signed as a correct record.

The meeting ended at 9.40 pm

Chairman

Report No.  
CSD19006

London Borough of Bromley

PART ONE - PUBLIC

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**Decision Maker:** Public Protection and Enforcement PDS Committee

**Date:** 30<sup>th</sup> January 2019

**Decision Type:** Non Urgent Non Executive Non Key

**Title:** **MATTERS ARISING**

**Contact Officer:** Steve Wood, Democratic Services Officer  
Tel: 020 8313 4316 E-mail: [stephen.wood@bromley.gov.uk](mailto:stephen.wood@bromley.gov.uk)

**Chief Officer:** Mark Bowen, Director of Corporate Services

**Ward:** N/A

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1. Reason for report

1.1 **Appendix A** updates Members on matters arising from previous meetings.

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## 2. RECOMMENDATION

2.1 The Committee is asked to review progress on matters arising from previous meetings.

<b>Non-Applicable Sections:</b>	Policy/Financial/Legal/Personnel
Background Documents: (Access via Contact Officer)	Previous Matters Arising reports and Minutes of meetings. Previous Agenda Document.

## Corporate Policy

1. Policy Status: Existing Policy
  2. BBB Priority: Safe Bromley
- 

## Financial

1. Cost of proposal: No Cost
  2. Ongoing costs: Not Applicable
  3. Budget head/performance centre: Democratic Services
  4. Total current budget for this head: £350,650
  5. Source of funding: 2018/19 revenue budget
- 

## Staff

1. Number of staff (current and additional): 8 posts (6.87fte)
  2. If from existing staff resources, number of staff hours: Completion of "Matters Arising" Reports for PP&S PDS meetings can take up to a few hours per meeting.
- 

## Legal

1. Legal Requirement: None
  2. Call-in: Not Applicable
- 

## Customer Impact

1. Estimated number of users/beneficiaries (current and projected): This report is intended primarily for Members of the Public Protection and Safety PDS Committee.
- 

## Ward Councillor Views

1. Have Ward Councillors been asked for comments? Not Applicable
2. Summary of Ward Councillors comments: N/A

<u>Minute Number/Title</u>	<u>Matters Arising</u>	<u>Update</u>
<p><b>Minute 20</b> <b>27/09/2018</b> <b>Police Update</b></p>	<p>A Member was concerned that Travellers were committing offences but not being arrested. Mr Knight assured that where evidence was forthcoming, Travellers would be arrested just the same as anyone else. In fact there had been some arrests in the previous three months. The Member asked if a report could be brought back to the Committee which detailed the arrests that had been made. It was the case that in many instances, individuals may report crimes, but would not wish to appear in court to provide evidence</p>	<p>The request for a report/written update regarding the arrest of Travellers has been requested from Superintendent Knight.</p>
<p><b>Minute 39</b> <b>4/12/2018</b> <b>Police Update</b></p>	<p>At the meeting on 4<sup>th</sup> December 2018, it was agreed that the matter regarding the collation of data relating to the arrest and prosecution of Travellers be deferred to the meeting on January 30<sup>th</sup>.</p>	<p>Superintendent Knight has provided the following update for the Committee:</p> <p>Having asked our custody colleagues about this I am unable to action this to any reasonable extent. Unless persons arrested identify themselves in custody specifically as Romany, it is difficult to identify on a case by case basis arrests.</p> <p>There are also multiple definitions within the Traveller community such as Irish Traveller, Show People, Romany Gypsy and so on. There are also a number of domestic travellers who reside permanently in premises and as such whilst may define themselves within a traveller group-are in fact locally based residents.</p> <p>I am therefore unable to action the traveller question.</p> <p>I can reassure the Committee that there is no area of the community that the police are afraid or unwilling to prosecute where evidence exists to do so.</p>
<p><b>Minute 23</b> <b>27/09/2018</b></p> <p><b>Enforcement of Legislation relating to the Letting Agents and Property Management Sector.</b></p>	<p>A Member referred to section 3.1 of the report which explained that letting agents and property management operators in England were required to join a redress scheme. He asked if they had to pay a fee to join the scheme. Mr Vale said that he would look into this and come back with an answer.</p>	<p>The Head of Trading Standards and Community Safety will provide an update at the meeting.</p>

<p><b>Minute 38 4/12/2018 Matters Arising</b></p>	<p>Mr Vale was not in attendance on 4<sup>th</sup> December to provide an update, and so it was resolved that the Assistant Director for Public Protection would look into the matter and report back to the Committee.</p>	<p>There are two redress schemes: The Property Redress Scheme and The Property Ombudsman. Each scheme offers different categories of membership. There is a charge made for membership. The fees are annual and vary between £100 and £1000 depending on the size of the organisation--with additional fees for extra branches. There are also fees for complaint resolution services.</p>
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Report No.  
FSD19006

## London Borough of Bromley

### PART ONE - PUBLIC

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**Decision Maker:** PUBLIC PROTECTION AND ENFORCEMENT POLICY, DEVELOPMENT AND SCRUTING COMMITTEE

**Date:** 30<sup>th</sup> January 2019

**Decision Type:** Non-Urgent                      Non-Executive                      Non-Key

**Title:** DRAFT BUDGET 2019/20

**Contact Officer:** Claire Martin, Head of Finance  
Tel: 020 8313 4286    E-mail: Claire.Martin@bromley.gov.uk

**Chief Officer:** Director of Finance

**Ward:** All

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#### 1. Reason for report

- 1.1. The prime purpose of this report is to consider the Portfolio Holder's Draft 2019/20 Budget which incorporates future cost pressures and initial draft budget saving options which are being reported to Executive on 16<sup>th</sup> January 2019. Members are requested to consider the initial draft budget being proposed and also identify any further action that might be taken to reduce cost pressures facing the Council over the next four years.
  - 1.2. Executive are requesting that each PDS Committee consider the proposed initial draft budget savings and cost pressures for their Portfolio and the views of each PDS Committee be reported back to the next meeting of the Executive, prior to the Executive making recommendations to Council on 2019/20 Council Tax levels.
  - 1.3. There are still outstanding issues and areas of uncertainty remaining. Any further updates will be included in the 2019/20 Council Tax report to the next meeting of the Executive.
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#### 2. RECOMMENDATION(S)

##### 2.1 The Public Protection and Enforcement PDS Committee is requested to:

- i) Consider the update on the financial forecast for 2019/20 to 2022/23;
- ii) Consider the initial draft 2019/20 budget as a basis for setting the 2019/20 budget; and
- iii) Provide comments on the initial draft 2019/20 budget for the February meeting of the Council's Executive.

## Impact on Vulnerable Adults and Children

1. Summary of Impact: Adult Care and Health Portfolio budget setting supports the provision of services to vulnerable adults
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## Corporate Policy

1. Policy Status: Existing Policy:
  2. BBB Priority: Excellent Council,
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## Financial

1. Cost of proposal: Not Applicable
  2. Ongoing costs: Recurring Cost
  3. Budget head/performance centre: Public Protection & Enforcement portfolio budgets
  4. Total current budget for this head: £3.027m
  5. Source of funding: Draft revenue budget for 2019/20
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## Personnel

1. Number of staff (current and additional): Full details will be available with the Council's 2019/20 Financial Control Budget to be published in March 2019
  2. If from existing staff resources, number of staff hours: Not Applicable
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## Legal

1. Legal Requirement: Statutory Requirement: The statutory duties relating to financial reporting are covered within the Local Government Act 1972; the Local Government Finance Act 1998; the Local Government Act 2000; the Local Government Act 2002 and the Accounts and Audit Regulations 2015.
  2. Call-in: Not Applicable
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## Procurement

1. Summary of Procurement Implications: Not Applicable
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## Customer Impact

1. Estimated number of users/beneficiaries (current and projected): The 2019/20 budget reflects the financial impact of the Council's strategies, service plans etc. which impact on all of the Council's customers (including council tax payers) and users of the services.
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## Ward Councillor Views

1. Have Ward Councillors been asked for comments? Not Applicable
2. Summary of Ward Councillors comments: Not Applicable

### **3. COMMENTARY**

#### **3.1. APPROACH TO BUDGETING, FINANCIAL CONTEXT AND ECONOMIC SITUATION WHICH CAN IMPACT ON PUBLIC FINANCES**

3.1.1. In considering this report further background information was available through the Members' seminars as follows:

- Members' Finance Seminar on 20<sup>th</sup> June 2018;
- Members' Welfare Reform Seminar on 2<sup>nd</sup> July 2018;
- Members' Pension Fund Seminar on 5<sup>th</sup> November 2018.

3.1.2. Forward financial planning and financial management is a key strength at Bromley and this has been recognised previously by our external auditors. This report continues to forecast the financial prospects for the next 4 years and includes the Government's final year of the four year funding settlement period (2016/17 to 2019/20). At the time of writing this report, further details on various grant funding is awaited and it is important to note that some caution is required in considering any projections for 2020/21 to 2022/23 as this represents the Government's next awaited Spending Review period.

3.1.3. A strong economy with growth increases revenues which supports the Government's ability to reduce public sector debt as the gap between finances raised and spend on public services is reduced. The slowing down of the global economy and many sources of uncertainty has resulted in a downgrading of the level of economic growth in the UK economy. It is important to consider the key national issues that could impact on public finances over the next four years. The overall national debt stands at £1.8 trillion with annual debt servicing costs of £43bn. It is expected that Public Sector Debt will decline from a peak of 85.2% of GDP in 2016/17 to a forecast 74.1% in 2023/24 and that public sector borrowing will be £19.8bn in 2023/24 (lowest level for 10 years). The Autumn Budget 2018 identified that public sector net borrowing is expected to be 1.4% of GDP in 2019/20 falling to 0.8% in 2023/24. Bank of England have referred to domestic inflation being partly driven by high wage growth and lower productivity levels per head which is expected to keep CPI above 2% until at least 2021. The Spring Statement due in March 2019 is expected to be upgraded to a full budget depending on the outcome of the Brexit negotiations.

3.1.4. Local Government has borne the brunt of austerity and savings compared with other areas of Government expenditure. Despite the announcements by the Government that "austerity is over", local government funding remains 'unprotected' and the impact of additional funding for NHS and other 'protected' services results in a likely real term funding reductions remaining for local government.

3.1.5. The financial forecast assumes ongoing funding reduction over the four year period, although at a lower rate, compared with previous years. Even with the planned Green Paper on social care which has now been delayed until later in 2019, no additional funding has been announced by the Government for adult social care from 2020/21, at this stage. For local government, the fiscal squeeze is expected to continue and with ongoing protection of health, education police and other security services.

3.1.6. The Government remains committed with the aims of devolution which includes enabling local government to be more self-sufficient. The Government views the new flexibilities such as the future growth forecasts from business rates, to be mainly devolved (75% of total quantum) to local government by 2020 combined with scope for the ongoing ability to increase council tax as methods which can reduce the impact of grant reductions. However, it is not the full solution for local government given its costs pressures and service demands.

- 3.1.7. The Budget Strategy has to be set within the context of a reducing resource base, with Government funding reductions in real terms likely to continue beyond 2020 – the on-going need to reduce the size and shape of the organisation to secure priority outcomes within the resources available. There is also a need to build in flexibility in identifying options to bridge the budget gap as the gap could increase further. The overall updated strategy has to be set in the context of the national state of public finances, with austerity continuing given the level of public sector debt, and the high expectation from Government that services should be reformed and redesigned with devolution contributing to the transformation of local government. There is also an on-going need to consider “front loading” savings to ensure difficult decisions are taken early in the budgetary cycle, to provide some investment in specific priorities, to fund transformation and to support invest to save opportunities which provide a more sustainable financial position in the longer term. Any decisions will need to consider the finalisation of the 2019/20 Budget as well as the longer time frame where the Council has to ‘live within its means’.
- 3.1.8. Bromley has the second lowest settlement funding per head of population in 2018/19 for the whole of London. Despite this, Bromley has retained the third lowest council tax in outer London (other low grant funded authorities tend to have higher council tax levels). This has been achieved by having one of the lowest costs per head of population in outer London. Despite being a low cost authority, Bromley has achieved general savings of around £97m since 2011/12 but it becomes more challenging to achieve further savings with a low cost base.
- 3.1.9. One of the key issues in future year budgets will be the balance between spending, council tax levels, charges and service reductions in an organisation starting from a low spending base. It is important to recognise that a lower cost base reduces the scope to identify efficiency savings compared with a higher cost organisation.

## **3.2. CHANGES SINCE THE 2018/19 BUDGET THAT IMPACT ON THE FINANCIAL FORECAST**

- 3.2.1. The 2018/19 Council Tax report reported to Executive in February 2018 identified a significant “budget gap” over the four year financial planning period. Some key changes are summarised below.
- 3.2.2. The draft budget and future years forecast reflect a continuing reduction in core grant funding to local government. After allowing for the Government’s concession on negative Revenue Support Grant (RSG) there is a core grant funding reduction of £3.6m in 2019/20 reflected in the draft 2019/20 Budget increasing to £12.6m per annum by 2022/23.
- 3.2.3. The main measure of inflation for annual price increases for the Council’s contracted out services is Retail Price Index (excluding mortgage interest rates) i.e. RPIX. This measure is normally up to 1% above the Consumer Price Index (CPI) level. The Draft 2019/20 Budget assumes contract price increases of 3.0%, reducing to 2.7% per annum from 2020/21, which compares with the existing RPIX of 3.1%. Action will need to be taken by Chief Officers to fund increasing costs through alternative savings in the event that inflation exceeds the budget assumptions.
- 3.2.4. It remains essential that there is the ongoing scrutiny and review of growth/cost pressures, which are mainly unfunded at the present time, with options to help achieve a balanced budget, including any mitigation over the financial forecast period.
- 3.2.5. Given the scale of savings identified and any inherent risks, the need for longer term financial planning, the uncertainty on future year cost pressures, significant changes that may follow relating to future new burdens, effect of ongoing population increases and the potential impact of other public agencies identifying savings which impact on the Council’s costs, a prudent

approach has been adopted in considering the Central Contingency Sum required to mitigate against these risks. If the monies are not required during the year the policy of using these resources, in general, for investment, generate income/savings and provide a more sustainable financial position should continue. To illustrate the benefit of the investment approach the Council has potential income in 2019/20 totalling £15.4m from a combination of treasury management income and rents from investment properties. Without this income, equivalent service reductions may be required. Investment in economic growth (Growth Fund) will also be key to generate additional business rate income.

3.2.6. The latest forecast indicates that despite having a balanced budget in 2019/20 there remains a significant budget gap in future years that will need to be addressed, particularly from 2020/21.

### **3.3. FINANCIAL CONTEXT**

3.3.1. Key issues include:

- Two of the Council's main activities which are grant funded are schools and housing benefits. Both of these areas of spend continue to be ring-fenced.
- A high proportion of the Council's spend relates to third party payments, mainly contracts, which can limit flexibility to change spend levels as well as providing greater inflationary pressures (e.g. the impact of the National Living Wage).
- As reported in previous years, the majority of the Council's spend relates to just a few service areas.
- Even though the draft budget would be broadly balanced next year, the future year's budget gap is projected to increase to £32.2m per annum by 2022/23. Without any action to address the budget gap in future years reserves will need to be used followed by a significant 'cliff edge' budget gap remaining thereafter.

3.3.2. The reasons for the budget gap by 2022/23 include, for example:

- inflation pressures partly offset by assumed council tax increase (2.99% in 2019/20 and 1.99% thereafter) and social care precept (2019/20 only) of 2% leaving a balance required of £10.6m;
- Loss of core grant funding of £12.6m;
- Growth/cost pressures less mitigation of £18.8m relating to education, social care and housing ;
- Additional income of £3.2m from Government social care funding assumed to continue beyond 2019/20 which partly offsets the social care cost/growth pressures;
- Savings from reduction in the Council's provision for risk/uncertainty held within the Central Contingency Sum (saving of £8m per annum).
- Other variations leading to an increase of £1.4m.

3.3.3. Even using a 'best case scenario' that there are no government grant reductions over the four year period, the final budget gap in future years will remain significant (£19.6m).

3.3.4. In the financial forecast, after allowing for inflation, council tax income and other changes we have an unfunded budget gap due to reductions in government funding and net service growth/cost pressures. Therefore service growth/cost pressures are effectively unfunded. This

highlights the importance of scrutinising growth and recognition that corresponding savings will need to be found to achieve a statutory balanced budget. It is timely as we all have to consider what level of growth the council can afford and the need for significant mitigation or alternative transformation options.

- 3.3.5. The above table highlights that, although it has been possible to achieve a potential balanced budget for next year through identifying savings and continuing with prudent financial management, there remains a “budget gap” of £16m in 2020/21 rising to £32.2m per annum in 2022/23. The projections in later years have to be treated with some caution, particularly as the Government’s next spending review is expected to be implemented from 2020/21 which will include the revised levels of funding for individual local authorities following the ‘Fair Funding’ review. The Government is consulting on the early stages of the ‘Fair Funding’ review.
- 3.3.6. In considering action required to address the medium term “budget gap”, the Council has taken significant action to reduce the cost base while protecting priority front line services and providing sustainable longer term solutions. Significant savings of around £97m were realised since 2011/12. Our council has to balance between the needs of service users and the burden of council tax on council tax payers. With the Government placing severe reductions in the level of grant support, the burden of financing increasing service demand falls primarily upon the level of council tax and business rate income.

### 3.4. LATEST FINANCIAL FORECAST

3.4.1. A summary of the latest budget projections is shown the table below:

	2019/20	2020/21	2021/22	2022/23
	£m	£m	£m	£m
<b>Variations Compared with 2018/19 Budget</b>				
<b>Grant Loss</b>	<b>3.6</b>	<b>6.6</b>	<b>9.6</b>	<b>12.6</b>
<b>Cost Pressures</b>				
Increased costs (3.0% 2019/20 then 2.7% per annum)	6.0	13.3	20.5	27.7
Reinstatement of highways maintenance (previously capitalised)	0.0	0.0	0.0	2.5
<b>Total Additional Costs</b>	<b>6.0</b>	<b>13.3</b>	<b>20.5</b>	<b>30.2</b>
<b>Income / Savings</b>				
Acquisition of Residential Properties to Accommodate Homeless (Mears)	-1.0	-1.0	-1.0	-1.0
Additional Income Opportunity (Amey)	-0.2	-0.4	-0.4	-0.4
Additional income from business rate share to reflect new developments in borough and Section 31 funding and increase in business rate base	-1.5	-1.8	-1.8	-1.8
Fall out of London pilot of business rates (as approved by Council 25/9/17) - one year only	2.9	2.9	2.9	2.9
Continuation of London Business Rate Pool 2019/20	-2.2	0.0	0.0	0.0
Business Rates Surplus levy	-0.6	0.0	0.0	0.0
Interest on balances - reduction in income to reflect use of balances and temp. funding for Site G	0.2	0.1	0.3	0.4
Release general provision in contingency for significant uncertainty/variables	-0.7	-0.7	-0.7	-0.7
Savings from recommissioning/retendering of various contracts	-0.1	-0.1	-0.1	-0.1
Savings from Children's Social Care linked to Invest to Save funding	-0.2	-0.7	-1.0	-1.0
Potential release of draft contingency in future years re provision for risk/uncertainty	0.0	-4.0	-8.0	-8.0
Extra Social Care Funding through Government grants	-3.2	-3.2	-3.2	-3.2
Leisure Service Lease approved by Executive on 28th November 2018	-1.5	-1.5	-1.5	-1.5
Review of staffing across organisation	-0.6	-1.5	-1.5	-1.5
Other savings	-0.4	-1.1	-1.5	-1.5
<b>Total Income / Savings</b>	<b>-9.1</b>	<b>-13.0</b>	<b>-17.5</b>	<b>-17.4</b>
<b>Other Changes (includes use of non-recurring funds)</b>				
Fall out of New Homes Bonus funding	3.2	4.5	5.1	5.6
Real Changes and other Variations	-0.9	-1.3	-1.2	-0.5
<b>Total Other Changes</b>	<b>2.3</b>	<b>3.2</b>	<b>3.9</b>	<b>5.1</b>
<b>ECHS Growth and Mitigation</b>	<b>8.0</b>	<b>17.2</b>	<b>18.5</b>	<b>18.8</b>
<b>Council Tax</b>				
Increase in Council Tax Base to reflect additional properties and increased collection rates	-1.6	-2.3	-2.9	-3.6
Fall out of Collection Fund surplus 2014/15 set aside as one off support towards meeting the funding shortfall in 2018/19	4.9	4.9	4.9	4.9
Fall out of Collection Fund surplus 2015/16 set aside as one off support towards meeting the funding shortfall in 2018/19	0.7	0.7	0.7	0.7
Increase in council tax (assume 2.99% per annum in 2019/20 and 1.99% thereafter)	-4.5	-7.6	-10.9	-14.1
Impact of Adult Social Care Precept (assume 2% per annum)	-3.0	-3.0	-3.0	-3.0
Collection Fund Surplus 2017/18	-6.8	0.0	0.0	0.0
Projection of future year collection fund surplus	0.0	-4.0	-3.0	-2.0
<b>Total Council Tax</b>	<b>-10.3</b>	<b>-11.3</b>	<b>-14.2</b>	<b>-17.1</b>
<b>Remaining "Budget Gap"</b>	<b>0.5</b>	<b>16.0</b>	<b>20.8</b>	<b>32.2</b>

The above table shows, for illustrative purposes the impact of a council tax increase of 3.99% in 2019/20 (including adult social care precept). Each 1% council tax increase generates on-going annual income of £1.5m. The financial forecast assumes that any future increases in the Adult Social Care precept cease beyond 2019/20. It should be noted that the current legislation only provided powers for this precept until the end of 2019/20.

### **3.5. DETAILED DRAFT 2019/20 BUDGET**

3.5.1. Detailed Draft 2019/20 Budgets are attached in Appendix 1 and will form the basis for the overall final Portfolio/Departmental budgets after any further adjustments to deal with service pressures and any other additional spending. Under the budget process previously agreed, these initial detailed budgets are forwarded to PDS committees for scrutiny and comment prior to the next Executive meeting in February.

3.5.2. Appendix 1 sets out:-

- A summary of the Draft 2019/20 Revenue Budget for the Portfolio showing actual 2017/18 expenditure, 2018/19 budget, 2019/20 budget and overall variations in planned spending between 2018/19 and 2019/20.
- A summary of the main reasons for variations per Portfolio in planned spending between 2018/19 and 2019/20 together with supporting notes.
- A high level subjective summary for the Portfolio showing expenditure on employees, premises etc.

### **3.6. REVIEW OF FEES AND CHARGES**

3.6.1. There will need to be an ongoing review identifying opportunities as the medium term 'budget gap' remains significant. Chief Officers will continue to review fees and charges during 2019/20 to identify opportunities to reduce the future years 'budget gap'

### **3.7. IDENTIFYING FURTHER SAVINGS/MITIGATION**

3.7.1. There were 1,335 statutory duties as at June 2011, as identified by the National Audit Office. There has been no overall reduction in statutory duties to date despite significant funding reductions.

3.7.2. Chief Officers previously undertook "Baseline Reviews" which identified the full cost of services and their resultant statutory and non-statutory functions with scope for achieving savings as well as action to mitigate any negative service impact.

3.7.3. The scale of savings required in future years cannot be met by efficiency alone – there will be a need for a reduction in the scope and level of services. The council will need to continue to review its core priorities and how it works with partners and key stakeholders and the overall provision of services.

3.7.4. A significant challenge is to consider discretionary services which, if reduced, could result in higher cost statutory obligations. Therefore, it is important to consider the risk of 'unintended consequence' of reducing discretionary services adversely impacting on the cost of statutory services.

3.7.5. Chief Officers are currently exploring further saving/income opportunities as part of finalising the 2019/20 Budget and any updates will be provided for the meeting of the Executive.

3.7.6. The Director of Corporate Service is leading on a core statutory minimum review to determine what the Council can afford within its overall budget envelope. This work will be very challenging given the visibility and importance to residents of some discretionary services. Even after identifying the core statutory minimum there may be opportunities to reduce costs through ensuring VFM is realised and the best method of service delivery and outcomes are achieved.

3.7.7. Apart from the core statutory minimum review, Chief Officers will plan to undertake a significant transformational review across all services, focussing on higher spend services first to be completed by mid-2019/20 with options for members to consider significant transformation change for implementation by 2020/21. The outcome of the transformation review will be a key consideration within the Council Tax report in determining future arrangements for addressing the budget gap

### **3.8. RISK AREAS WITHIN THE PPE PORTFOLIO**

#### **Houses in Multiple Occupation**

3.8.1. The Government have introduced a new Houses in Multiple Occupation (HMO) licensing regime since October 2018. In essence, the government have removed the 'three or more storeys' criteria. It is estimated that there will be at least three times as many properties that will fall into this new category than in the present HMO licensed ones. It is anticipated that Bromley will have an additional 250 to 300 HMO Licenses.

3.8.2. The Council will be required to provide the necessary resources to enforce the legislation and the cost of managing the increased number of properties. The Government had initially anticipated that the HMO licensing scheme would be self-financing and funded from the proposed £1,000 5 year license fee per property. The fees for this area have now been reviewed and increased; however, additional work needs to be done to establish whether the new fees set will fully cover the cost of any additional resources that may be needed to process the applications.

#### **Food Safety Team**

3.8.3. Following the outcome of the Food Standards Agency (FSA) Audit of the Food Safety Service in April 2017, an action plan was agreed by the Portfolio Holder. Executive on 9 August 2017 agreed to the additional resources for two extra full time permanent and three full time temporary food safety officers for up to 18 months, to implement the action plan and clear the backlog of inspections. Nationally the care worker sector is experiencing recruitment problems partly as a result of pay levels and continued use of zero hours contracts, but also caused by the sector's poor reputation and perceived lack of opportunity for employees. Recruitment issues for the sector locally have meant that domiciliary care providers in particular are not always able to respond in a timely way to requests for support for people living in the community which can have an impact on ensuring timely hospital discharges and avoiding unnecessary hospital admissions.

3.8.4. Despite the additional funding, recruitment issues still remain mainly due to the national shortage of qualified food safety Officers. Following the meeting on 11 September 18, the FSA noted the efforts that had been made and acknowledged the impact that the recruitment issues had on the progress to date. They accepted that the focus would be shifted away from inspecting unrated premises.

3.8.5. Since April 2018 the level of enforcement/complex work carried out by the food safety team has been at an unprecedented level. Much of this marked increase in enforcement activity is directly related to the increased number of inspections made this year to premises which were previously overdue. However, should it continue, it may be that additional resources are needed to ensure food businesses are kept compliant and safe.

## **Mortuary Service**

- 3.8.6 The King's Trust currently supplies the public mortuary service to LB Bexley and LB Bromley. The London Borough of Bromley forms part of HM South London Coronial district along with the London Boroughs of Bexley, Croydon and Sutton (the Four Borough Consortium).
- 3.8.7 This original contract for the provision of the mortuary facilities ended on September 2018. The service was tendered through ProContract, but no bid was received. Subsequently, LB Bromley has entered into a negotiated contract procedure with The King's Trust. It is anticipated that the contract price will be more expensive than the current annual price by at least £90k. However, the exact amount by which the current price may be exceeded cannot be determined until the negotiations are complete.
- 3.8.8 Notwithstanding the above, expenditure on mortuary provision in the future cannot be certain due to variables in demand. The provision of a sustainable mortuary service at an affordable cost in the long term is problematic due to a very limited market with little competition.

## **Coroners Service**

- 3.8.9 Any high profile inquests or significant increase in volume of cases could further increase the cost of the Coroners service.

## **4. IMPACT ON VULNERABLE ADULTS AND CHILDREN**

- 4.1 The draft 2019/20 Budget reflects the Council's key priorities which includes, for example, supporting vulnerable adults with children and being ambitious for all our children and young people.

## **5. POLICY IMPLICATIONS**

- 5.1 The Council's key priorities include, for example:

- Ensure financial independence and sustainability;
- Invest in our business and our people
- Ambitious for all our children and young people
- Enhance our clean and green Borough.

- 5.2 Ensure financial independence and sustainability priorities include:

- Strict management of our budgets to ensure we live within our means
- Working to achieve the benefits of the integration of health and social care
- Early intervention for our vulnerable residents

## **6. FINANCIAL IMPLICATIONS**

- 6.1 Financial implications are contained within the overall body of the report.

## **7. PERSONNEL IMPLICATIONS**

- 7.1 Staff, departmental and trade union representatives will be consulted individually and collectively on any adverse staffing implications arising from the Draft 2019/20 Budget. Managers have also been asked to encourage and facilitate staff involvement in budget and service planning.

## 8. LEGAL IMPLICATIONS

- 8.1 The adoption of the budget and the setting of the council tax are matters reserved for the Council upon recommendation from the Executive. The Local Government Finance Act 1992 (as amended) requires the Council to set an amount of Council tax for each financial year and provides that it must be set before 11<sup>th</sup> March in the financial year preceding that for which it is set. Sections 73-79 of the Localism Act 2011 amended the calculations, billing and precepting authorities need to make in determining the basic amount of Council tax. The changes included new sections 31 A and 31 B to the Local Government Finance Act 1992 which has modified the way in which a billing authority calculates its budget requirement and basic amount of Council Tax.
- 8.2 Schedule 5 to the Localism Act 2011 inserted a new section 52ZB in the 1992 Act which sets out the duty on billing authorities, and precepting authorities to each determine whether their relevant basic amount of council tax for a financial year is excessive. If an authority's relevant basic amount of council tax is excessive, the provisions in relation to the duty to hold a referendum will apply.
- 8.3 The making of these budget decisions at full Council is a statutory responsibility for all Members. Members should also have regard to the changes from the Localism Act relating to council tax increases and the recent introduction of the Adult Social Care precept. The Council has a number of statutory duties which it must fulfil by law – although there can be an element of discretion on level of service provision. The Council also discharges a range of discretionary services. The Council is not bound to carry out such activities in the same way as it is for statutory duties – although it may be bound contractually to do so. A decision to cease or reduce provision of a discretionary service must be taken in accordance with sound public/administrative law decision making principles. The Council must also comply with the Public Sector Equality Duties in section 149 of the Equality Act 2010. In doing so, the council must have due regard to elimination of discrimination, harassment and victimization, advance equality of opportunity and foster good relations with persons who share a protected characteristic.
- 8.4 The Local Government Act 2003 included new requirements to be followed by local authorities, which includes the CIPFA Prudential Code. This includes obligations, which includes ensuring adequacy of future year's reserves in making budget decisions and section 25 of that Act requires the Director of Finance to report on the robustness of the estimates made for the purposes of calculating the Council Tax and the adequacy of the reserves. Further details to support these obligations will be reflected in the 2019/20 Council Tax report to be reported to the February meeting of the Executive.

<b>Non-Applicable Sections:</b>	Procurement Implications
Background Documents: (Access via Contact Officer)	Finance monitoring, Estimate Documents, etc. all held in Finance Section

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**PUBLIC PROTECTION AND ENFORCEMENT PORTFOLIO****DRAFT REVENUE BUDGET 2019/20 - SUMMARY**

2017/18 Actual	Service Area	2018/19 Budget	Increased costs	Other Changes	2019/20 Draft Budget
£		£	£	£	£
	<b>Emergency Planning</b>				
96,597	Emergency Planning	115,370	2,970	35,240	153,580
96,597		115,370	2,970	35,240	153,580
	<b>Public Protection</b>				
138,575	Community Safety	151,150	2,970	0	154,120
446,748	Mortuary & Coroners Service	484,720	11,090	70,000	565,810
1,264,125	Public Protection	1,672,480	48,180	Cr 180,450	1,540,210
1,849,448		2,308,350	62,240	Cr 110,450	2,260,140
1,946,045		2,423,720	65,210	Cr 75,210	2,413,720
250,772	TOTAL NON CONTROLLABLE	10,750	40	2,340	13,130
390,713	TOTAL EXCLUDED RECHARGES	428,380	0	172,000	600,380
2,587,530	PORTFOLIO TOTAL	2,862,850	65,250	99,130	3,027,230

**PUBLIC PROTECTION AND ENFORCEMENT PORTFOLIO****SUMMARY OF BUDGET VARIATIONS 2019/20**

Ref		VARIATION IN 2019/20 £'000	ORIGINAL BUDGET 2018/19 £'000
<b>1</b>	<b>2018/19 BUDGET</b>	2,863	
<b>2</b>	<b>Increased Costs</b>	65	
	<b>Movements Between Portfolios/Departments</b>		
<b>3</b>	Transfer of resources for the Mortuary Contract from ECS portfolio	70	90
<b>4</b>	Transfer of resources for Emergency Planning from RC&CM portfolio	42	42
<b>5</b>	Increase in MOPAC grant funding	24	Cr 293
<b>6</b>	Transfer of Health & Safety post to HR	Cr 26	26
<b>7</b>	Increase in MOPAC expenditure recharged from ECHS	Cr 12	
<b>8</b>	Increase in MOPAC expenditure within PPE	<u>Cr 12</u>	86
	<b>Real Changes</b>		
	<i>Savings identified for 2019/20 as part of the 2018/19 Budget process</i>		
<b>9</b>	Fallout of short term additional resources for Food Safety and Emergency Planning	<u>Cr 161</u>	Cr 161 280
<b>10</b>	Variations in Capital Charges		1
<b>11</b>	Variations in Recharges		172
<b>12</b>	Variations in Insurances		1
<b>13</b>	<b>2019/20 DRAFT BUDGET</b>	<u><u>3,027</u></u>	

**PUBLIC PROTECTION AND ENFORCEMENT PORTFOLIO****Notes on Budget Variations in 2019/20****Ref Comments****Movements Between Portfolios/Departments**

- 3 Transfer of resources for the Mortuary Contract from ECS portfolio (Dr £70k)  
To mitigate the extra costs expected from the new negotiated contract, resources have been transferred from the Street Lighting energy budget within the ECS Portfolio.
- 4 Transfer of resources for Emergency Planning from RC&CM portfolio (Dr £42k)  
Transfer of the budget for the London Gold Pan London contribution and a part time staffing resource to the Emergency Planning service.
- 5 Transfer of Health & Safety post to HR (Cr £26k)  
The corporate Health and Safety post now reports directly to the Director of HR and Customer Services. The budget has been adjusted to reflect this transfer.
- 6-8 Increase in MOPAC grant funding and expenditure (net nil)  
This reflects the increase of MOPAC grant funding and expenditure in 2019/20. This has no net financial impact on the overall position across the Council.

**Real Changes**

- 9 Fallout of short term additional resources on Food Safety and Emergency Planning (Cr £161k)  
Removal of the additional temporary resources for three 18 months fixed term Food Safety officers and a 2 year fixed term Business Continuity officer to support Emergency Planning, as agreed by Executive on 9 Aug 2017.
- 10 Variations in Capital Charges (Dr £1k)  
The variation in capital charges is due to a combination of the following:  
(i) Depreciation – the impact of revaluations or asset disposals in 2017/18 (after the 2018/19 budget was agreed) and in the first half of 2018/19.  
(ii) Revenue Expenditure Funded by Capital Under Statute (REFCUS) – mainly due to variations in the value of schemes in the 2019/20 Capital Programme that do not add value to the Council's fixed asset base.  
(iii) Government Grants – mainly due to variations in credits for capital grants receivable in respect of 2019/20 Capital Programme schemes, which are used to finance expenditure that is treated as REFCUS.  
These charges are required to be made to service revenue accounts, but an adjustment is made below the line to avoid a charge on Council Tax.
- 11 Variations in Recharges (Dr £172k)  
Variations in cross-departmental recharges are offset by corresponding variations elsewhere and therefore have no impact on the overall position.
- 12 Variations in Insurances (Dr £1k)  
Insurance recharges to individual portfolios have changed between years, in some cases significantly, partly because an extra year of claims experience since the 2018/19 budget was finalised has been factored in. The overall variation across the Council is Dr £66k.

**PUBLIC PROTECTION AND ENFORCEMENT PORTFOLIO**  
**DRAFT REVENUE BUDGET 2019/20 - SUBJECTIVE SUMMARY**

Service area	Employees £	Premises £	Transport £	Supplies and Services £	Third Party Payments £	Transfer Payments £	Income £	Controllable Recharges £	Capital Charges/ Financing £	Total Controllable £
<b>Emergency Planning</b>										
Emergency Planning	136,530	0	4,360	12,690	0	0	0	0	0	153,580
	<b>136,530</b>	<b>0</b>	<b>4,360</b>	<b>12,690</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>153,580</b>
<b>Public Protection</b>										
Public Protection	2,089,240	43,420	40,640	168,850	536,400	0	Cr 395,820	Cr 942,520	0	1,540,210
Mortuary & Coroners Service	0	0	0	0	565,810	0	0	0	0	565,810
Community Safety	201,550	0	4,030	19,240	0	0	Cr 317,140	246,440	0	154,120
	<b>2,290,790</b>	<b>43,420</b>	<b>44,670</b>	<b>188,090</b>	<b>1,102,210</b>	<b>0</b>	<b>Cr 712,960</b>	<b>Cr 696,080</b>	<b>0</b>	<b>2,260,140</b>
	<b>2,427,320</b>	<b>43,420</b>	<b>49,030</b>	<b>200,780</b>	<b>1,102,210</b>	<b>0</b>	<b>Cr 712,960</b>	<b>Cr 696,080</b>	<b>0</b>	<b>2,413,720</b>

Service area	Capital Charges/ Financing £	Repairs, Maintenance & Insurance £	Property Rental Income £	Not Directly Controllable £	Recharges In £	Total Cost of Service £	Recharges Out £	Total Net Budget £
<b>Emergency Planning</b>								
Emergency Planning	5,000	200	0	5,200	81,450	240,230	0	240,230
	<b>5,000</b>	<b>200</b>	<b>0</b>	<b>5,200</b>	<b>81,450</b>	<b>240,230</b>	<b>0</b>	<b>240,230</b>
<b>Public Protection</b>								
Public Protection	3,000	4,550	0	7,550	1,073,880	2,621,640	Cr 1,243,770	1,377,870
Mortuary & Coroners Service	0	0	0	0	51,750	617,560	0	617,560
Community Safety	0	380	0	380	659,360	813,860	Cr 22,290	791,570
	<b>3,000</b>	<b>4,930</b>	<b>0</b>	<b>7,930</b>	<b>1,784,990</b>	<b>4,053,060</b>	<b>Cr 1,266,060</b>	<b>2,787,000</b>
	<b>8,000</b>	<b>5,130</b>	<b>0</b>	<b>13,130</b>	<b>1,866,440</b>	<b>4,293,290</b>	<b>Cr 1,266,060</b>	<b>3,027,230</b>



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**The London Authorities of Bromley and Bexley  
Parking Services**

**Bromley  
KPIs Schedule**

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**July 2016  
Version 3**

**Update – 20/07/2016**

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## GENERAL PROVISION

KPI Item	KPI description	KPI calculations (Same for both Authorities)	Performance related reductions
GP1	Training standards as set out in method statement	Each failure to achieve standards set out = 1 event in KPI table	£100
GP2	Payments as set out in specification and method statements to be processed and received into respective accounts within agreed time tables	For each working day after target date payment is not made = 1 event on the Master KPI Table	£250
GP3	<p>Compliance with PCI regulations and financial standards. i.e. Failure to re-register for PCI compliance will equal a failure. Adequate action must be made to rectify in agreement with the authority, or further KPI failings may result.</p> <p>The Service Provider will also be liable for any expenses incurred by the authority which are attributed to the Service Provider not complying with PCI regulations.</p>	For each occasion a service does not adhere to this KPI = 1 event on the Master KPI Table	£500+ expenses incurred by the Authority
GP4	Unacceptable behaviour or customer service in any service area of this contract will result in a failure to meet this KPI. The decision of unacceptable conduct will be at the sole decision of the Authorities.	For each occasion a service does not adhere to this KPI = 1 event on the Master KPI Table	£100

## HEALTH AND SAFETY MATTERS

KPI Item	KPI description	KPI calculations (Same for both Authorities)	Performance related reductions
H&S 1	<b>Health &amp; Safety (General Adherence to Policies)</b> Adhere to all Health & Safety matters. E.g. fire certificate, appropriate training, etc.	Each failure = 1 event of the Master KPI Table	£250
H&S 2	<b>Health &amp; Safety (Make good, low risk)</b> Make good and repair all Health & Safety matters within 48 hours.	Each failure = 1 event of the Master KPI Table	£250
H&S 3	<b>Health &amp; Safety (Make good, HIGH risk)</b> Report and make safe or repair any matters of any Health & Safety in which a member of the public may be at risk, within 4 hours  For each subsequent 4 hours the repair is not completed or made safe, it will be recorded as an additional event on the Master KPI Table	Each failure = 1 event of the Master KPI Table	£250
H&S 4	<b>Health &amp; Safety (Reporting)</b> Failure to report a safety issue which reasonably should have been observed and was brought to the Authorities attention by a member of the public or the Authorities own inspection	Each failure = 1 event of the Master KPI Table	£250

## ENFORCEMENT AND ASSOCIATED SERVICES

KPI Item	KPI description	KPI calculations (Same for both Authorities)	Performance related reductions
Enf. 1	Processing of all Regulation 9 CEO issued PCNs and Warning Notices. To be processed and uploaded onto the ICT system with associated photographs, BWV within 24 hours of issue.	Each 1% below = 1 event on the Master KPI Table.	£25
Enf. 2	<b>CCTV notice Processing</b> (PCN and Warning Notices included).  100% of CCTV footage must be reviewed and PCN's entered and processed onto the notice processing system within three working days of the contravention being recorded, including uploading of evidence onto the public facing module of the IT system. This will be measured using the daily log sheet recorded by the CCTV Operatives.	Each 1% below = 1 event on the Master KPI Table.	£25
Enf. 3	<b>Civil Enforcement Error.</b> For the purposes of assessing performance, CEOs error which have been cancelled as part of a client processing procedures. Voids & Spoilt are not included in this KPI  <ul style="list-style-type: none"> <li>• Insufficient or poor quality evidence, notes, photographs etc.</li> <li>• Incorrect information on PCN e.g. Incorrect contravention code, incorrect street etc.,</li> <li>• PCNs issued in error i.e. driver complied with rules and regulations</li> <li>• Failure to follow Enforcement Guidelines e.g. observation times,</li> <li>• Other errors originating with the CEO that results in a cancelled PCN, which should have been rectified by the Service Provider not including performance Related reductions</li> </ul>	Each error = 1 event on Master KPI Table	£25
Enf. 4	<b>Minimum Deployment level on a given day</b> Measured against the method statement provided or agreement throughout the contract.	1 person under minimum deployment levels = 1 event on Master KPI Table	£250

Enf. 5	<p><b>Deployed Hours</b> (CEOs on Street only) – (not linked to actual CEOs) Measured against the method statement provided or agreement throughout the contract.</p> <p><b>Permitted variation to planned hours</b> Hours Met/Not Met. (up to - 5% and +10% each month. Up to end of March per annum 100% must be achieved).</p>	For each 1 x hour over the minimum 5% = 1 event on the Master KPI Table	£25 per hour
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Enf. 6	<p><b>Number of CEOS deployed per day</b></p> <p>Measured against the method statement provided or agreement throughout the contract.</p>	1 CEO/Shift under minimum deployment levels = 1 event on Master KPI Table	£250
Enf. 6	<p><b>Deployed hours</b></p>	Worked calculation set out in pricing schedule.	As per pricing schedule.
Enf. 7	<p><b>Compliance rate</b></p> <p>The compliance rate will be monitored by client Officers observing vehicles in the defined areas to assess if adequate enforcement coverage is being achieved. Failure to address non-compliance of parking regulations will result in a failure to meet this KPI.</p>	Each event of inadequate enforcement occurs will result in 1 event on the master KPI table	£50
Enf. 8	<p>Urgent enforcement requests. The Service Provider must attend requests within times set in the table set out in 4.11.2.</p>	Each 1% under 100% will result in 1 occasion /instants on the master	£50
Enf. 9	<p>BWV quantity. 95% of PCNs must have body worn video unless the Service Provider has highlighted a problem in advance. i.e. 100 PCNs issued and 10 of those do not have any BWV Video. This would result in 5 individual failures.</p>	Each 1% under will result in 1 occasion/instants on the master	£50
Enf. 10	<p>Quality BWV Video. This KPI will be measured by random sampling up to 100 body worn video checks in any monthly period, and the percentage of checks where the standard of body worn video has fallen below the satisfactory level cannot be lower than 95% at any time throughout the contract term. The Authorised Officer will have the final decision on what constitutes a pass or fail.</p>	Each 1% under will result in 1 occasion/instants on the master	£25

## SUSPENSION AND DISPENSATION MANAGEMENT

KPI Item	KPI description	KPI calculations (Same for both Authorities)	Performance related reductions
S&D 1	The Service Provider must erect applicable signage no later than 3 working days before the suspension is due to commence or within 24 hours, if notified later.	Each failure = 1 event on the Master KPI Table	£50
S&D 2	The Service Provider must take down all signage within 24 hour of the end of suspension	Each failure = 1 event on the Master KPI Table	£50
S&D 3	Digital images of the erected signage shall be taken and sent to the Authorities on the day the signs were erected.	Each failure = 1 event on the Master KPI Table	£50

## MSCP MAINTENANCE (Non Structural)

KPI Item	KPI description	KPI calculations (Same for both Authorities)	Performance related reductions
MSCP1	Replacement of bulbs within 7 days of discovery.	1 failure = 1 event on the Master KPI Table	£25

## SURFACE AND CAR PARK MAINTENANCE

KPI Item	KPI description	KPI calculations (Same for both Authorities)	Performance related reductions
CP_ M1	Potholes and Minor repairs (vehicle movement areas) Including area of the car park. Make good within 1 week of discovery.	Each failure = 1 event of the Master KPI Table	£50
CP_ M2	Potholes and Minor repairs (pedestrian walkways) including the often used area of the car parks, which may result in a trip hazards) and unused area of the car park. Make good within 1 day of discovery.	Each failure = 1 event of the Master KPI Table	£50

## CLEANING AND MSCP SPECIFICATION

KPI Item	KPI description	KPI calculations (Same for both Authorities)	Performance related reductions
Clean 1	Graded standards (consistency) All Car Parks to meet Grade A (High Public use area) or B (All other areas) as set out in the specification.	Each inspection resulting in a car park not meeting the standard = 1 event.	£200
Clean 2	<b>Graded Standards (making good)</b> Any area found to be below the standard set in the spec to be rectified 24 hours.	Failure to make good within 24 hours = 1 event on the Master KPI Table	£100
Clean 3	<b>Timing of works</b> Failure to carry out cleaning works outside of busy times, which resulted in an inconvenience being caused to the public without prior approval.	Each failure to meet = 1 event on the Master KPI Table	£100
Clean 4	<b>Graffiti</b> The removal graffiti on all signage, walls and pay and display machines to be undertaken within 5 working days of being reported. Continued failure to meet KPI will result in 1 event on Master KPI Table for every 5 days thereafter.  Racist or offensive graffiti must be removed with 2 working days. Continued failure to meet KPI will result in 1 event on Master KPI Table for every 2 days thereafter.	Each failure to meet = 1 event on the Master KPI Table	£100
Clean 5	<b>Fly Tipping</b> The removal of Fly Tipping and other significant dumping of rubbish to be undertaken within 2 working day of being reported. Continued failure to meet KPI will result in 1 event on Master KPI Table for every 2 days thereafter.	Each failure to meet = 1 event on the Master KPI Table	£100

## SIGNS AND LINE MAINTENENCE

KPI Item	KPI description	KPI calculations (Same for both Authorities)	Performance related reductions
S&L 1	<b>Replacement of less common Signs</b> No more than 28 working days from date of reported fault to replace sign. For each 14 days thereafter the sign is not replaced it will be recorded as an additional event.	Each failure to meet = 1 event on the Master KPI Table	£100
S&L 2	<b>Replacement of Common Signs</b> No more than 14 working days from date of reported fault to replace sign. For each 7 days thereafter if the sign is not replaced it will be recorded as an additional event.	Each failure to meet = 1 event on the Master KPI Table	£100
S&L 3	<b>High Priority</b> CPZ & RPZ signs. Replacement 2 working days. For each 2 working days thereafter if the sign is not replaced it will be recorded as an additional event.	Each failure to meet = 1 event on the Master KPI Table	£100
S&L 4	<b>Cleaning and realignment of signs.</b> 10 working days to clean or realign. For each 5 working days thereafter if the sign is not made good it will be recorded as an additional event.  Cleaning and realignment of High Priority signs 24 hours. For each 24 hours thereafter if the sign is not made good it will be recorded as an additional event.	Each failure to meet = 1 event on the Master KPI Table	£50
S&L 5	<b>TSRG</b> 100% adherence to legislative requirements or approval by Local Authority.	Each failure to meet = 1 event on the Master KPI Table	£50
S&L 6	<b>Line refreshing –</b> Within 14 working days. For each 7 days thereafter if the line is not made good it will be recorded as an additional event.	Each failure to meet = 1 event on the Master KPI Table	£100

## CASH COLLECTION SERVICE

KPI Item	KPI description	KPI calculations (Same for both Authorities)	Performance related reductions
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CC 1	<p><b>Cash Delivery Times</b> All monies delivered within 24 hours of collection (Monday-Thursday) or within next working day for Friday to Sunday.</p> <p><i>For each 24 hours thereafter if the cash is not delivered it will be recorded as an additional event.</i></p> <p>Each 24 hours thereafter the Performance Related Reduction will be doubled. More than 48 hours = £400 More than 72 hours = £800 More than 96 hours = £1,600 More than 120 hours = £3,200 Etc.</p> <p>Continued failure will invoke termination clauses as set out in the contract.</p>	Each failure to meet the KPI = 1 event in the Master KPI Table	£200
CC 2	<p><b>Reports/Data</b> As set out in specification -</p>	Each failure to meet the KPI = 1 event in the Master KPI Table	£100
CC 3	All faulty P&D machines to be notified to the Authorities within 24 hours.	Each failure to meet the KPI = 1 event in the Master KPI Table	£50
CC 4	<p><b>Emergency collections</b> Made within 24 hours of notification by Authorities.</p>	Each failure to meet the KPI = 1 event in the Master KPI Table	£200
CC 5	<p><b>End of year collection</b> At financial year end all machines to be collected at least once from machines and passed to banking house on 7 days leading up to 31<sup>st</sup> March.</p>	Each failure to meet the KPI = 1 event in the Master KPI Table	£200
CC 6	<p><b>Investigate/reporting of discrepancy</b></p> <p>Investigate discrepancies of greater than £10 between collected amount (audit ticket) and counted/banked amounts, within 14 working days of notification by Counting House of amount banked including a full reconciliation.</p> <p>For each 7 days thereafter if reconciliation if not undertaken (with satisfactory explanations of any discrepancies, it will be recorded as an additional event.</p>	Each failure to meet the KPI = 1 event in the Master KPI Table	£100

## KIOSK STAFF FOR MULTISTORY CAR PARK

KPI Item	KPI description	KPI calculations (Same for both Authorities)	Performance related reductions
KM 1	Manning of Kiosk. The kiosk shall be manned in accordance with the specification.	For each 1 hour unattended = 1 event on the Master KPI Table.	£50
KM 2	Failure to be contactable for the remote operation or barrier rises.	For each 1 hour unattended = 1 event on the Master KPI Table.	£50

## ASSET MANAGEMENT

KPI Item	KPI description	KPI calculations (Same for both Authorities)	Performance related reductions
AM 1	<p><b>Availability of assets</b> 98% of all machines to be working order between 08:30 and 18:30. e.g. if only 88% of the machines are working at any one time = 2 x 5% which = 2 events.</p> <p>To record this performance a report shall be run by the Service Provider each morning at 09:00 stating how many machines are non-operational and also record the number of machines which should be optional. At the end of the month the total number of machines should be totalled, then divided by the number of calendar days in that month. That number should then be divided to find the percentage. See example.</p>	Each 5% under will = 1 x event on the Master KPI.	£200
AM 2	<p><b>Repair of assets</b> Location where if the machine(s) is/are not working and the facility becomes inoperational. 24 hours to make operational.</p>	Each failure = 1 x event on the Master KPI. Each 24 hour period thereafter = 1 x additional event.	£150

AM 3	<b>Repair of assets (Multi machine location)</b> Locations where the facility can remain operational 3 days to make operational	Each failure = 1 x event on the Master KPI. Each 2 day period thereafter = 1 x additional event.	£150
AM 4	<b>Reports</b> Provide monthly usage and income reports for each car park, including by tariff category.	Each failure = 1 x event on the Master KPI.	£100

## CASHLESS PARKING SOLUTION

KPI Item	KPI description	KPI calculations (Same for both Authorities)	Performance related reductions
MP 1	<b>Availability</b> All elements of the system must have 99% availability during 24/7, including web pages, apps and pay by phone.	Each 1% under this requirement = 1 x event on the Master KPI.	£250
MP 2	<b>New Zones and tariff changes, etc.</b> To amend errors within 24 hours and create zones and tariffs within 7 days.	Each failure = 1 x event on the Master KPI.	£50
MP 3	Contact Authority with 30 mins of system failure.	Each failure = 1 x event on the Master KPI.	£50
MP 4	<b>Payment of Parking Tariff.</b> All payments to the local authority to be made as set out in the specification. Twice monthly, once on the 16 <sup>th</sup> and another at the month end. Failure to make payment within 7 days thereafter will result in further failure event.  Each 7 days thereafter the Performance Related Reduction will be doubled. More than 7 days = £100 More than 14 days = £200 More than 21 days = £400 More than 28 days = £800 Etc.  Continued failure will invoke termination clauses as set out in the contract.	Each failure to make payment = 1x event on the Master KPI.	£100

## CIVIL ENFORCEMENT SYSTEM

KPI Item	KPI description	KPI calculations (Same for both Authorities)	Performance related reductions
CES1	<p>The failure of an automatic progression to run by the following evening (24 hours), after a single failure will be considered a failure to meet this KPI.</p> <p>A failure of the automatic progression to run on:</p> <p>2 consecutive days will equal £300</p> <p>3 consecutive days will equal £600</p> <p>4 consecutive days will equal £900</p> <p>5 consecutive days will equal £1,500</p> <p>7 consecutive days will equal £3,000</p> <p>(Any period longer than stated above will result in Service Provider attend Authorises offices with resolution plan).</p>	Each failure to make payment = 1 x event on the Master KPI	£100
CES 2	<p><b>System Availability</b></p> <p>The service managed by supplier shall have service availability, excluding planned system outage time, of not less than 98.5%. Between 06:00 &amp; 21:00 hrs.</p>	Each 1% under will = 1 x event on the Master KPI	£2,000
CES 3	<p><b>Business Critical Impact (2 Hours)</b></p> <p>System Availability, Severe Business disruption – Service Unit unable to operate, critical system failed or severely impaired, Unable to issue PCNs or FPNs or Blue Badge or Permits, Data is severely corrupted, not manually correctable and requiring full restore, all users sites affected. Between 06:00 &amp; 21:00 hrs.</p>	Each failure = 1 x event on the Master KPI. Each 2 hour period thereafter = 1 x additional event	£2,000
CES 4	<p><b>Major Operational Impact 4 Hours</b></p> <p>Unable to progress cases or issue Recovery Documents, User group or Key user unable to operate, or experiencing significant reduction in system performance, Financial Queries by User group or Key user, scanners malfunction/failure, the system hangs indefinitely in use causing highly unacceptable or indefinite delays for resource</p>	Each failure = 1 x event on the Master KPI. Each 4 hour period thereafter = 1 x additional event	£2,000

	<p>or response, duplicate payment files being processed, payment files not being processed.</p> <p>Service Provider shall monitor the progress of all scheduled interface processes, scheduled tasks and outputs, including primary auto progression. In the event of any failure, supplier shall In the situation where the Service Provider has not availed itself of supplier's disaster recovery service and in the event of a request from the Service Provider for a need for restoration of data the supplier will respond to such a request within 2 Support Hours. Between 06:00 &amp; 21:00 hrs.</p>		
CES 5	<p><b>Minor Operational Impact 2 working days</b> Single user unable to operate with no available work around, Queries raised by user group or key user regards to financial reporting, configuration error/software fault causing incorrect operation of a function, missing reports, part of the system is unusable but not preventing users from carrying out their duties. User or user group experiencing problems, but with a work around that does not affect service delivery, test database faults, software errors causing inconvenience, general customer queries and advise. Including adding/removing codes (cancellation/hold etc.) minor adjustments to progression paths, (day to progress to nest stage etc.) amendments to templates, (merge fields etc.).</p> <p>A request for information or a problem which does not affect service delivery or user productivity, Escalation management process and effectiveness (Quarterly), Calls outstanding at end of month, approved change requests, request for service team assistance, minor cosmetic bugs, follow up fault investigation</p>	<p>Each failure = 1 x event on the Master KPI. Each 24 hour period thereafter = 1 x additional event</p>	£500
CES6	<p>The contractor must provide reports specifies in appendix 6 within 14 days of the end of the month.</p> <p>A failure to provide the reports for every 7 days thereafter will result in an additional performance related reduction of £250</p>	<p>Each failure to produce reports = 1 x event on the Master KPI</p>	£250

## PERMITS SYSTEM

KPI Item	KPI description	KPI calculations (Same for both Authorities)	Performance related reductions
PS 1	<p><b>Configuration Amendments - 10 Working Days</b> To be responsible for making any necessary changes to the system, in relation to new locations being added to existing zones, any new zones being added to the system or any charge amendments.</p>	<p>Each failure = 1 x event on the Master KPI. Each 2 day period thereafter = 1 x additional event.</p>	£25
PS 2	<p><b>System Availability</b> The service managed by supplier shall have service availability, excluding planned system outage time, of not less than 98.5%. Between 06:00 &amp; 21:00 hrs.</p>	<p>Each 1% under will = 1 x event on the Master KPI.</p>	£500
PS 3	<p><b>Business Critical Impact (2 Hours)</b> System Availability, Severe Business disruption – Service Unit unable to operate, critical system failed or severely impaired, Unable to issue PCNs or FPNs or Blue Badge or Permits, Data is severely corrupted, not manually correctable and requiring full restore, all users sites affected. Between 06:00 &amp; 21:00 hrs.</p>	<p>Each failure = 1 x event on the Master KPI. Each 2 hour period thereafter = 1 x additional event.</p>	£500
PS 4	<p><b>Major Operational Impact 4 Hours</b> Unable to progress cases or issue Recovery Documents, User group or Key user unable to operate, or experiencing significant reduction in system performance, Financial Queries by User group or Key user, scanners malfunction/failure, the system hangs indefinitely in use causing highly unacceptable or indefinite delays for resource or response, duplicate payment files being processed, payment files not being processed.</p> <p>Supplier shall monitor the progress of all scheduled interface processes, scheduled tasks and outputs, including primary auto progression. In the event of any failure, supplier shall In the situation where the Service Provider has not availed itself of supplier's disaster recovery service and in the event of a request from the Service Provider for a need for restoration of data the supplier will respond to such a request within 2 Support Hours. Between 06:00 &amp; 21:00 hrs.</p>	<p>Each failure = 1 x event on the Master KPI. Each 4 hour period thereafter = 1 x additional event.</p>	£500

## BUSINESS PROCESS SOLUTION

KPI Item	KPI description	KPI calculations (Same for both Authorities)	Performance related reductions
BPS 1	Failure to inform the automated progression has failed by 9am	Each failure to make event = 1 x event on the Master KPI.	£50
BPS 2	Stuck Cases Report. To provide on a weekly basis a list of all cases that have not progressed in accordance with the statutory progression.	Each failure to make event = 1 x event on the Master KPI.	£50
BPS 3	Printing, posting and ensuring accuracy of all outgoing post and associated attachments in relations to the PCN process within the statutory deadlines.	Each event = 1 event on the Master KPI table.	£50
BPS 4	Scanning & logging 100% entered on by next working day,	Each 1% under 100% not sent = 1 event on the Master KPI table.	£50
BPS 5	Emails PCN/Permits 95% of emails relating to Challenges or Representations (PCN) and Permit are to be processed on the date of receipt if received before 16:30 hours. The remaining 5% to be completed on the next working day.	Each 1% under 95% not sent = 1 event on the Master KPI table.	£50
BPS 6	Emails (Non PCN) General Parking Enquires are to be replied to within 2 working days.	Each 1% under 95% not sent = 1 event on the Master KPI table.	£50
BPS 7	Reconciliation of all PCN and Permit (inc dispensation/suspension etc.). To provide a daily, weekly, monthly and annual reconciliation statement of all payments received and banked against ICT software and all payment systems, including web, phone and authorities payment files.  100% reconciliation to be achieved and conformation report sent with any differences to the attention of the Authorities by the next working day.	Each occasion failure to provide reports = 1 event on the Master KPI table.	£150
BPS 8	Payment Files including payment files from enforcement agents. 100% of payment files to be completed by the end of same working from when received.  Each 1 day thereafter the Performance Related reduction will be doubled. More than 2 days = £500	Each event = 1 event on the Master KPI table.	£250

	<p>More than 3 days = £1000  More than 4 days = £2000  More than 5 days = £4000  Etc.</p> <p>Continued failure will invoke termination clauses as set out in the contract.</p>		
BPS 9	<p>Cheque processing including Part Payments and Refunds  100% of cheques to be processed by the next working day.</p>	Each 1% under 100% not sent = 1 event on the Master KPI table.	£50
BPS 10	<p>Processing Royal Mail Returns  100% Royal Mail returns to be processed within 10 working.</p>	Each 1% under 100% not sent = 1 event on the Master KPI table.	£50
BPS 11	<p>Processing hardcopy VQ5s  For 100% hard copy VQ5 returns to be processed within 14 days.</p>	Each 1% under 100% not sent = 1 event on the Master KPI table.	£50
BPS 12	<p>DVLA – VQ4 &amp; VQ5s  100% of cases to be sent to the DVLA by next working day and returned DVLA data to be uploaded on day of receipt from the DVLA.</p> <p>2 consecutive days = £50  3 consecutive days = £75  4 consecutive days = £150  5 consecutive days = £500  6 consecutive days = £1000  7 consecutive days = £1500</p> <p>(Any longer will result in Service Provider attending Council offices with resolution plan).</p>	Each file not sent or uploaded = 1 event on the Master KPI table.	£50
BPS 13	<p>London Tribunals (Formally PATAS)) –  100% of footage including CCTV and or BWV to be uploaded onto ICT system within 3 working days of the request.</p>	Each 1% under 100% not sent = 1 event on the Master KPI table.	£50
BPS 14	<p>London Tribunal (formally PATAS) and witness statement – summery packs.  95% within 3 working days from summery being provided. Remaining 5% within statutory deadline date.</p>	Each 1% under 100% not sent = 1 event on the master KPI table.	£50
BPS 15	<p>Processing the Enforcement Agent Return files  100% returned cases to be processed within 14 days of receipt.</p>	Each 1% under 100% not sent = 1 event on the Master KPI table.	£50

BPS 16	Warrants Re-seals. To process all warrant re-seals and holds when received from the Enforcement Agent on to the parking system. 95% to be completed within 3 days and remaining 5% to be completed by the end of the 5th working day	Each 1% under 100% not sent = 1 event on the Master KPI table.	£50
BPS 17	Enforcement Agents Returned Warrants – All warrants returned by the Enforcement Agents should be processed onto the ICT system on a weekly basis. 100% of all warrants to be processed within 14 days	Each 1% under 100% not sent = 1 event on the Master KPI table.	£50
BPS 18	Enforcement Agents Resealed Warrants Requests – All weekly reseal request reports from the Enforcement Agents should be reviewed within 2 days of receipt of the report.	Each 1% under 100% not sent = 1 event on the Master KPI table.	£50
BPS 19	Progression of Debt Recovery cases to TEC – Ensure that cases are progressed within timescales of recovery (36 Days after the Charge Certificate has been sent out.)100% of all case to be sent between 36 and 60 days.	For every case not sent = 1 event on the Master KPI Table	£50
BPS 20	Order for Recovery – 100% of all Order for Recovery documents must be sent out within 14 days of receiving authorisation from TEC. Failure to adhere will result in an actual loss to the authority, the PCN must be cancelled.	For every case not sent = 1 event on the Master KPI Table	£50
BPS 21	Progression of Warrants to TEC– 100% of all cases to be progressed within timescales of recovery (28 to 40 Days after the Order for Recovery has been sent out.)	For every case not sent = 1 event on the Master KPI Table	£50
BPS 22	Warrant of Control – 100% of Warrant of Controls must be sent to the Enforcement Agents within 7 days of receiving authorisation from TEC. Failure to adhere will result in an actual loss to the authority, the PCN must be cancelled.	For every case not sent = 1 event on the Master KPI Table	£50
BPS 23	<b>Parking Dispensations/Suspensions.</b> 100% of dispensations and suspensions to be approved or referred to the authorities for decision by end of the 2nd working day after receipt.	Each failure = 1 event on the Master KPI table.	£50

## PERMIT PROCESSING ADMINISTRATION

KPI Item	KPI description	KPI calculations (Same for both Authorities)	Performance related reductions
PPA 1	<b>Permit Applications, Reminders &amp; change of vehicles</b> For 100% of all applications & reminders to be processed within 10 working days.	Each failure = 1 x event on the Master KPI.	£25
PPA 2	<b>Scanning hardcopy documents</b> For 100% of all applications & reminders to be processed within 10 working days.	Each failure = 1 x event on the Master KPI.	£25
PPA 3	<b>Refunds permits/ Dispensations/Suspensions</b> For all refunds to be actioned within 5 days.	Each failure = 1 x event on the Master KPI.	£25

## ENFORCEMENT AGENTS

KPI Item	KPI description	KPI calculations (Same for both Authorities)	Performance related reductions
EA 1	100% of complaints must be fully dealt with, within 10 days.	For each complaint under = 1 event on the Master KPI Table	£50
EA 2	Adherence to the Audit Procedures	For each occasion, incomplete or inaccurate data sent = 1 event on the Master KPI Table	£500

## FPN KPIs

KPI Item	KPI description	KPI calculations (Same for both Authorities)	Performance related reductions
FPNS 1	<p><b>System Availability</b> The service managed by supplier shall have service availability, excluding planned system outage time, of not less than 98.5%. Between 06:00 &amp; 21:00 hrs.</p>	Each 1% under will = 1 x event on the Master KPI	£250
FPNS 2	<p><b>Business Critical Impact (2 Hours)</b> System Availability, Severe Business disruption – Service Unit unable to operate, critical system failed or severely impaired, Unable to issue PCNs or FPNs or Blue Badge or Permits, Data is severely corrupted, not manually correctable and requiring full restore, all users sites affected. Between 06:00 &amp; 21:00 hrs.</p>	Each failure = 1 x event on the Master KPI. Each 2 hour period thereafter = 1 x additional event	£250
FPNS 3	<p><b>Major Operational Impact 4 Hours</b> Unable to progress cases or issue Recovery Documents, User group or Key user unable to operate, or experiencing significant reduction in system performance, Financial Queries by User group or Key user, scanners malfunction/failure, the system hangs indefinitely in use causing highly unacceptable or indefinite delays for resource or response, duplicate payment files being processed, payment files not being processed.</p> <p>Service Provider shall monitor the progress of all scheduled interface processes, scheduled tasks and outputs, including primary auto progression. In the event of any failure, supplier shall In the situation where the Service Provider has not availed itself of supplier's disaster recovery service and in the event of a request from the Service Provider for a need for restoration of data the supplier will respond to such a request within 2 Support Hours. Between 06:00 &amp; 21:00 hrs.</p>	Each failure = 1 x event on the Master KPI. Each 4 hour period thereafter = 1 x additional event	£250
FPNS 4	<p><b>Minor Operational Impact 2 working days</b> Single user unable to operate with no available work around, Queries raised by user group or key user regards to financial reporting, configuration error/software fault causing incorrect operation of a function, missing reports, part of the system is unusable but not preventing users from carrying out their duties. User or user group experiencing problems, but</p>	Each failure = 1 x event on the Master KPI. Each 24 hour period thereafter = 1 x additional event	£100

KPI Item	KPI description	KPI calculations (Same for both Authorities)	Performance related reductions
	<p>with a work around that does not affect service delivery, test database faults, software errors causing inconvenience, general customer queries and advise. Including adding/removing codes (cancellation/hold etc) minor adjustments to progression paths, (day to progress to next stage etc) amendments to templates, (merge fields etc).</p> <p>A request for information or a problem which does not affect service delivery or user productivity, Escalation management process and effectiveness (Quarterly), Calls outstanding at end of month, approved change requests, request for service team assistance, minor cosmetic bugs, follow up fault investigation</p>		

## CASH COUNTING AND BANKING SERVICE

KPI Item	KPI description	KPI calculations (Same for both Authorities)	Performance related reductions
CB 1	<p><b>Banking of cash</b> For all monies to be counted, transported and banked within 24 hours of receipt in accordance with the specification.</p> <p><i>For each 24 hours thereafter if the cash is not delivered it will be recorded as an additional event.</i></p> <p>Each 24 hours thereafter the performance related reductions will be doubled. More than 48 hours = £400 More than 72 hours = £800 More than 96 hours = £1,600 More than 120 hours = £3,200 Etc.</p> <p>Continued failure will invoke termination clauses as set out in the contract.</p>	Each failure = 1 event in the Master KPI Table	£200
CB 2	<p><b>Reconciliation</b> For all reconciliation and documentation to be completed as set out within the specification and available to the authority within 7 days.</p>	Each failure = 1 event in the Master KPI Table	£50
CB 3	<p><b>Investigate/reporting of discrepancy</b></p> <p>Investigate discrepancies of greater than £10 between collected amount (audit ticket) and counted/banked amounts, within 14 working days of notification by Counting House of amount banked including a full reconciliation.</p> <p>For each 7 days thereafter if reconciliation if not undertaken (with satisfactory explanations of any discrepancies, it will be recorded as an additional event.</p>	Each failure = 1 event in the Master KPI Table	£50

## **EXPLANATION OF PERFORMANCE RELATED REDUCTION/DEFAULT NOTICES TO TERMINATIONS**

### **Monthly**

Depending on the total value of the performance related reduction per month, a possibility of 6 different outcomes can take place:

1. No further action to be taken.
2. A minuted contract meeting and an administration charge of £250
3. A Default Notice Level 1 and an administration charge of £500
4. A Default Notice Level 2 and an administration charge of £1500
5. A Final Default Notice Level 3 and an administration charge of £3000
6. Clause 10 of the contract may be activated, leading to termination and an administration charge of £5000

Each Default Notice will include details as set out in clause 8 of the contract.

If the agreement within the Default Notice is not met, the next level will be served (for example if the Service Provider fails to meet the requirements of the level 1 Default Notice, a Default Notice level 2 will be served, even if the existing months Defaults are low and should not trigger an action).

Note: A Rectification Notice may be issued whether or not a deduction of payment is also made under Clause 3.1(b) of the contract in relation to the same subject matter or a Level 1 Default Notice, Level 2 Default Notice or Level 3 Final Default Notice has been issued in relation to the same subject matter.

### **Rolling 3 Month**

To address continual poor service, a rolling 3 month Default level will also be served. If within 3 months the performance related reduction triggers a threshold set out in the table below one of the following outcomes can take place:

1. A Default Notice Level 1 and an administration charge of £500
2. A Default Notice Level 2 and an administration charge of £1500
3. A Final Default Notice Level 3 and an administration charge of £3000
4. Clause 10 of the contract may be activated, leading to termination and an administration charge of £5000.

**TABLE OF PERFORMANCE RELATED REDUCTION/DEFAULT NOTICES TO TERMINATIONS**

<b>Category (Monthly)</b>	<b>Performance related reduction Monthly amount against KPIs total</b>	<b>Action to be taken by Authority</b>	<b>Administration Charge</b>
Less than	£4,999	No action less than £4,999.	n/a
Between	£5,000 -£14,999	Between £5k £10k a special minuted meeting to take place	Plus £250 administration charge
Between	£15,000 -£24,999	Level 1 Default Notice	Plus £500 administration charge
Between	£25,000 - £34,999	Level 2 Default Notice	Plus £1500 administration charge
Between	£35,000 - £69,999	Level 3 Final Default Notice	Plus £3000 administration charge
Over	£70,000	Clause 10 in Contract may be activated, leading to termination.	Plus £5000 administration charge
<b>Rolling 3 month limits</b>	<b>Performance related reduction Monthly amount against KPIs total</b>	<b>Action to be taken by Authority</b>	<b>Administration Charge</b>
Between	£30,000 - £49,999	Level 1 Default Notice	Plus £500 administration charge
Between	£50,000 -£69,999	Level 2 Default Notice	Plus £1500 administration charge
Between	£70,000 - £99,999	Level 3 Final Default Notice	Plus £3000 administration charge
Over	£100,000	Clause 10 in Contract may be activated, leading to termination.	Plus £5000 administration charge

**Decision Maker:** PUBLIC PROTECTION AND ENFORCEMENT PDS COMMITTEE  
ENVIRONMENT AND COMMUNITY SERVICES PDS COMMITTEE

**Date:** 30<sup>th</sup> January 2019 and 5<sup>th</sup> February 2019

**Decision Type:** Non-Urgent Non-Executive Non-Key

**Title:** PARKING SERVICES – CONTRACTOR PERFORMANCE REVIEW, APCOA PARKING, YEAR 2.

**Contact Officer:** Chloe Wenbourne, Acting Head of Parking Services  
Tel: 020 8313 4647 E-mail: chloe.wenbourne@bromley.gov.uk

**Chief Officer:** Nigel Davies, Executive Director of Environment & Community Services

**Ward:** All

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1. Reason for report

- 1.1 This Report sets out to update Members on the performance of the Parking Services Contract. This contract is responsible for the enforcement of all parking restrictions within the Borough, the maintenance of the car parks, all pay and display machines maintenance and back office functions.
- 1.2 In particular, this report highlights the continual efforts to ensure adequate deployment of Civil Enforcement Officers and that the Parking Contractor is achieving compliance.
- 1.3 The contract is approaching the end of the second year and overall, the contractor is performing to a satisfactory level.
- 

2. **RECOMMENDATION(S)**

- 2.1 That the PDS Committees note the content of this report and in particular the on-going work to ensure that adequate deployment and compliance is taking place around the Borough.

### Impact on Vulnerable Adults and Children

1. Summary of Impact: Minimal impact, however the parking contract includes enforcement around all schools within the Borough as well as the School Crossing Patrol Officers, which is aimed to protect children as they go to and from school. The contract also includes the use of enforcement agents who will take into consideration vulnerable adults and children when they are enforcing.
- 

### Corporate Policy

1. Policy Status: Existing Policy:
  2. BBB Priority: Quality Environment Vibrant, Thriving Town Centres:
- 

### Financial

1. Cost of proposal: N/A
  2. Ongoing costs: N/A
  3. Budget head/performance centre: Parking Contract
  4. Total current budget for this head: £1.9m
  5. Source of funding: Existing budget for 2018/19
- 

### Personnel

1. Number of staff (current and additional): 14.5FTEs
  2. If from existing staff resources, number of staff hours:
- 

### Legal

1. Legal Requirement: Non-Statutory - Government Guidance:
  2. Call-in: Not Applicable:
- 

### Procurement

1. Summary of Procurement Implications: n/a
- 

### Customer Impact

1. Estimated number of users/beneficiaries (current and projected): All road users
- 

### Ward Councillor Views

1. Have Ward Councillors been asked for comments? No
2. Summary of Ward Councillors comments: Not Applicable

### **3. COMMENTARY**

#### **Award and contract background**

- 3.1 The contract is for a fixed term of 10 years with a value of £1.9m pa. The procurement process was a joint one, undertaken between LB Bromley and LB Bexley who also awarded a contract to APCOA for the provision of Parking Services.
- 3.2 Although both authorities entered into a contract with APCOA, the contracts are separate and distinct from each other. Neither authority is dependent on the other for the continuation of the contract. Executive approved the award to APCOA on the 30<sup>th</sup> November 2016. Formal award took place on the 15<sup>th</sup> December 2016 and the Contract commenced on the 3<sup>rd</sup> April 2017.
- 3.3 This contract is managed through the Shared Parking Service and is based on a joint specification and Key Performance Indicators (KPIs).
- 3.4 The contract will be entering year 3 of the 10 years in April 2019.

#### **Scope of Contract**

- 3.5 The Services being managed /provided by APCOA include but are not limited to the following:
- Enforcement and Associated Services
  - Suspensions and Dispensation Management
  - Car Park Management, including Cleaning and Maintenance
  - Signs and Lines maintenance
  - Pay and Display machine maintenance and monitoring
  - Cashless Parking Solution (Ringo)
  - Parking and Permits IT system
  - Cash collection and counting
  - Enforcement Agents (Bailiffs)
  - Business Processing Solutions, i.e. printing and sending of correspondence
  - Reconciliation of all income streams, PCN, P&D, Ringo and permits
  - School Crossing Patrols
- 3.6 As detailed in report ES18007 that went to committee on the 30<sup>th</sup> January 2018, APCOA had a number of challenges within year one of the contract, which APCOA were not equipped to deal with.
- 3.7 Year two of the contract has seen a general overall improvement in all service areas, however a close working relationship needs to be maintained between the parking Contractor and the Authority to ensure the service is as efficient as possible.
- 3.8 It should be noted that in the previous contract there were only four KPIs, including staff retention, staff training, minimum deployment and on street performance. Those that are in some way similar in nature in the current contract are recorded and monitored in such a different way that to elicit meaningful comparisons are not possible.

#### **SERVICE PERFORMANCE**

- 3.9 This contract covers all aspects of Parking Services and therefore the specification has been separated into 18 service areas. Each service area is monitored monthly using Key Performance Indicators.

## ENFORCEMENT

- 3.10 The table below provides a breakdown of all PCNs that were issued by a CEO (Civil Enforcement Officer), Bus Lanes CCTV cameras and school zigzag CCTV cameras, over the last five years.
- 3.11 It should be noted that as of the 1<sup>st</sup> April 2015, changes in legalisation meant local authorities could no longer enforce as many parking restrictions via CCTV, which is reflected in the 14% reduction in CCTV PCNs in 2015/2016.
- 3.12 In the same year, the Bus Lane cameras were replaced with automated Bus Lane cameras in the Borough, which explains the increase of Bus Lane PCNs from 2015/2016.

	<b>CEO</b>	<b>CCTV (bus lanes)</b>	<b>CCTV (school zigzag contraventions)</b>	<b>Total PCNs issued</b>
	<b>Total</b>	<b>Total</b>	<b>Total</b>	<b>Total</b>
01/04/13- 31/03/14	71,720	4,439	16,760	92,919
01/04/14- 31/03/15	69,816	4,539	15,572	89,927
01/04/15- 31/03/16	70,994	12,150	2,399	85,543
01/04/16- 31/03/17	69,351	18,068	1,766	89,185
01/04/17- 31/03/18	60,118	19,264	1,113	80,495

The table below shows the predicted PCNs for 2018 /2019.

	<b>CEO</b>	<b>CCTV (bus Lanes)</b>	<b>CCTV(school zigzag contraventions)</b>	<b>Predicted Total PCNs Issued</b>
	Predicted Total	Predicted Total	Predicted Total	Predicted Total
01/04/18- 31/03/19	55,378	18,358	940	74,676

- 3.13 The prediction highlights that there will be a further decrease of 4,740 PCNs issued by CEOs and an overall decrease of 5,819 PCNs when compared to 2017/18. This represents an 8% decrease for CEO issued PCNs compared to 2017/18 and a 20% decrease of CEO PCNs compared to the last year of the previous Contractor in 2016/17.
- 3.14 It should be noted that it was formally recorded in September 2018 that whilst a review of Bromley Town Centre was being undertaken, enforcement of the shared use bays in seven roads, between 18:30 – 20:00 would be stopped, as the signage was causing confusion for drivers. Further details of this review will be submitted to the Environment Committee in April 2019.

3.15 APCOA were issuing an average of 423.25 PCNs in these seven roads per month, therefore if APCOA could have continued to enforce these bays since September, they could have potentially issued 1,693 more tickets, bringing the total issue rate for CEOs on street to 61,811 and the overall total to 76,369.

3.16 The Council and APCOA are looking at the below factors to ensure that the decrease in the PCNs issue rate is due to more vehicles observing the parking regulations and it is not due to poor deployment by the Parking Contractor:

- **Enforcement Requests:** This online service has become very popular, increasing by 132% in the last 3 years; however, only 29% of requests this year have resulted in an actual parking contravention being committed resulting in a PCN being issued.

APCOA will make every effort to respond to all requests, however whilst this service does result in positive enforcement, these visits can take CEOs away from other busier areas of the Borough where enforcement is of a higher priority.

Work is being undertaken with APCOA to make certain that the balance against responding to Ad-Hoc requests does not deter from enforcing busier parts of the Borough, such as town centres and car parks.

There is currently a KPI for all Enforcement requests being responded to within a set time depending on the time of day, this is currently being reviewed to see whether a more targeted approach can be adopted rather than responding in an adhoc manner.

Parking Services will also review the information on the website around enforcement requests to ensure that it is more informative for customers and to prevent any unnecessary reports being logged. Where no contravention has taken place, Parking Services may contact the complainant to inform them of the outcome and to educate them as to why the “offending” vehicle had not committed a parking contravention.

- **Beat Sheets:** APCOA are currently reviewing their deployment beat sheets with the help of the Council to ensure there is adequate enforcement around the Borough and ensuring that the deployment is intelligently led. The local Borough knowledge of the officers within Parking Services is crucial to these beat sheets being successful.
- **ANPR Vehicle:** Since October 2018 APCOA have been trialling an ANPR vehicle in the permit zones around the Borough. The vehicle is updated twice a day with all permit information, the vehicle will then drive around the roads within the Controlled Parking Zones allowing the ANPR camera to check all parked vehicles. If the ANPR vehicle detects a vehicle parked without a valid permit, the CEO will pull over to check if the vehicle is in contravention and then if necessary, issue a PCN by using their handheld device.

The trial has only been operating for 4 months, however the data provided to date, seems to show that the use of the vehicle has been successful. On average the vehicle will drive around 300 roads per day, some of these roads being visited more than once, checking all the parked vehicles. The use of the ANPR vehicle allows the Controlled Parking Zones to be covered more efficiently, allowing APCOA to reallocate their resources of CEOs to other busier parts of the Borough.

Once a full analysis of the trial is complete, the Authority will review all reports and assess whether it would be worthwhile investing in more ANPR vehicles to help with the deployment and enforcement around the Borough.

- **Virtual Briefings:** APCOA are looking at the possibility of virtual briefings being introduced in some parts of the Borough. This will allow the CEO to go straight to their beat, instead of going to APCOA's main office in the morning. This should decrease the CEOs travelling time and allow more time to be concentrated on enforcement.
- **Retention of staff:** The role of a CEO is challenging, therefore APCOA have experienced a high level of staff turnover, including the Enforcement Contract Manager. Unfortunately this is very common in this line of work, however APCOA are trying to stabilise their workforce by looking at the CEOs wage and ensuring the staff feel valued in the workplace. A new Contract Manager will be starting in February 2019 and will be meeting with the Parking Services Management Team to discuss the requirements of this contract.
- It has been agreed that from February 2019 a joint review of compliance around the Borough will take place. Monthly reports will be produced by APCOA to analyse what roads have not been visited as much as previous years or where there has been a big decrease in PCNs being issued. This will ensure that the whole Borough is being enforced as efficiently as possible.

3.17 73.75% of the defaults that have been applied so far this year have been around the enforcement section of the contract and cover the following: -

PCNs being uploaded onto the parking system within 24 hours;

CEOs wearing Body Worn Videos;

PCNs that have had to be cancelled due to an error being made by the CEO;

The amount of hours the CEOs are on street each day;

The number of CEOs that are on street each day;

The CEO responding to the public enforcement request.

## **CAR PARKS**

- 3.18 APCOA are responsible for the maintenance of all the car parks in the Borough, this includes litter, fly tipping, reporting pot holes and the maintenance of the pay and display machines and Pay on Foot machines.
- 3.19 There has been a gradual decrease in the usage of car parks across the Borough and this is something that Parking Services are currently investigating further. The analysis of the usage of the car parks will be compared to other non-Council run car parks in the local area.
- 3.20 Parking Services are also considering a proposal from APCOA to improve the customer experience of the Civic Offices Car Park, if the business case looks viable, the details will be brought back for Members to consider in April 2019.
- 3.21 For a number of years there has been a general decline in 'paid for' car parking in the Borough. The introduction of new on-street parking schemes and restricted zones has prevented the reduction from being even greater. Although new schemes will continue to be implemented to meet localised traffic and parking needs, there is no reason to suspect that the downward trend will be reversed, particularly in regard to off-street parking. Again this puts greater pressure on the service to meet its financial obligations. In the changing economic climate it is difficult to make reliable estimates of parking demand in the short to medium term, or forecast the longer term effects on parking behaviour.

3.22 3.77% of the defaults that have been applied so far this year have been related to car park maintenance, Pay and Display machine maintenance and the cleaning of the car parks.

### **OTHER SERVICE AREAS**

3.23 APCOA are responsible for other parking service areas, not just enforcement and car park maintenance. Every Service area is monitored both operationally and with any KPIs linked to that service area.

3.24 The table below shows the percentage breakdown of the KPIs that have been applied against the all the service areas so far this year, it should be noted that not all sections of the contract have triggered defaults.

<b>Parking Contract Service Areas</b>	<b>% of Defaults Issued</b>
Enforcement	73.75%
Business Processing	17.24%
Parking Suspension Maintenance	2.92%
P & D Machine Maintenance	1.82%
Cleaning of Car Parks	1.70%
Signs & Lines Maintenance	1.22%
General KPIs	1.09%
Car Park Maintenance	0.24%

3.25 The service area with the highest defaults triggered is Enforcement at 73.75% follow by the business processing section at 17.24%.

3.26 The Business Processing Section are responsible for all of the administration around the PCNs, such as ensuring appeals are logged on the system within a set time, banking any cheque payments, answering emails to the public on general enquiries, printing of all formal documents and registering the cases with the Traffic Enforcement Centre and Enforcement Agents (Bailiffs).

3.27 This section is also responsible for all the permit processing. In the last financial year 7,009 resident permits and 428 business permits were applied for, the majority of these would have been applied for online and APCOA staff would have needed to verify the evidence before approving the application. They also sold 2,446 visitor vouchers in the same period.

3.28 Whilst these KPIs have been applied, they are not fundamental to the service. The Council have set a high level of Customer Service requirement from APCOA around this service area, which sometimes they have failed to meet.

### **MANAGEMENT**

3.29 There is a good working relationship between the Contractor and the Client. Regular operational meetings are held, as well as there being daily contact via emails and phone calls. Personal involvement by Kim Challis Managing Director UK & Ireland since the end of May 2017 has seen a positive impact on the contract and it's performance.

3.30 Weekly and Monthly operational meetings are held for all service areas with the relevant managers from both the Client and Contractor.

- 3.31 APCOA have had difficulties in retaining an Enforcement Contract Manager on this contract, the fourth Contract Manager is due to start on the contract in February 2019. There have been various reasons as to why the managers have left this position, however both the Authority and the Contractor will work with the new Manager to make sure they fully understand the service that they need to be delivering to the Borough.
- 3.32 The Shared Service Parking management team will be reviewing all KPIs within the contract and where necessary they may be amended, added to or removed. This review is intended to take place every two years so that the Contract and service delivery is adapted to meet any changes within the parking service.

## REVIEW OF CONTRACT PURPOSE

- 3.33 There is a continual ongoing need to review all areas of this Contract, however aspects of the service have changed since the Contract went live. Change Control Notices have recorded this.
- 3.34 A recent internal audit demonstrated the need to record the contract documentation differently and for some documentation to be updated in line with Change Control Notices that have been processed. This is something that Parking Services are currently working on with support from the Performance Management and Business Support section, in order to apply the Council's Contract Monitoring Framework (CMF) and the ECS Contract Filing System (CFS).

## 4. SERVICE PROFILE / DATA ANALYSIS

- 4.1 Appendix 1 has a list of all the KPIs against this contract.
- 4.2 A Key element of this contract are the 60 Key Performance Indicators (KPIs) covering the 18 sections of the contract. These KPIs range from ensuring that all notices are sent to the customer, to ensuring the correct amount of monitoring of the (CEOs) takes place.
- 4.3 Every month, all 60 KPIs are reviewed and where necessary a default has been charged against the Contractor. The KPIs are enforced so that where a financial loss has occurred to the Council, some of this loss can be recovered. The KPI monitoring is also a positive approach to continually ensure that the Council are receiving the service that they are paying for.
- 4.4 In 2017/18, the first year of the contract, 12% of the overall contract price was paid back by APCOA in performance related reductions. The table below shows a breakdown of this by each month.

KPI Deduction	Apr-17	May-17	Jun-17	Jul-17	Aug-17	Sep-17	Oct-17	Nov-17	Dec-17	Jan-18	Feb-18	Mar-18	Total
% of defaults against contract price	30%	23%	4%	12%	7%	5%	4%	6%	7%	3%	5%	34%*	12%

*\* this represents an annual default applied at the end of the contract year.*

- 4.5 As detailed in report ES18007 that went to the Environment PDS Committee in January 2018, the first couple of months of the contract were challenging for APCOA and as a result a high level of Performance Related Reductions were triggered, however the table above shows an improvement in their monthly development as the year went on.

- 4.6 In 2018/19, the second year of the contract, from April to November, 2% of the overall contract price has been paid by APCOA in performance related reductions. The table above shows a breakdown of this by each month.

KPI Deduction	Apr-18	May-18	Jun-18	Jul-18	Aug-18	Sep-18	Oct-18	Nov-18	Total
% of defaults against contract price	3%	2%	2%	3%	5%	3%	5%	3%	2%

- 4.7 All but one of the KPIs are monitored monthly, the other KPI is monitored annually. When this default is triggered it will be paid after the end of the contract year.
- 4.8 This annual default was triggered in year one of the contract, and was of a substantial value and this is reflected in the high percentage of 34% for that month.
- 4.9 Should the Parking Contractor continue to perform at the same standards as they have been throughout the year, it is anticipated that APCOA will have to pay a default for the annual performance KPI for year 2 of the contract, although it will be considerably lower than in year 1.
- 4.10 A review will be undertaken of all KPIs to ensure that the KPIs are still relevant to the contract and the service delivery. The revised KPIs will apply from year 3 of the Contract.

#### **PLANS FOR ONGOING IMPROVEMENTS IN VALUE FOR MONEY**

- 4.11 In the long term the Council is keen for all aspects of the contract to improve and there is considerable scope for this. Officers will be considering plans for future innovation and investment moving forward.
- 4.12 A proposal has been received from APCOA to potentially convert the running of the Civic Centre car park to improve the customers' experience. There are a number of potential benefits operationally which officers are currently reviewing and if it is a viable option, the details will be presented in a future report for the Environment and Community Services Portfolio Holder to consider.

#### **IMPACT ON VULNERABLE ADULTS AND CHILDREN**

- 4.13 There is minimal impact on vulnerable adults and children, however the parking contract includes school crossing patrols and enforcement of school zig zags, which is aimed to protect children as they move to and from school. The contract also includes Enforcement Agent activity that will take into consideration vulnerable children and adults. Furthermore the contract includes Blue Badge enforcement which assists children and adults with mobility issues.

### **5. POLICY IMPLICATIONS**

- 5.1 The Parking Contract is fundamental to the delivery of the Parking Strategy (2011) which sets out Bromley's parking and enforcement policies.

## 6. FINANCIAL IMPLICATIONS

6.1 The 2018/19 budget for the parking contract is £1.9m. The table below sets out the budget and projected spend for the contract for the current year: -

<b>Current Budget Position for 2018/19</b>	<b>Latest Budget</b>	<b>Projected Outturn</b>	<b>Variation</b>
	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>
Off Street Parking	497.4	488.7	-8.7
On Street Parking	78.5	66.7	-11.8
Enforcement	1,289.3	1,236.6	-52.7
Permit Parking	33.3	35.5	2.2
	<u>1,898.5</u>	<u>1,827.5</u>	<u>-71.0</u>

6.2 The projected underspend is made up from performance deductions and additional income relating to parking charges paid through Ringo.

6.3 The annual default applied at the end of the Contract year for 2017/18 was not finalised and agreed with the Contractor until after the accounts were closed. The additional defaults totalling £50k are reported as a variance in the budget monitoring.

6.4 Members should note that the reduction in the annual numbers of PCNs of just under 14,000, from 69,351 in 2016/17 to the predicted number for 2018/19, equates to approximately £550k using the average ticket price of £39.60 for PCNs issued by CEOS's.

## 7. PERSONNEL IMPLICATIONS

There may be a review of the structure of the Shared Parking Services as a result of the changes this contract has brought to the team.

## 8. LEGAL IMPLICATIONS

The Council as an Enforcement Authority have the legal power under the Traffic Management Act 2004 to operate Civil Parking Enforcement and to enter into a services contract with the provider for the provision of the services as identified in this report and the contract. The report does not appear to raise any particular legal issues at this point. However should officers require advice on the law and any interpretation of the contract in relation to performance and default then legal advice should be requested.

## 9. PROCUREMENT IMPLICATIONS

The Contract Procedure Rules note in 23.2 - For all *Contracts* with a value higher than **£500,000**, or which are *High Risk*, an annual report must be submitted to the *Portfolio Holder*, the responsible *Officers* having submitted for consideration a formal *Gateway Review*, covering, as appropriate, the matters identified in the Council's standard *Gateway Review* Template for consideration as part of Contract Monitoring/Management requirements.

<b>Non-Applicable Sections:</b>	Procurement Implications
Background Documents: (Access via Contact Officer)	

## Appendix Two - Parking Enforcement Performance Indicators

Below is a review of the Parking Enforcement Performance Indicators for the Parking Services Contractor, APCOA. The information below is for Year 2 of the Contract for April to December 2018.

<b>PK1</b>	Processing of all Regulation 9 CEO issued PCNs and Warning Notices. To be processed and uploaded onto the ICT system with associated photographs, BWV within 24 hours of issue.	Each 1% below = 1 event on the Master KPI Table	25
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**PK1** - This KPI is to ensure that all Penalty Charge Notices (PCNs) that are issued by the CEOs are transferred onto the system within 24 hours of the PCNs being issued. This is to allow for a better service to the motorist as they will be able to appeal or pay their PCN immediately.

When a PCN has been issued the basic information will be transferred over to the parking back office system, all further information like the digital images and CEO comments will be transferred over the next morning.

The above is an automatic process; therefore, it is extremely unusual for this KPI to be triggered. There has been one occurrence where 114 cases were not transferred onto the system within 24 hours..

<b>PK2</b>	<b>CCTV notice Processing</b> (PCN and Warning Notices included). 100% of CCTV footage must be reviewed and PCNs entered and processed onto the notice processing system within three working days of the contravention being recorded, including uploading of evidence onto the public-facing module of the IT system. This will be measured using the daily log sheet recorded by the CCTV Operatives.	Each 1% below = 1 event on the Master KPI Table	25
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**PK2** - This KPI is to ensure that all (PCNs) that are issued by CCTV are transferred onto the system within 3 working days of the PCNs being issued. As these PCNs are sent via the post, the legislation only allows 28 days to get the first notice to the customer, therefore the quicker the case is uploaded on to the system, the more opportunity we have to tracing the registered keeper of the vehicle via the DVLA.

There has been no defaults triggered on this KPI this contract year.

<b>PK3</b>	<p><b>Civil Enforcement Error</b>  For the purposes of assessing performance this will include:  CEOs error which have been cancelled as part of a client processing procedures (Voids &amp; Spoilt are not included in this KPI);  Insufficient or poor quality evidence, notes, photographs etc.  Incorrect information on PCN e.g. Incorrect contravention code, incorrect street etc.,  PCNs issued in error i.e. driver complied with rules and regulations;  Failure to follow Enforcement Guidelines e.g. observation times;  Other errors originating with the CEO that results in a cancelled PCN, which should have been rectified by Service providers, not including Performance Related Reductions.</p>	Each error = 1 event on Master KPI Table	25
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**PK3** - If a CEO issues a PCN incorrectly, the case will be cancelled as a CEO error and a default of £25.00 will apply to each case.

Within year 2 of the contract, there has been 685 cases cancelled as a CEO error, this is an average of 76 each month.

<b>PK4</b>	<p><b>Minimum Deployment level on a given day</b>  Measured against the method statement provided or agreement throughout the contract.</p>	1 person under minimum deployment levels = 1 event on Master KPI Table	250
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**PK4** - This KPI is ensuring APCOA has the minimum deployment levels on street every day. The minimum CEOs they should have on street is 18 Monday – Friday, 17 on a Saturday and 4 on a Sunday.

APCOA have been defaulted on this KPI once in this contract year.

<b>PK5</b>	<p><b>Deployed Hours (Civil Enforcement Officers on Street only) - (not linked to actual CEOs)</b>  Measured against the method statement provided or agreement throughout the contract.   Permitted variation to planned hours</p>	For each 1 x hour over the minimum 5% = 1 event on
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	Hours Met/Not Met. (up to - 5% and +10% each month. Up to end of March per annum 100% must be achieved).	the Master KPI Table
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**PK5** - This KPI is to ensure that APCOA meets the agreed amount of hours deployed in every month. This figure changes monthly as it takes in to consideration how many weekends and bank holidays are within the month. This figure is agreed at the beginning of the contract year.

APCOA have not been defaulted for this KPI in this contract year.

It should be noted that the specification allows for a permitted variance in these hours each month. The variance is for 5% under and 10% over the agreed hours each month. At the end of the contract year, the hours have to be met and any hour missing will be defaulted the £25 per hour.

Although no defaults have been triggered so far, it is predicted that if APCOA continue to deploy at the same rate, there will be minimal default for the annual hours due in March 2019.

<b>PK6</b>	<b>Number of CEOs deployed per day</b> Measured against the method statement provided or agreement throughout the contract.	1 CEO/Shift under minimum deployment levels = 1 event on Master KPI Table
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**PK6** - This KPI is ensuring that APCOA has the average deployment levels on street every day. The average number of CEOs they should have on street is 21 Monday – Friday, 20 on a Saturday and 6 on a Sunday.

APCOA have been defaulted once on this KPI in this contract year, this was in one month where they were 11 CEOs under the agreed amount.

<b>PK7</b>	<b>Compliance rate</b> The compliance rate will be monitored by client officers observing vehicles in the defined areas to assess if adequate enforcement coverage is being achieved. Failure to address non-compliance of parking regulations will result in a failure to meet this KPI.	Each event of inadequate enforcement occurs will result in 1 event on the Master KPI table
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**PK7** - This KPI is to ensure compliance of the parking restrictions is achieved around the borough. This KPI has been monitored by a mystery shopper approach where a council officer has parked within a restriction to see if a CEO attends to their vehicle. This approach works out rather timely and does mean that only a small amount of resources can monitor a small part of the borough.

Due to the above, it has been agreed that in order to focus on compliance around the borough; this KPI will be changed for a trial period of 6 months. The KPI will be split into 2, starting in February 2019 and will be jointly reviewed in September 2019.

The first KPI will be monitoring the car parks compliance by focusing around a daily visit to each car park Monday to Saturday. The KPI measure will be for 95% of all carparks to be visited every day, after each 1% would result in a £50 default.

The second KPI will be monitoring the on street compliance. A report will be issued detailing the number of visits and PCNs issued around the borough. The Council and APCOA will agree a set of 15 target streets that need to be visited more over the following 2 months. This would not remove the need for the rest of the borough to be enforced also but will help to concentrate the deployment in areas where there may be a potential problem.

Compliance reports will be run to ensure the 15 target streets will be enforced daily as well as the rest of the borough.

The KPI measure will be for 95% attendance to these streets Monday to Saturday. After each 1% would result in a £50 default.

<b>PK8</b>	<b>Urgent enforcement requests</b> Service providers must attend requests within times set in the table set out in 'Bromley Expected Compliance Levels'.	Each 1% under 100% will result in 1 event on the Master KPI table
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The above KPI is to monitor APCOA responding to the public enforcement requests. As detailed in the main report, this on line service has become increasingly popular and has increased by 132% in the last 3 years. The KPI currently instructs APCOA to attend every enforcement request within 30 minutes to 2 hours depending on the time of day and the area of the borough.

APCOA have been defaulted on this every month of this contract year, there has been 63 occasions where APCOA have not met this KPI.

**Summary**

In summary, the enforcement element of this contract has resulted in 73.75% of all defaults issued throughout the contract year.

It has been agreed that some KPIs may need amending to suit the changes in the service and a review of this will take place over 2019.

Continual joined up working will take place between the managers of Parking Services and APCOA to ensure that they service is being as efficient as possible, achieving both compliance of the parking restrictions and where necessary a PCN being issued to those vehicles who are contravening.

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Report No.  
ES19016.

London Borough of Bromley

PART ONE - PUBLIC

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**Decision Maker:** PUBLIC PROTECTION AND ENFORCEMENT POLICY  
DEVELOPMENT & SCRUTINY COMMITTEE

**Date:** Wednesday 30 January 2019

**Decision Type:** Non-Urgent Non-Executive Key

**Title:** MOPAC UPDATE

**Contact Officer:** Rob Vale, Trading Standards Manager  
Tel: 020 8313 4785 E-mail: Rob.Vale@bromley.gov.uk

**Chief Officer:** Executive Director of Environment & Community Services

**Ward:** (All Wards);

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1. Reason for report

- 1.1 This report updates the Public Protection and Safety Policy Development and Scrutiny Committee on the Local Crime Prevention Fund granted by the Mayor's Office for Policing and Crime (MOPAC) and follows the report ES18044 dated 3<sup>rd</sup> July 2018.
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2. **RECOMMENDATION(S)**

- 2.1 Members of the Public Protection and Safety Policy Development and Scrutiny Committee are asked to note and comment on the content of this report.

## Impact on Vulnerable Adults and Children

1. Summary of Impact: All the projects delivered under the London Crime Prevention Fund (LCPF) grant impact on vulnerable adults and children: the mentoring programme targets young people most at risk of developing criminal and anti-social behaviours; the VAWG [programme impacts directly on victims of domestic violence and the children in those families: and the Community Impact days look to reduce the fear of crime, especially amongst the elderly.
- 

## Corporate Policy

1. Policy Status: Existing Policy
  2. BBB Priority: Children and Young People Excellent Council Safe Bromley Supporting Independence Healthy Bromley:
- 

## Financial

1. Cost of proposal: £634.28k
  2. Ongoing costs: £317.14k per annum for 2019/20 and 2020/21
  3. Budget head/performance centre: Community Safety; Education, Care & Health Services
  4. Total current budget for this head: £317.14k
  5. Source of funding: London Crime Prevention Fund
- 

## Personnel

1. Number of staff (current and additional): 1.16fte and staff time covering the out of hours noise service
  2. If from existing staff resources, number of staff hours: NA
- 

## Legal

1. Legal Requirement: Statutory Requirement: Further Details – Noise Service only
  2. Call-in: Not Applicable:
- 

## Procurement

1. Summary of Procurement Implications:
- 

## Customer Impact

1. Estimated number of users/beneficiaries (current and projected): The projects cover a wide area of groups as detailed in the grant agreement. The wider community benefits from the project outcomes.
- 

## Ward Councillor Views

1. Have Ward Councillors been asked for comments? No
2. Summary of Ward Councillors comments: NA

### 3. COMMENTARY

- 3.1 The Mayor's Office for Policing and Crime (MOPAC) has responsibility for the London Crime Prevention Fund (LCPF) which was created to be distributed across London local authorities to deliver community safety and crime reduction initiatives.
- 3.2 The first tranche of funding was released to the Council in 2012, and provided a total of £1.481 million over four years to March 2017. The projects delivered included: initiatives to tackle Anti-social behaviour, out of hours noise complaints, mentoring for young people and domestic violence. Each project area was agreed by MOPAC and accompanied by a set of performance indicators which were reported against quarterly and annually.
- 3.3 MOPAC continued the current LCPF for a further four years (2017 to 2021), but used a new formula for the allocation of grants. As a result, 30% was top sliced for co-commissioned projects, and the funding received by the Council was reduced. The grant agreement was a two plus two year allocation, with the amount allocated in year 1 and year 2 proportioned at the discretion of the Authority. The allocation for Bromley was £643,430 in total.
- 3.4 Proposed funding for the second two years (2019 to 2021) was predicted to be £483,398, however since July 2018 MOPAC have reviewed the scoring indicators upon which the substantive LCPF allocation for the remaining two years would be based.
- 3.5 On 23<sup>rd</sup> October 2018 MOPAC wrote to the Council confirming that the funding allocation for 2019/20 and 2020/21 would be £634,280. This equates to £317,140 per year, and represents an increase of £150,882 compared to the previously predicted figure of £483,398.
- 3.6 The Council submitted project proposals to MOPAC on 23<sup>rd</sup> November 2018 which MOPAC reviewed and provided feedback in December 2018. On considering the feedback, the submission was amended and re-sent to MOPAC on 18<sup>th</sup> January 2019, and it is expected they will agree and confirm the new grant agreements by the end of January 2019.
- 3.7 All the existing projects have been agreed and the allocation of funds is as follows:

<b>MOPAC approved Projects</b>	<b>2019/20</b>	<b>2020/21</b>	<b>Total</b>
	<b>£</b>	<b>£</b>	<b>£</b>
1. Violence Against Women & Girls (VAWG)			
IDVA project	120,000	120,000	240,000
Community Domestic Abuse	29,000	29,000	58,000
DV Perpetrator Programme	30,000	30,000	60,000
VAWG Strategic Manager	26,840	26,840	53,680
<b>TOTAL VAWG</b>	<b>205,840</b>	<b>205,840</b>	<b>411,680</b>
2. Children and Young People (Mentoring)	40,600	40,600	81,200
<b>Total for ECHS Department</b>	<b>246,440</b>	<b>246,440</b>	<b>492,880</b>
3. Wider Criminal Justice System (IOM)	7,000	7,000	14,000
4. Neighbourhood Policing (ASB & Noise)	63,700	63,700	127,400
<b>Total for ECS Department</b>	<b>70,700</b>	<b>70,700</b>	<b>141,400</b>
<b>TOTAL LCPF FUNDING</b>	<b>317,140</b>	<b>317,140</b>	<b>634,280</b>

#### 4. IMPACT ON VULNERABLE ADULTS AND CHILDREN

4.1 The Bromley Mentoring project targets young people most at risk of developing criminal and anti-social behaviours; the VAWG programme impacts directly on victims of domestic abuse and the children in those families; Community Impact Days aim to reduce the fear of crime and reduce anti-social behaviour in areas where vulnerable adults and children are most at risk; the noise service seeks to respond to complaints of noise in the community which can impact the health and well-being of all residents.

#### 5. POLICY IMPLICATIONS

5.1 The project outcomes contribute to the Building a Better Bromley priorities, the Safer Bromley Partnership and the LBB Violence Against Women and Girls Strategy.

#### 6. FINANCIAL IMPLICATIONS

6.1 Bromley has received a provisional allocation of LCPF funding totalling £634,280 for 2019/20 and 2020/21. Confirmation is expected from MOPAC at the end of January 2019.

6.2 The table in 3.7 sets out the grant funding and how it will be distributed across the projects, over the two year period.

#### 7. PERSONNEL IMPLICATIONS

7.1 The ASB Co-ordinator post is dependent on the LCPF grant. The reduction in the grant was bridged in Year 1 and 2 with the re-alignment of the total budget for the ASB & Noise project. The funding from 1<sup>st</sup> April 2019 for this project will not be sufficient to deliver the Out of Hours Noise service and a full time ASB Coordinator post. Should this post become at risk to redundancy a full consultation in line with the Councils Managing Change procedures will be undertaken with the employee affected and staff representatives.

#### 8. LEGAL IMPLICATIONS

8.1 There is a statutory requirement under the Environmental Protection Act 1990 to investigate noise complaints.

8.2 Domestic abuse sits within an increasingly growing body of legislation, policy and guidance that is applicable to victims, perpetrators and children, including the Crime & Disorder Act 1998 which places a duty on local authorities and the police to work together with other agencies to tackle crime at a local level through the provision of a Community Safety Strategy.

<b>Non-Applicable Sections:</b>	Procurement Implications
Background Documents: (Access via Contact Officer)	ES18044 3 <sup>rd</sup> July 2018

**Decision Maker:** **Public Protection and Safety Policy Development and Scrutiny Committee**

**Date:** **Wednesday 30<sup>th</sup> January 2019**

**Decision Type:** Non-Urgent                      Non-Executive                      Non-Key

**Title:** **Emergency Planning and Business Continuity Service - Update**

**Contact Officer:** David Tait, Emergency Planning and Corporate Resilience Lead  
Tel No: 07710385582 E-mail: david.tait@bromley.gov.uk

**Chief Officer:** Executive Director of Environment and Community Services

**Ward:** All Wards

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1. Reason for report

To update members on the Emergency Planning and Business Continuity Service, following a previous report on 16 January 2018.

To introduce Members to the Standardisation Programme designed to standardise London Local Authority emergency response capabilities.

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2. **RECOMMENDATION(S)**

Members are asked to note the report.

### Impact on Vulnerable Adults and Children

1. Summary of Impact: In an emergency situation certain groups of people may become vulnerable, depending on the situation faced. The Emergency Planning team work closely with blue light services and other partners to ensure that those who may be particularly vulnerable are identified and the appropriate levels of support are provided.
- 

### Corporate Policy

1. Policy Status: New Policy: The Standardisation Programme being adopted by all London Boroughs will provide a standardised Local Authority response to emergency situations across the capital.
  2. BBB Priority: Excellent Council: Safe Bromley
- 

### Financial

1. Cost of proposal: Not applicable
  2. Ongoing costs: Not applicable
  3. Budget head/performance centre: Emergency Planning
  4. Total current budget for this head: £120k
  5. Source of funding: Existing revenue budget 2018/19
- 

### Personnel

1. Number of staff (current and additional): 2 FTE, 1 vacancy at present, with recruitment process in place.
  2. If from existing staff resources, number of staff hours: N/A
- 

### Legal

1. Legal Requirement: Statutory requirement - the Civil Contingencies Act 2004 requires the Local Authority to assess the risk of emergencies and plan for them and to have business continuity arrangements in place.
  2. Call-in: Not Applicable
- 

### Procurement

1. Summary of Procurement Implications: The Emergency Planning Team procures services and equipment to ensure it is prepared and able to respond.
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### Customer Impact

1. Estimated number of users/beneficiaries (current and projected): All residents and businesses in the Borough could be affected by emergency situations.
-

### Ward Councillor Views

1. Have Ward Councillors been asked for comments? Not Applicable
- | 2. Summary of Ward Councillor's comments: Not Applicable

### **3. COMMENTARY**

- 3.1 Members received a report on 16 January 2018 (Ref ES18005) detailing the status of the Service and reflections upon the impacts of the significant events that occurred in the capital in 2017.
- 3.2 This report provides members with an update of the status of the service, but firstly provides details of the Standardisation Programme of the London Local Authority (LLA) emergency response capabilities and its impacts upon this Local Authority.

#### **Introduction to the Standardisation Programme of London Local Authority Emergency Response capabilities**

- 3.3 The debrief report for Exercise Unified Response (London wide multi-agency emergency response exercise), published in 2016, identified the benefits of standardising London Local Authorities (LLAs) emergency response capabilities. It also identified areas where existing standardisation could be improved. Support for this work was gained at executive and practitioner levels, including from the Local Authority Panel (LAP), LAP implementation Group (LAP-IG) and LLA Emergency Planning Managers.
- 3.4 The summer of 2017 saw a high number of incidents in London, creating an overwhelming demand on LLA resources and reducing the rate of progress towards standardisation whilst simultaneously strengthening the case for it across London.
- 3.5 The Standardisation Programme has been developed to deliver the identified benefits primarily across six areas: Borough Emergency Control Centre (BECC); Local Authority Liaison Officer (LALO); Rest Centres (RC); Friends and Family Reception Centres (FFRC); Survivor Reception Centres (SRC); and wider Humanitarian Assistance (HA). It has also produced a standardised LLA Concept of Operations for Emergency Response and Recovery (CONOPS) document. See Appendix 1.
- 3.6 The CONOPS document sets out for the first time in one place how LLAs support their communities and partner organisations in the response to and recovery from an emergency situation. It also recommends a command structure, detailing specific roles and responsibilities for LLAs to adopt during an emergency response. The document provides guidance on the number of Officers that should be trained in these roles. A roll out plan for the Standardisation Programme was published in 2018. Training material has been produced by LAP-IG subject matter experts to support training programmes across LLAs.
- 3.7 The current Local Authority response to emergency incidents is being reviewed and aligned with the principles contained within the CONOPS document. This will strengthen our capability and capacity to respond, further developing our ability to deliver a scalable response depending on the size and nature of the emergency.
- 3.8 One of the main changes, and challenges for LLAs moving forward is the introduction of the Role of 'Silver' as the nominated Tactical Lead during an emergency incident. Officers from this Local Authority are currently being identified to be trained for Gold and Silver roles.
- 3.9 A training programme will be delivered over the next three months in preparation for Exercise Safer City 2019 which takes place in May. This London wide multi agency exercise will test the adoption and delivery of the CONOPS principles across LLAs.

## Incidents

3.10 The Emergency Planning Team have been involved in a number of emergency incidents over the last year which can be split into three broad categories. These have ranged from incidents where the only actions required are to **monitor** the situation, to becoming involved in **information sharing and communications** with partners, Councillors and the general public, and finally **Incident response and co-ordination**, where Officers have attended the scene and or utilised Local Authority equipment / services to assist in the emergency response. Appendix 2 details the incidents last year, applying the categories mentioned above.

## Training and Exercising

3.11 The training and exercising of staff and plans is key to ensuring service delivery. Staff took part in the following training last year:

- LALO training provided by The London Fire Brigade
- Rest Centre training provided by The Red Cross
- Introduction to Business Continuity for Service Business Continuity leads provided by Emergency Planning Team
- Mass Fatalities and Humanitarian assistance provided by London Resilience
- Building Community Resilience provided by London Resilience

3.12 The numbers of Local Authority Staff trained in Emergency Planning roles remains at 80 staff. This will increase this year to meet the Standardisation Programme requirements.

3.13 Staff took part in the following Exercises.

- **Safer City 2018, 14th and 15th March 2018.** This multi-agency London wide exercise was held to test the communication and capacity to respond across London, liaising with London Resilience and London Gold. The Local Authority played a full part in the exercise and used the opportunity to test newly trained staff in the Borough Emergency Control Centre and our command and control arrangements.
- **Humanitarian assistance workshop and table top 5<sup>th</sup> June.** The exercise, run by the Emergency Planning Team, took the form of a multi-agency workshop designed to improve joint understanding of the types of Humanitarian assistance that may be required during an emergency and specific roles and responsibilities. During the table top partners explored the opportunities to work collaboratively in the best interests of those affected by the incident.
- **Exercise Peregrine, Biggin Hill Airport night time exercise 1<sup>st</sup> November.** The exercise was run by the Biggin Hill Airport Fire station and the LFB, testing protocols around a plane crash at night. The Local Authority provided Liaison Officers and volunteer casualties on the night. The exercise was deemed

successful, identifying a number of areas for improvement which have been documented in the debrief report and shared with Partners.

- **Exercise Connects 7<sup>th</sup> November.** This exercise, coordinated by London Resilience, focussed on the ability of Local Authorities to set up their Borough Emergency Control Centres and respond to and requests for differing types of communication. Whilst no shortcomings were identified for this Local Authority, certain information held centrally was shown to be out of date which has since been updated.

### **Business Continuity**

- 3.14 A recent review of The Local Authority Business Continuity cycle has shown a good completion rate for Service Business Continuity Plans. Some Services are however yet to begin this work, including some identified as Priority One services through the Business Impact Analysis process.
- 3.15 Meetings have been scheduled with the nominated Business Continuity leads for those services to offer guidance / assistance in completion of their plans. A target date of the 1<sup>st</sup> of April has been set for the completion of all Business Continuity plans.
- 3.16 The assessment of priority Ratings by Service leads will be reviewed by the Corporate Leadership Team to ensure consistency and that all priority services have been correctly identified. A review of the Local Authority Policy is planned in June and this will begin the Business Continuity cycle for the year.

### **Borough Resilience Forum**

- 3.17 The Borough Resilience Forum (BRF) is a statutory body established by the Civil Contingencies Act 2004 and is responsible for multi-agency emergency preparedness and co-ordination at the local level as determined by identified Borough Risks and needs. The BRF meets three times a year and is chaired by The Executive Director of Environment and Community Services. The last meeting was held on the 27<sup>th</sup> of November 2018 and was well attended by partners.
- 3.18 One of the main responsibilities of the BRF is to assess the risk of emergencies happening on the borough and to maintain a Community Risk Register detailing those risks, identifying lead agencies for each risk and outlining the control measures in place. The annual review of the Community Risk Register takes place on the 30<sup>th</sup> of January.
- 3.19 The work plan for the BRF for 2019--20 is currently being devised by its members and will be aligned to the financial year. The BRF will continue to focus upon co-operation and information sharing, further development of multi-agency preparedness and joint testing and exercising.

### **Councillors Guide to Civil Emergencies**

- 3.20 The Local Government Association has recently updated the above guidance document following the learning from Westminster, Manchester, London Bridge, Islington and Grenfell Tower.
- 3.21 The purpose of the document is to provide an overview of the role and responsibilities of Local Authorities, cabinet members and ward councillors in terms of ensuring

preparedness and resilience, responding to and recovering from emergencies. The document is attached at Appendix 3.

- 3.22 A training package is currently being designed by London Resilience to support this document. Once the package is ready, Members will be invited to training sessions.

### **Resilience Standards for London Local Government**

- 3.23 Over the last 4 months the Local Authorities' Panel (LAP) has overseen the development of a new set of Resilience Standards for London following an assurance review they commissioned in 2018. The draft standards have been released for consultation.
- 3.24 Guidance is provided with each standard, setting out what they are designed to achieve and how they should be implemented. LAP will also be conducting six sub-regional workshops to discuss the content of each standard in more detail.
- 3.25 Feedback has been requested from Local Authority Officers and Members. The consultation paper is attached as Appendix 4, along with a feedback form for your use. The Emergency Planning team will collate feedback on behalf of the Local Authority and return our submission by the date requested. The closing date for the consultation is 28th February.

## **4. IMPACT ON VULNERABLE ADULTS AND CHILDREN**

- 4.1 In the event of an emergency, people affected may be vulnerable for a wide range of reasons. The emergency services, Council and other statutory partners have procedures to identify those who may be vulnerable based on the nature of the event.

## **5. POLICY IMPLICATIONS**

- 5.1 Emergencies and serious incidents are rare but they do occur. By their very nature they are usually impossible to predict. It is essential that the Council can respond effectively and efficiently.
- 5.2 Adoption of the Standardisation Programme will amend the Local Authority's current practice for responding to Emergency situations.

## **6. FINANCIAL IMPLICATIONS**

- 6.1 A major incident or emergency in the Borough or in London could have very significant financial consequences. The Council has to bear these costs but might be able to recoup an element through the Belwin Scheme. This is a discretionary scheme that provides Central Government assistance in exceptional circumstances.
- 6.2 The nature of the emergency will influence the financial implications. These could range from thousands of pounds for short term incidents to millions of pounds for a major disaster.

## **7. PERSONNEL IMPLICATIONS**

- 7.1 The rollout of the Standardisation programme will require identification of Officers to perform the 'Silver' Command role and require all currently trained staff to be re-trained. This will apply to over 80 members of staff.

## 8. LEGAL IMPLICATIONS

- 8.1 The Civil Contingencies Act 2004 imposes a range of duties on the Local Authority as a Category 1 responder. These include: assessing local risks of emergencies; preparing plans to mitigate the effect and deal with the consequences; having business continuity plans in place to provide an appropriate response whilst maintaining essential services.

<b>Non-Applicable Sections:</b>	Procurement Implications
Background Documents: (Access via Contact Officer)	<a href="#">ES18005</a> Review of the Emergency Planning and Business Continuity Service. Dated 16 January 2018.

LONDON LOCAL AUTHORITIES

# CONCEPT OF OPERATIONS FOR EMERGENCY RESPONSE & RECOVERY

**Version:** 1.1

**Date:** November 2018

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## Section A: Introduction & context

## A.1 Document information

### A.1.1 Document control

<b>Full title</b>	London Local Authority (LLA) Concept of Operations (CONOPS) for Emergency Response and Recovery
<b>Short Title</b>	LLA CONOPS
<b>Owner</b>	Local Authority Panel (LAP)
<b>Author(s)</b>	Andrew Meek London Borough of Haringey  Mike Price MPR Consulting Ltd
<b>Version number</b>	1.1 FINAL
<b>Status (DRAFT / PUBLISHED)</b>	Published
<b>Approval (by)</b>	Local Authority Panel (LAP) Local Authority Panel Implementation Group (LAPIG)
<b>Approval (date)</b>	LAP LAPIG
<b>Publication/version history</b>	1.0 - published following the approval of LAP

### A.1.2 Security Marking

1. This document is intended to inform accessed by Category 1 and 2 Responders<sup>1</sup>, plus those from the voluntary sector, faith and other local and regional community groups. Therefore, its content is written to be publicly available and, as such, the document is not security marked.

### A.1.3 Contact for update

2. To request updates to the Standardised part of the plan (Sections 1 and 2) contact the London Resilience Group:

169 Union Street  
Southwark  
London  
SE1 0LL

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<sup>1</sup> Civil Contingencies Act 2004

## A.2 Aim

3. The Concept of Operations for Emergency Response and Recovery (CONOPS) sets out for the first time in one place how London's Local Authorities (LLAs) support their communities and partner organisations in the response to and recovery from an 'emergency', as defined in the Civil Contingencies Act 2004.
4. This general framework and approach of the LLAs in responding to an emergency assists those involved in Local Authority emergency response to understand their own role and how it relates to the role of other individuals and organisations within local authorities in London to produce an effective and combined response.
5. Underpinning the CONOPS is a series of emergency plans that are standardised to ensure an effective response and recovery, including major incidents that require Local Authority staff and resources to operate within another LLA's boundary.
6. In recognition of the multi-agency nature of the response to emergencies, the CONOPS aligns to and has synergy with other emergency response frameworks, covering single and multiple-agency and local, regional and national doctrine. References to such documents are included throughout the CONOPS.

## A.3 Scope

7. This CONOPS covers the Local Authority emergency response and recovery arrangements in London.
8. It describes the common and shared expectations of and upon all the LLAs as to how, both individually and collectively, they respond to and recovery from an emergency. It builds on the arrangements of individual local authorities, up to the collective arrangements that may be needed for an incident affecting London as a whole.
9. It does not detail the activities involved in the planning for and learning from emergencies.

## A.4 Context

### A.4.1 London and its local authorities

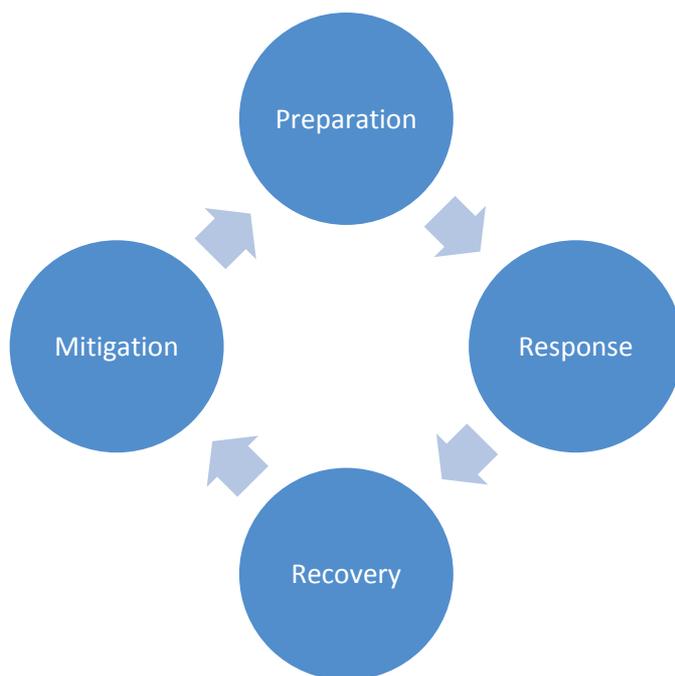
10. London is the capital city of the United Kingdom and the seat of Central Government. As such, the need for a strong and assured response is paramount, to safeguard the reputation of the city as a whole and that of the wider UK. The Local Authority role in this response effort is key.
11. Local authorities in London are unitary authorities and are in control of a wide-ranging set of assets and capabilities to respond to an emergency in their administrative area. Each Local Authority retains the resilience and capacity to respond to most incidents in their own Local Authority's boundaries without significant outside assistance. In many areas, LLAs share services across boundaries, and so cross-boundary responses may be routine in some cases.
12. Nevertheless, some major incidents require a collective response. This may be because:
  - (i) the incident is geographically spread across multiple local authorities;
  - (ii) the impact of the incident overwhelms the resources of an individual Local Authority area; or
  - (iii) a combined response provides the most efficient means of dealing with the problem.

13. In addition to, and in support of, a collective Local Authority emergency response there exists a suite of regional Local Authority coordination functions; namely London Local Authority Gold (LLAG) and the London Local Authority Coordination Centre (LLACC)<sup>2</sup>. See *Section C: Collective Emergency Response arrangements* for more information about LLAG and LLACC.

## A.4.2 Emergency management cycle

14. LLAs work to the Emergency Management cycle, indicated in the diagram below, which comprises four main phases<sup>3</sup>:
- (i) **preparation** (pre-planning/anticipation);
  - (ii) **response** (reducing an immediate risk or stopping things getting worse);
  - (iii) **recovery** (a longer-term activity of rebuilding, restoring and rehabilitating the community); and
  - (iv) **mitigation** (learning lessons, and ongoing work to build resilience and reduce vulnerability).

Figure 1: Emergency Management cycle



### A.4.2.1 Preparation

15. The **preparation** phase includes the development of emergency plans, the training of staff in the implementation of these plans and hosting opportunities for staff to practice their response to emergencies in the form of emergency response exercises. Each agency undertakes individual preparation in addition to that of a multi-agency nature. LLAs work together wherever practicable to share preparation activities and standardise their response to emergencies. They also undertake preparation activities with partner agencies where the response is likely to be of a multi-agency nature. It is a council's emergency management team which is responsible for overseeing and advising on the preparation phase of the cycle.

<sup>2</sup> The LLACC is provided by the London Fire Brigade in partnership with the LLAs in London.

<sup>3</sup> UK Concept of Operations.

16. For LLAs during the preparation phase:
  - (i) Each Local Authority maintains a generic Emergency Response Plan (or similarly titled document) that describes the way the organisation responds to emergencies. Among other things, this plan outlines a Local Authority's command and control structure<sup>4</sup> and links to other documented capabilities and emergency plans that the Local Authority maintains.
  - (ii) The generic Emergency Response Plan is underpinned by a range of specific emergency plans and other documented capabilities, physical resources and staff who have been trained and attended exercises to embed learning from training and to validate the assumptions made within emergency plans.
17. LLAs provide assurance of their individual and collective emergency response and recovery preparations to both the Borough Resilience Forum and the Local Authority Panel.

#### A.4.2.2 Response

18. The **response** phase, on which this CONOPS focuses alongside **recovery**, comprises two separate but closely related and often overlapping challenges: crisis management and consequence (or impact) management. These are both designed to control and minimise the immediate challenges arising from an incident. This phase is typically led by the Emergency Services and aligns closely with the London Emergency Services Liaison Panel (LESPL) Manual's 'Initial Response' and 'Consolidation' phases. It is split into two areas, as outlined below:
  - (i) **Crisis management** involves the phase of the response that attempts to prevent or avert an imminent emergency, along with protective or other measures to mitigate its effects, prevent further damage or disruption and secure the scene. It also includes actions taken to address the immediate, direct effects of an incident that has already occurred. The duration of the crisis management phase can vary from a few hours to many months depending on the scenario.
  - (ii) **Consequence management** usually take place in parallel to crisis management and is concerned with steps taken to prevent the impact of an incident escalating. This may include the management of the impact to wider Local Authority services from the drain in resources committed to Crisis Management i.e. business continuity management.
19. For LLAs, the response comprises a local element, restricted to within a Local Authority's administrative area, and, where the incident scale requires it, a regional coordinating element. These elements are described in more detail in *Section B: Emergency Response arrangements* and *Section C: Collective Emergency Response arrangements*.
20. For avoidance of doubt, the LLA response to an emergency is an organisation-wide responsibility and does not fall solely to the Emergency Planning Team.

#### A.4.2.3 Recovery

21. The **recovery** phase formally starts once the situation has been stabilised, and can be defined as the process of rebuilding, restoring and rehabilitating the community following an emergency. In contrast to the response phase, the recovery process can take a considerable amount of time (months or years), as it seeks to support affected communities in the reconstruction of the physical infrastructure and restoration of emotional, social, economic and physical wellbeing. Normally, this phase is led by LLAs and is described in more detail in the

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<sup>4</sup> See Appendix A.

London Recovery Coordination Protocol. This broadly aligns with the LESLP Manual's 'Recovery' and 'Return to Normality' phases.

#### A.4.2.4 Mitigation

22. The **mitigation** phase sees organisations reviewing their emergency preparation, response and recovery activities to identify areas for improvement. Mitigation activities are both multi- and single-agency focused and take place at the earliest opportunity following the conclusion of both the response and recovery phases. LLAs share outcomes from the mitigation phase using a standardised "debrief report form", to other local authorities and, via the London Resilience Forum, the regional partnership via the London Resilience Forum

#### A.4.3 Local Authority Emergency Response levels

23. London is a densely populated, complex urban environment with a diverse population and highly developed infrastructure. As such, there are many interdependencies within the city, and also with the rest of the UK. To provide clarity about how LLAs operate in order to respond this document describes:
- (i) the level of involvement of an individual borough; and
  - (ii) the scale of the Local Authority involvement in London to a range of incident sizes.

##### A.4.3.1 A single borough (individual)

24. The level of Local Authority involvement in an incident is split into three broad categories:
- (i) **Monitoring:** a pre-response level, where a Local Authority maintains a watching brief for signs of an incident. This includes passive monitoring of regional and national alert systems and maintaining an all-year-round point of contact for the receipt of notifications about an emergency. A Local Authority remains at this level at all times when not responding to an emergency.
  - (ii) **Information Sharing and Communications:** the level used where a Local Authority seeks to understand the scale of an emergency in another Local Authority's administrative area and share information with and in support of local authorities at "Incident Response and Coordination" level. Where a Local Authority anticipates either a spread of the impact into its geographic area or a request for mutual aid it may communicate with its operational services in the form of an early warning so that services may move to an enhanced state of readiness.
  - (iii) **Incident Response and Coordination:** where a Local Authority responds to the emergency by activating and deploying its incident response resources to support those effected by the emergency, which may include loaning resources outside its administrative area via mutual aid. To support situational awareness, the London Resilience Group (LRG) Duty Manager is notified at the earliest opportunity after a Local Authority moves to the Incident Response and Coordination level

##### A.4.3.2 Multiple boroughs (collective)

25. The collective response is complex, including factors such as:
- (i) The category at which each individual LLA is operating;
  - (ii) Whether the incident falls within just one or multiple borough areas; and
  - (iii) Whether the LLACC and LLAG are aware, monitoring or actively supporting.

26. Therefore, to offer a quick reference to the way in which LLAs operate collectively the following three broad levels are used:
- (i) **Local** – where an incident impacts a single Local Authority and it is able to respond without external support. The LLACC and LLAG are unlikely to be aware until after the conclusion of the incident, if at all.
  - (ii) **Local plus locally arranged support** – this is an incident where low-levels of mutual aid can be easily arranged locally, without the need for LLACC support and coordination. This may include resources such as rest centre kit, technical expertise (e.g. a dangerous structure engineer) or additional trained rest centre staff to supplement local resources. The LLACC is aware even if not responding. LLAG is made aware of the incident by the LLACC and may communicate with the Chief Executives of the affected borough(s)
  - (iii) **Pan-London** – an incident of such severity, complexity or significance that the coordination arrangements for a collective LLA response are required, even if the incident itself is contained within the boundary of a single Local Authority. The LLACC and LLAG are actively involved in the incident response, attending the SCG and other multi-agency partnership coordination meetings as required. LLAG maintains dialogue with the Chief Executives of the affected borough(s).
27. As an incident develops, the classification of the collective response may switch between the above levels.
28. It is noted that in some situations LLAG and LLACC may activate in support of a London-wide event without the need to activate a BECC. For example, salt stocks during periods of anticipated cold weather where the LLACC captures data directly from council Highways teams, which is used to inform LLAG’s involvement in regional- and national-level salt supply meetings.

## A.5 Terminology

29. In addition to the terms defined in the London Local Authority Glossary of Terms document, key terminology in the CONOPS includes:
- (i) **Borough(s) or Local Authority** – refers to the administrative organisation rather than a body of elected members for local government organisation(s) in London (including all of London’s 32 Local Authorities and the City of London Corporation). It does not include the Greater London Authority or the Mayor of London.
  - (ii) **Gold** – the strategic level of a Local Authority’s response to an emergency.
  - (iii) **Silver** – the tactical level of a Local Authority’s response to an emergency.
  - (iv) **Bronze** – the operational level of a Local Authority’s response to an emergency
  - (v) **Major Incident** – “an event or situation requiring the implementation of special arrangements by one or more of the emergency services [and other agencies including local authorities]”<sup>5</sup>, which for Local Authorities is an incident that requires activation of both Borough Gold and the BECC.

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<sup>5</sup> London Emergency Services Liaison Panel (LESLP) Manual

## Section B: Emergency Response arrangements of a single London Local Authority

## B.1 Section introduction

30. This section of the CONOPS sets out the way in which a single Local Authority responds to an emergency, regardless of the size and breadth of the emergency.

### B.1.1 Response mobilisation and sustainability

31. Each Local Authority has in place:

- (i) a single point of contact through which any partner agency can contact them 24 hours a day, to notify them of a major incident; and
- (ii) duty officers able to deal with a range of scenarios, but also to assess an incident, and escalate it to ensure a suitable mobilisation to deal with a major incident.

32. To support the ability for to response to a prolonged emergency, each Local Authority maintains sufficient resources and expertise to maintain its response without mutual aid for 48 hours<sup>6</sup>.

### B.1.2 Local Authority emergency response staff

33. Local Authority emergency response staff can be categorised into two broad groups:

- (i) **Dedicated emergency response role** – Local Authority staff who volunteer/are nominated to undertake an emergency response role that is in addition to/separate from their main role; or
- (ii) **Extension of main role** – Local Authority staff who, as part of the main role at a Local Authority, are involved in the response to emergencies e.g. housing or highways officers.

34. Where Local Authority housing is managed through Arm's Length Management Organisations (ALMOs), it may be the case that ALMO response staff are integrated into the Local Authority through an emergency response role.

#### B.1.2.1 Dedicated emergency response role

35. The roles more commonly found to exist as a dedicated emergency response role include:

- (i) Council Gold
- (ii) Council Silver
- (iii) Resilience Adviser
- (iv) Local Authority Liaison Officer (LALO)
- (v) BECC Manager and staff
- (vi) Emergency Centre Manager and core staff
- (vii) Communications (including warning and informing members of the public)

36. In addition, many LLAs maintain a pool of volunteer support staff whose role may vary depending on the incident. This support includes:

- (i) Providing information, advice and practical help to affected people at emergency centres;

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<sup>6</sup> See the section on Mutual aid for information on the process by which LLAs share resources between each other during larger-scale incidents.

- (ii) Outreach into communities;
- (iii) Providing support to vulnerable people;
- (iv) Coordinating the work of volunteers.

## **B.1.2.2 Extension of main role**

37. Those roles that are an extension of a main role tend to exist within Local Authority services such as:

- (i) Children's and Adults' Social Care
- (ii) Housing
- (iii) Highways
- (iv) Building control
- (v) Parking enforcement
- (vi) Waste

38. Where services are outsourced, LLAs include within contractual arrangements the requirement to fulfil associated emergency response activities.

## **B.2 Local Authority command and control**

39. Each Local Authority adopts a three-tiered command and control structure that is based on the widely recognised Gold-Silver-Bronze/Strategic-Tactical-Operational command structure. This structure mirrors the levels of command and control within the emergency services and many other partner agencies.

40. Regardless of the size of incident, a Local Authority starts by activating some or all of its own command and control structure. Depending on the size of the incident, a Local Authority may seek or be sought to activate pan-London Local Authority coordination arrangements, which is outlined in *Section C: Collective Emergency Response arrangements*.

41. Variations to command and control arrangements by scale of incident, are:

- (i) During smaller-scale incidents (that which is not declared a Major Incident, for example) local authorities communicate and coordinate their response with partners using local arrangements.
- (ii) During a larger or regional incident, including those declared a Major Incident, local communication between a Local Authority and its partner agencies continues. In addition, coordination of the incident is enhanced by regional command and control arrangements, as outlined in *Section D: Collective Emergency Response arrangements*.

### **B.2.1 Local Authority strategic command (borough-level)**

#### **B.2.1.1 Council Gold**

42. The affected Local Authority nominates a senior officer, often the chief executive, to act as their Strategic commander, who has overall responsibility for the Local Authority's response to the emergency.

43. This officer:

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- (i) Chairs the Council Gold Group (CGG) within the Local Authority, inviting local partners as appropriate; and
- (ii) Attends the Strategic Coordination Group (SCG) meetings in a pan-London incident, or may delegate this role to LLAG by agreement.

## **B.2.1.2 Council Gold Group (CGG)**

- 44. The purpose of a CGG is to provide strategic coordination of resources at a local level. It is chaired by the Council Gold.
- 45. The focus of this meeting varies according to the circumstances, and at no point should an independent strategy be pursued that is at variance with the strategy set by LLAG or SCG (when active).
- 46. A CGG meeting is likely to focus closely on:
  - (i) The impact of the incident on the local community;
  - (ii) Continuity of local public services;
  - (iii) The resourcing needs of the Local Authority and other local partners; and
  - (iv) Local stakeholder management.

## **B.2.2 Local Authority tactical command**

### **B.2.2.1 Council Silver**

- 47. Council Silver is the tactical manager of the Local Authority response to the incident. This officer determines the best way to achieve the strategic priorities as determined by Council Gold.
- 48. It is the responsibility of Council Silver to:
  - (i) Receive initial notification of the incident
  - (ii) Assess the incident and activate the Local Authority's initial response as required.
  - (iii) Inform and liaise regularly with Council Gold
  - (iv) Develop the Tactical Plan for responding to the emergency in line with the strategic intent provided by Council Gold.
  - (v) Determine the best place from where to manage the incident response.
  - (vi) Open and initially provide the function of the Borough Emergency Control Centre (BECC).
  - (vii) Activate and chair a Council Silver Group (CSG) where necessary.
  - (viii) Attend and brief Council Gold Group
- 49. Council Silver tends to be located away from the scene of the incident, though not in the BECC (although they may attend the BECC to receive updates from the BECC Manager). Council Silver may co-locate with tactical commanders from other responding organisations, where appropriate. However, at the scene of the incident the Local Authority is represented by the LALO
- 50. At the start of an incident, prior to the opening of an appropriately staffed BECC, Council Silver may provide an initial coordination function.

## B.2.3 Resilience Adviser

51. The Resilience Adviser provides advice and guidance to commanders on emergency management arrangements to enable them to access the right information and networks of support. They work most closely with and on behalf of Council Gold and Council Silver.
52. The Resilience Adviser is an emergency planning professional or another members of staff with a wide knowledge of the Local Authority's and London's emergency response and recovery arrangements. Their role is to:
  - (i) Provide advice to Local Authority management on emergency management arrangements in place across the Local Authority;
  - (ii) Provide advice about regional plans and arrangements;
  - (iii) Provide advice about working arrangements with multi-agency responders; and
  - (iv) Assist Council Silver/Gold with decision making.

## B.2.4 Local Authority Liaison Officer

53. The Local Authority is represented at the scene of the incident by a **Local Authority Liaison Officer (LALO)**. This person reports directly to Council Silver and provides regular updates to the BECC to maintain situational awareness. Other Local Authority officers and assets deployed to the scene operate under the direction of the LALO.
54. During a major incident, it is the LALO who represents the Local Authority at the Forward Control Point (FCP), which is a multi-agency location where on-scene coordinating meetings take place.
55. In larger incident, it may be necessary to deploy two LALOs to work in partnership to cover:
  - (i) Liaison with other agencies, including attending on-scene coordination meetings
  - (ii) Coordination of Local Authority resources at the incident scene
56. Operations that LLAs may undertake at the scene include:
  - (i) Looking after displaced people and provision of welfare support to those affected by an incident;
  - (ii) Clearance and removal of debris and other waste;
  - (iii) Supporting traffic management operations in conjunction with the police and Transport for London;
  - (iv) Assessment of the stability of structures and buildings, and taking such action as may be required to deal with dangerous structures;
  - (v) Undertaking the removal or clear-up of hazardous materials/substances;
  - (vi) Provision of resources to support evacuations;
  - (vii) Supporting scene operations and investigations into the cause of the incident through the provision of CCTV footage.

## B.3 Function-specific capabilities

### B.3.1 Borough Emergency Control Centre

57. The Borough Emergency Control Centre (BECC) is a key Local Authority emergency response control function. The primary objectives of a BECC are to:
- (i) Coordinate Local Authority operational services;
  - (ii) Maintain Situational Awareness to support decision makers and inform communications and media handling;
  - (iii) Maintain an operational record of the Local Authority's response to the incident;
  - (iv) Produce situation reports (internal and external); and
  - (v) Provide a Single Point of Contact for partnership liaison (once open).
58. There are two types of BECC:
- (i) **Primary BECC**- a room that is the first-choice location for a physical BECC. The room may be dedicated to the BECC, shared with other users (such as a committee or meeting room) or co-located with another Local Authority service (e.g. CCTV).
  - (ii) **Secondary BECC** – the fall-back location for the physical BECC, designed to focus on providing only the core elements of the BECC. Due to its infrequent use, the Secondary BECC is a more austere offering than the Primary BECC.
59. Except where the BECC is merged with other Local Authority control centres, the BECC opens only during an emergency and upon the decision of Council Silver (or a person with the delegated authority of Council Silver e.g. an Emergency Planning Manager/Officer). The opening of the BECC is an indication of the higher severity of an incident, which requires a dedicated coordination function provided by those with set coordination roles.
60. LLAs maintain a plan that details the way in which the BECC is operated. Much of the content of this BECC plan is standardised across London, including the BECC function and roles and responsibilities and the position of the BECC within a Local Authority's command and control structure.
61. Ultimately, the location of the BECC is irrelevant so long as it is able to fulfil its function and associated objectives. As such, it shall be referred to as a "BECC" regardless of the location and type of BECC in use.

### B.3.2 Emergency Centres

62. Local authorities maintain plans and supporting resources to be able to open and run emergency centres to support those affected by the incident, working in partnership with other responders. All emergency centres have a general purpose of providing a mixture of practical and emotional support, including psychological first aid and provision of information, from a location that is safe, conducive to offering such services and in a location accessible to those affected by the incident.
63. The following are most usual forms of emergency centres:
- (i) **Rest Centre** – A Rest / Reception Centre serves as a place of safety for those who have been evacuated from their home, work or other place or are unable to return to that place, but who are

uninjured and not directly affected by the incident. Rest Centres vary in size, depending on the incident in question

- (ii) **Survivor Reception Centre (SRC)** – provides survivors, who do not require hospital treatment, a place to be directed to, where they can be met by police and other services to obtain initial information and support in the immediate aftermath of the incident and give details to police investigating officers. The responsibility for opening an SRC lies with the Police supported by one or more Local Authority. Other agencies attend as required and requested by the Police or a Local Authority.
  - (iii) **Family and Friends Reception Centre (FFRC)** – established by the Police with one or more Local Authority and/or NHS support, the purpose of the FFRC is to help reunite friends and relatives with survivors by providing a place for the Police to record missing person enquiries and collect information that may aid their investigation. In addition, it provides family and friends a safe area to gather that is away from media attention while offering up-to-date and accurate information on the response arrangements as well as access to practical and emotional support.
  - (iv) **Humanitarian Assistance Centre (HAC)** – provides a focal point for humanitarian assistance to bereaved individuals and families, survivors and impacted communities. Set up by the LLAs, working in partnership with a range of statutory and voluntary organisations, this centre offers individuals and families to gain as much information as is currently available about family members and friends involved in the incident and for these people to access a range of facilities that help them to make informed choices according to their needs. A HAC may remain open for weeks or months after the incident and may operate as part of a wider HA offering e.g. HA website and HA
  - (v) A **Community Assistance Centre (CAC)** – provides a location from where LLAs may undertake a detailed Community Impact Assessment, provide advice and support to affected people and support the recovery of the community in a local setting. Community Assistance Centres may be considered particularly where a Humanitarian Assistance Centre has not been activated.
  - (vi) **Family and Friends Assistance Centre (FFAC)** – offering similar services to that of a HAC, however attendance is by invitation only via the Police Family Liaison Officers.
64. Emergency Centre staffing is assumed to led by the Local Authority, but draws in support from other responders, including:
- (i) Other statutory agencies, especially the Police;
  - (ii) Regional voluntary sector partners, such as the British Red Cross, St John Ambulance and Victim Support;
  - (iii) Other agencies able to provide effective support and care, such as Rail Incident Care Teams; and
  - (iv) Local voluntary, faith and community sector organisations.

### **B.3.2.1 Emergency Centre Manager**

- 65. A Local Authority officer is appointed as an Emergency Centre Manager to oversee the running of each emergency centre.
- 66. Where the centre is likely to be large, complex in operations, and long-lasting (particularly HACs), this is a senior Local Authority officer, with supporting Deputy Centre Managers appointed to lead particular shifts.

67. The Emergency Centre Manager is responsible for regularly reporting to the BECC, liaising as needed to meet the logistical needs of the centre.

## B.3.3 Disaster Mortuaries

68. Under the Coroners Act (2009) and the Public Health Act (1936), local authorities are responsible for providing of appropriate facilities for the storage of a body prior to interment during to enable coroners to fulfil their duty to investigate those whose deaths are unexpected or violent. This responsibility extends to those who die during an emergency, and where the demands for mortuary services outstrips supply LLAs set up a Disaster Mortuary.
69. Disaster Mortuaries are existing mortuaries where the services, including breadth of investigatory and storage facilities, are increased beyond normal levels. Due to the complexity of establishing and operating a Disaster Mortuary, the locations are pre-selected and are referred to as a Designated Disaster Mortuary (DDM).
70. Each Coronial Area in London contains one DDM. The Local Authority within whose administrative boundary the DDM lies is responsible for its operation and these local authorities maintain DDM emergency plans. In situations where a mass fatality event occurs in a borough without a DDM, the Coroner will open the DDM in another borough. The borough in whose area the incident occurs shall be responsible for the operating costs of the DDM, even though they do not operate the DDM.

## B.3.4 Identification of vulnerable people

71. Under the Local Government Act 2000, Local Authorities have a responsibility to ensure the economic, social and environmental well-being of the community that they serve. In emergencies, Local Authorities support the emergency services in mitigating its effects, coordinate the provision of welfare support to the community; and take on a leading role in the recovery from emergencies. Local Authorities and their constituent departments maintain agreed protocol and procedures to:
  - (i) Access information to identify known vulnerable people and to process the data into a useable format for multi-agency responders;
  - (ii) Work with multi-agency partners to identify all vulnerable people dependent to the type of incident; and
  - (iii) Share relevant information with each other.
72. In doing so, Local Authorities seek to ensure that their emergency response activities and support to the community is proportionate to the need of those within its community.

## B.3.5 Community engagement and cohesion

73. Linked closely to its lead role in the recovery from an emergency, local authorities have a key role in community engagement during an emergency. This includes, but is not limited to, operational services with direct engagement in community matters, local elected Councillors and Members of Parliament and, indirectly, through the plethora of voluntary agencies, charities and faith communities with whom the LLAs operate on a daily basis.
74. In addition, Council Gold/the Chief Executive of a Local Authority supports community engagement by working with partner organisations to promote combined and coordinated multi-agency community engagement activities.

75. This community engagement leadership and coordination is especially important in times of community tension. Led by the Local Authority, primarily the Chief Executive and local Councillors, coordinated community cohesion activities should prevent community tensions leading to serious disturbance wherever possible by accessing and utilising the existing relationships and systems that allow the Local Authority and its partners to act quickly and coherently to reduce, control or mitigate the impact of disturbances on cohesion if they do occur.

## B.3.6 Recovery Management

76. For local incidents that do not activate LLAG, recovery management falls to the affected borough, which nominates manager to coordinate the recovery. The principles outlined in the London Resilience Partnership Management Protocol may be used to support the local recovery management processes.
77. For larger incidents where LLAG is active, LLAG, under the London Resilience Partnership Recovery Management Protocol and LESLP, appoints a chief executive to establish a Recovery Management Group (RMG) during the response phase. The RMG coordinates the initial recovery activities in parallel with the response activities of the SCG, reporting to the SCG via LLAG.
78. At the point when the Response phase concludes and the SCG stands down there is a formal handover to the Local Authority that chairs the RMG. This authority takes overall strategic leadership of the incident on behalf of LLAs.
79. The RCG sits, at decreasing frequency, until the point at which recovery management has passed entirely to business as usual activities. Compared with the response phase, which may last a matter of hours or days, the recovery phase may last months and years.

## B.3.7 Warning, Informing and Communications

80. Under the CCA 2004, each Local Authority is required to 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.
81. In support of this, each Local Authority maintains an emergency communications plan (or similar), developed by or in conjunction with the corporate communication team which outlines the way in which members of the public will be told about an emergency.
82. The emergency communication plan includes arrangements to engage with news and social media and the way in which the messages are tailored to the needs of those within its borough.

## B.3.8 Public Health

83. As Upper Tier Local Authorities, each Local Authority appoints a Director of Public Health. In relation to emergencies, role holder is responsible for holding account those who provide public health services during an emergency.
84. The Local Authority Public Health function links closely with Public Health England (PHE) in the response to public health emergencies including communicable disease outbreaks, severe weather and CBRN (Chemical, Biological, Radiological and Nuclear).

## B.4 Risk-specific capabilities

85. As well as a generic Emergency Response Plan, LLAs are expected to have in place plans to deal with:

- (i) Flooding
- (ii) Structural Collapse (including Site Clearance)
- (iii) Mass Fatalities (including aforementioned Disaster Mortuaries)
- (iv) Excess Deaths
- (v) Pandemic Influenza
- (vi) Outbreak of a Notifiable Animal Disease
- (vii) Severe Weather (Heatwave, Drought, Extreme Cold, Extreme Rainfall & High Winds)
- (viii) Fuel Disruption
- (ix) Chemical, Biological, Radiological & Nuclear (Explosion) (CBRN(E))
- (x) Control of Major Accident Hazards (COMAH) for Upper<sup>7</sup> and Lower Tier sites<sup>8</sup>
- (xi) Pipeline Safety Regulations
- (xii) Radiation Emergency Preparedness and Public Information (REPPIR)
- (xiii) Mass Shelter

86. Some of these plans are joint plans across multiple local authorities. In addition, some local authorities may not have a risk within their administrative area. Therefore, not all local authorities have their own single agency plan for each of the above risk-specific topics. London Resilience Group, on behalf of the local authorities, maintains a list of which councils hold which risk-specific plan and capability.

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<sup>7</sup> If a site or Public Information Zone (PIZ) lies within borough

<sup>8</sup> If a site lies with the Borough

## **Section C: Collective Emergency Response arrangements of London's Local Authorities**

## C.1 Section introduction

87. Where incidents either extend beyond a Local Authority's boundary or, due to the scale of the emergency response activity, require the support of other local authorities, LLAs have agreed the way they work together for events that require more than one Local Authority to invoke its emergency response and recovery arrangements.
88. The core elements of the collective arrangements, are:
  - (i) London Local Authority Gold (LLAG);
  - (ii) London Local Authority Coordination Centre (LLACC); and
  - (iii) Mutual aid.
89. These collective arrangements are:
  - (i) based on the expectation that each Local Authority undertakes its fair share of the response and responds collectively alongside and in support of other local authorities; and
  - (ii) in addition to the local-level arrangements, which exist in parallel.

## C.2 Command and control during a regional incident

90. Command and control is depicted in the diagram in Appendix B, which outlines the complex relationship between local authorities, Local Authority regional coordinating arrangements and the multi-agency coordinating arrangements.

### C.2.1 Strategic level: London Local Authority Gold (LLAG)

91. With the potential for 33 local authorities to operate at Incident Response level simultaneously, it is impractical for each individual Council Gold to attend the multi-agency Strategic Coordinating Group (SCG). Therefore, one Local Authority's Chief Executive represents all LLAs under the title London Local Authority Gold (LLAG).
92. The LLAG role was formalised in the Gold Resolution, which, in addition to a Local Authority Chief Executive representing all LLAs at SCG meetings, empowers LLAG, under certain circumstances to commit and coordinate Local Authority resources and expenditure in support of affected boroughs.
93. To ensure year-round availability, two Chief Executives (primary and secondary) are always available through an on-call/duty system that is maintained by London Resilience Group, who notify LLAG of an incident, who in turn makes a decision whether to activate. LLAG then determines whether to activate other local authorities.
94. There exist three routes to notifying LLAG, which are detailed in the LLAG Operating Procedures and are summarised below:
  - (i) Top Down – partner organisation requests involvement of LLAG;
  - (ii) Situation Awareness – the developing situation across local authorities/the London Resilience Partnership indicates that LLAG involvement is required; and
  - (iii) Bottom up – where a borough requests the support of LLAG to an incident.

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95. Once activated, the duty LLAG receives support from the LLACC in the form of advisors and regular, consolidated situation reports from all LLAs. LLAG sets pan-London Local Authority strategy, which the LLACC disseminates to Borough Emergency Control Centres.
96. In addition to the Primary and Secondary LLAG rota, there is a smaller group of Chief Executives on a rota for the role of the Chair of the Strategic Coordination Group in incidents where the Police might not act as the chair e.g. flooding. This rota is sometimes referred to as “LLAG+”

## C.2.2 Strategic level: London Local Authority Coordination Centre (LLACC)

97. Many incidents are dealt with routinely by the LLAs with little need for outside support. However, wherever a Local Authority has a declared major incident, it is expected that they notify the LLACC.
98. The LLACC is operated on the Local Authority’s behalf by London Resilience Group which is part of the London Fire Brigade and provides a regional coordination function with Information Management and Situational Awareness responsibilities. It supports the LLAG in a way that is very similar to how a BECC supports Council Silver i.e. provision of a Common Operating Picture and turning decisions into actions.

## C.2.3 Tactical level: Off-scene Tactical Coordinating Group (TCG)

99. In addition to a LALO attending the on-scene coordinating group at the FCP, LLAs may attend in person or dial into the multi-agency Tactical Coordinating Group (TCG), based at the Special Operations Rooms (SOR) at the Metropolitan Police Service’s Lambeth Headquarters.
100. This off-scene multi-agency tactical level group is chaired by the Metropolitan Police and involves other emergency services and partnership organisations as required. It focusses primarily on the coordination of resources to the incident scene(s) rather than the wider impact to London.
101. Council Silver, or a nominated silver-level representative, from the Local Authority most affected by the incident represents LLAs at the TCG. Where an incident has multiple sites across multiple Local Authority administrative areas more than one Local Authority may attend the TCG, subject to availability of space at the TCG location. In all cases, attendance at the Off-scene TCG are agreed with LLAG.

## C.3 Mutual aid

102. LLAs have in place a Memorandum Of Understanding (MOU) in respect of mutual aid. The MOU provides for participating authorities to actively, wherever possible, aid another participating Local Authority in the form of provision of personnel and/or equipment in the event of, or in the reasonable anticipation of, an emergency or other disruptive or rising tide incident when asked to do so. The Local Authority requesting aid will undertake to reimburse the Local Authority providing it on a cost recovery basis.
103. Although Local Authorities may agree bilateral mutual aid, the circumstances in which mutual aid is required more often than not involves the activation of LLAs regional coordination arrangements (i.e. the LLACC and LLAG). In such circumstances, the LLACC coordinates requests for mutual aid where it is more effective to do so.
104. In all circumstances, LLAs follow an agreed Mutual Aid process, part of which is the requirement for requests to be made on a standardised Mutual Aid request form.

105. During a major incident, there is a presumption that LLAs will use mutual aid as the route to augment their own response capabilities, making requests at the earliest opportunity, to ensure the optimum support is provided to their communities and partners. Subject to the nature of the request, LLAs default position will always be to release their staff and other resources to the requesting authority and without delay.

## C.4 Humanitarian Assistance

106. Strategic, multi-borough humanitarian assistance (HA) is guided by the multi-agency “London Resilience Partnership Humanitarian Assistance Plan”, and the responsibility to coordinate this London-wide HA activity falls to local authorities.

107. To meet this responsibility, LLAG appoints a senior Local Authority officer (normally the Director of Adult Social Care) to act as the Humanitarian Assistance Lead Officer (HALO). The HALO convenes and chairs a multi-agency body known as the Humanitarian Assistance Steering Group (HASG), which assesses the needs of all those affected and develops and oversees strategies to ensure the provision of appropriate HA.

108. The HALO may activate a number of Humanitarian Assistance capabilities through which assistance is offered. These include:

- (i) Humanitarian Assistance Centre (see *Emergency Centres*);
- (ii) Humanitarian Assistance website; and
- (iii) Humanitarian Assistance telephone line.

109. Partner agencies link into and support the Humanitarian Assistance provision. These organisations are detailed in the London Humanitarian Assistance Plan.

## C.5 Mass Fatalities Coordinating Group

110. In addition to the Mass Fatalities responsibilities outlined in Section B, LLAs provide a senior representative of the lead Local Authority to attend the Mass Fatalities Coordinating Group (MACG). This group, which is chaired by the lead Coroner for the incident, determines the most appropriate mortuary for the incident and maintains strategic oversight for the mortuary operation<sup>9</sup>.

## C.6 Military Aid to the Civil Authority

111. MACA sees a deployed military resource carrying out agreed activities at the request of the civilian authorities in response to an emergency or major incident. Local Authorities, as a civilian authority may request MACA. The decision to request MACA is made by LLAG and the Chief Executive(s) of the Local Authority(ies) in need of military support, in consultation with the Chair of the SCG if active.

## C.7 Scientific and Technical Advice Cell (STAC)

112. The purpose of the STAC is to ensure timely coordinated scientific and technical advice to the Strategic Coordinating Group during the response to an emergency, which is particularly important where there may be significant wider health and environmental consequences. It achieves this bringing together technical experts from those agencies involved in the response and who may provide scientific and technical advice. Local

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<sup>9</sup> See the London Mass Fatalities Framework for further information.

Authorities are a member of the STAC and deploy to the STAC senior officer(s) with expertise relevant to the incident e.g. Environmental Health Officer.

## C.8 Other groups and organisations

113. There is a range of other groups and organisation that support the Local Authority response to incidents, which includes:

- (i) London Councils Communications
- (ii) The Prevent Network
- (iii) Local Authority Directors of Public Health group
- (iv) Local Authority Directors of Housing group
- (v) Various London Councils Policy Groups e.g. Coroners.

## Section D: Underlying principles

## D.1 Section introduction

114. This Concept of Operations (CONOPS) document draws from and is strongly influenced by the:

- (i) **UK Government Concept of Operations document<sup>10</sup>** - Government-level doctrine that sets out the way in which Government responds to emergencies, to which LLAs wish to align for ease of response coordination during the largest, national-level incidents that affect London.
- (ii) **Joint Emergency Services Interoperability Programme (JESIP)<sup>11</sup>** – in a drive towards standardisation across the ‘blue light’ emergency services, this doctrine outlines the consistent way that these agencies respond to emergencies. Adopting complimentary terminology and structures aids cooperation between London’s emergency services and LLAs.
- (iii) **Emergency Response and Recovery<sup>12</sup>** - this document aims to establish good practice based on lessons identified from responding to and recovering from emergencies both in the UK and internationally. Of particular relevance to the CONOPS is its aim provide a shared understanding of the multi-agency framework for emergency response and recovery at the local level, and the roles and responsibilities of individual organisations.
- (iv) **London Emergency Services Liaison Panel (LESPL) Manual<sup>13</sup>** - this document focuses primarily on the way in which the blue light emergency services work together in response to emergencies, including roles and responsibilities at the scene of an incident
- (v) **London Strategic Coordination Protocol<sup>14</sup>** - this document sets out the way in which Category 1 and 2 and voluntary agencies plus the military work collectively to in the response to an emergency that has a significant impact to London as a city
- (vi) **The Civil Contingencies Act (2004)** - the legislation that sets out Local Authority emergency planning and business continuity duties.

### D.1.1 UK Government Concept of Operations

115. LLAs align with the national CONOPS as outlined below, which evidences their commitment to a consistent response to emergencies whether local, regional or national in impact:

- (i) **preparedness:** Each Local Authority in London shall maintain suitable emergency plans, and rehearse response and recovery arrangements periodically, and all those employees and contractors who may have to respond to emergencies should be properly prepared, including being briefed, trained and equipped to carry out their roles and responsibilities;
- (ii) **continuity:** The response to emergencies should be grounded within organisations’ and teams’ existing functions and their familiar ways of working – although inevitably, actions need to be carried out at greater speed, on a larger scale and in more testing circumstances during the response to an incident;

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<sup>10</sup> Civil Contingencies Secretariat, Cabinet Office, UK

<sup>11</sup> Joint Emergency Service Interoperability Programme, c/o Hertfordshire Police, Welwyn Garden City, Hertfordshire, UK

<sup>12</sup> Cabinet Office (2013), UK

<sup>13</sup> London Emergency Service Liaison Panel, London, UK

<sup>14</sup> London Resilience, London, UK

- (iii) **subsidiarity:** Decisions should be taken at the lowest appropriate level, with coordination at the highest necessary level. The response of individual local authorities, working with their communities, should be the building block of response for an emergency of any scale;
- (iv) **direction:** Clarity of purpose should be delivered through an awareness of the strategic aims and supporting objectives for the response. These should be agreed and understood by all partners in order to effectively prioritise and focus the response, and may be set at borough or London level as appropriate;
- (v) **integration:** Effective coordination should be exercised between and within organisations and local, regional and national tiers of a response as well as timely access to appropriate guidance and appropriate support for the local, regional or national level;
- (vi) **communication and information:** Good two-way communications and information management are critical to an effective response. Information is gathered, collated, analysed and evaluated to ensure: reliable information is passed correctly and without delay between those who need to know, including the public; high quality situational awareness; and support informed decision-making;
- (vii) **cooperation:** Positive engagement based on mutual trust and understanding facilitates information-sharing and deliver effective solutions to arising issues; and
- (viii) **anticipation:** In order to anticipate and manage the consequences of all kinds of emergencies, planners need to identify risks and develop an understanding of both the direct and indirect consequences in advance where possible, at both a borough and London-wide level.

116. However, unlike the National CONOPS, the London Local Authority CONOPS is ordered in a bottom-up way (i.e. local to regional) which reflects the fact that regardless of the size of an incident, the Local Authority response to emergencies always starts with the response of a single Local Authority. If the scale (volume of activity, geographical area covered, etc.) requires it, additional Local Authority support comes in the form of other local authorities or from regional partners to LLAs.

## D.1.2 Joint Emergency Services Interoperability Principles (JESIP) and London Strategic Coordination Protocol

117. LLAs recognise and align their response to the JESIP doctrine and the following principles:

- (i) **Co-locate:** Co-locate with commanders as soon as practicably possible at a single, safe and easily identified location.
- (ii) **Communicate:** Communicate clearly using plain English.
- (iii) **Co-ordinate:** Co-ordinate by agreeing the lead service. Identify priorities, resources and capabilities for an effective response, including the timing of further meetings.
- (iv) **Jointly understand risk:** Jointly understand risk by sharing information about the likelihood and potential impact of threats and hazards to agree potential control measures.
- (v) **Shared Situational Awareness:** Work together to formulate the most effective response plan possible using all information known about the unfolding emergency using METHANE and the Joint Decision Model.

118. LLAs also adopt the JESIP Joint Decision-Making model in relation to emergency response decision making (see below).

119. The London Strategic Coordination Protocol aligns with the JESIP principles and JDM outlined above, and in addition sets out the coordination arrangements for regional emergencies in London, including the Strategic Coordination Group (SCG), Tactical Coordinating Group (TCG) and Forward Control Point (FCP). Borough coordination arrangements also align with the regional coordination arrangements, as detailed in *Section C: Collective Emergency Response arrangements*.

## D.1.3 Emergency Response and Recovery

120. This non-statutory guidance underpins JESIP in defining the nomenclature for tiers of incident command and coordination, in respect of the difference between the use Strategic/Tactical/Operational versus Gold/Silver/Bronze. This CONOPS adopts its view that the naming of a body as Strategic/Tactical/Operational signifies a multi-agency group, whereas the use of Gold/Silver/Bronze refers to a single agency e.g. referring to Council Gold instead of Council Strategic Commander.

## D.1.4 London Emergency Services Liaison Panel (LESPL) Manual

121. LLAs draw from the LESPL manual, which overlaps with the London Strategic Coordination Protocol in a number of areas, a range of aspects of their response to emergencies, including:

- (i) **Scene management** (including the areas Local Authority staff are permitted to access)
- (ii) **Command and Control** (Gold – Silver – Bronze / Strategic – Tactical – Operational) for multi-agency incidents that affect either a single Local Authority or multiple local authorities.
- (iii) **Coordinating Groups** – both at the local level for on-scene representation at the FCP and off-scene at the TCG, and regional level for representation at a SCG.
- (iv) **Communication systems** – where local authorities need to communicate directly with emergency services.

122. Like for LLAs, the LESPL manual commits the Emergency Services to the JESIP Joint Decision Model, which encompasses Information Management, Situational Awareness and Decision Making.

## D.2 Information Management

123. Information Management is:

- (i) An organisational process which sees the acquisition of information from one or more sources, the custodianship of the information and the distribution of that information to those who need it, and its ultimate disposition through archiving or secure destruction;
- (ii) It forms the first stage of the JESIP JDM;
- (iii) involves more than technology and must encompass people, processes and tools (including technology).

124. During an emergency, the circumstances in which Information Management takes place is highly pressurised and time-restricted. As there are many systems and processes (both manual and computerised) to integrate, and complex organisational and cultural issues to address, effective information management is not easy to achieve, especially during emergency situations.

125. Without effective Information Management during emergencies:

- (i) Decisions will be delayed, not made or less-well informed

- (ii) Sensitive information is handled in an inappropriate way
- (iii) The needs of those affected by the incident are not correctly understood
- (iv) Communication may not include all available facts, leading to unsatisfactory results
- (v) The trust of those affected by the incident in the responding organisations may be reduced

126. Risks and challenges to Information Management during emergencies include:

- (i) Inconsistent use of processes, systems and technologies
- (ii) Sheer volume of information, especially if collected in paper form
- (iii) Access to information by those with the need to know at the time it is needed, in the most appropriate format and in the most accessible location.
- (iv) The management of multiple (potentially conflicting) sources of information
- (v) The ability to quickly verify the authenticity and accuracy of information

127. Even during emergencies, Information Management is subject to the requirements laid out in the Data Protection Act (1998) and associated Regulations and, from May 2018, the EU General Data Protection Regulations (GDPR). This places expectations on LLAs in relation to how it gathers, handles, stores, processes and deletes information from an emergency where it relates to an individual. Individuals who provide personal information to LLAs (e.g. on a registration form at a Rest Centre) have a right to expect the information to be used only for the purpose for which they were informed it was being collected. They may also request that their information is deleted or to understand where their information exists.

## D.2.1 Local Authority Information Management

128. LLAs achieve effective Information Management through the use of well-developed Information Management process, suitable Information Management tools and staff who have received an appropriate level of Information Management training.

129. To achieve a strong information management network that supports emergency coordination, LLAs maintain processes to collect, analyse and share information about the situation among the various organisations involved and to ensure the coordination system runs efficiently. The network includes people affected by the emergency, as well as response organisations (statutory and voluntary) and media.

130. Furthermore, the LLAs maintain a clear information management structure ensures that they and their partners involved work with the same or complementary information, and that this information is as relevant, accurate and timely as possible. The data collected and analysed is used as a foundation for situation reporting, for crafting public information messages and strengthening decision making. In addition, properly collected and managed information during the emergency phase can benefit early recovery and emergency preparedness activities later.

131. Local Authority Information Management is relevant to all aspects of the response to emergencies, with particular focus on:

- (i) Control centres, including the Borough Emergency Control Centre (BECC) and the LLACC;
- (ii) Emergency Centres, especially registration forms;
- (iii) Decision makers; and

(iv) Local Authority Liaison Officers (LALOs).

132. LLAs adopt a range of tools to support the management of information, including:

- (i) Emergency Centre Registration Forms;
- (ii) Spreadsheets of those who register at an Emergency Centre;
- (iii) Pin boards, white boards and other wall-mounted options to display information within control centres;
- (iv) Incident and decision logs (electronic and paper);
- (v) Situation reports; and
- (vi) Briefings, oral and written, including from the incident scene to BECC or from Council Silver to Council Gold.

## D.3 Situational Awareness

133. Situational Awareness, as per the London Strategic Coordination Protocol and to which LLAs adhere, is achieved through three mental processes:

- (i) **Perception:** identifying the facts of the situation;
- (ii) **Comprehension:** understanding what this means and implies; and
- (iii) **Projection:** making judgements about potential outcomes and the future development of the emergency.

### D.3.1 Local Authority situational awareness

134. In an individual Local Authority, it is the **BECC** which acts as the focal for situational awareness, as it is the hub through which all incident information flows and is linked to a Local Authority's decision makers.

135. The BECC utilise information from a range of internal and external sources which is processed to create situational awareness summarised in the form of:

- (i) (Oral) briefings for key staff (often provided within the BECC to roles such as Council Silver)
- (ii) A formal internal situation report (usually for Council Gold and the Council Gold Group)
- (iii) Information used to create public messages (often created and shared by a Local Authority's corporate communications team)
- (iv) A "Council to LLACC" situation report, which is a template form used to provide to the LLACC (if active) a summary of the situation within a Local Authority's administrative area.

136. Situation reports are created to meet an agreed timetable for circulation ("battle rhythm"), which is set by the receiving person or organisation. The timetable is determined by the context of the incident.

### D.3.2 Local Authority shared situational awareness

137. On behalf of all LLAs, the **LLACC** acts as the focal point for Local Authority shared Situational Awareness due to its role in supporting the coordination of LLAs' activities during emergencies where multiple local authorities have activated to Incident Response level.

138. The LLACC processes situation reports from each Local Authority, collating the information into a:

- (i) A “LLACC to LLAG” situation report which provides a high-level summary of the situation across individual local authorities and all LLAs as a whole.
- (ii) A summary about LLAs for the London Situational Awareness Tool (LSAT).

## D.3.3 Multi-agency shared situational awareness

139. LSAT is an online tool developed to enhance multi-agency shared situational awareness. Partners update their own organisation’s situation online and this information is collated to inform partnership teleconferences and Strategic Coordinating Group meetings.

140. It is the LLACC that uploads onto LSAT a single situation report on behalf of all LLAs.

## D.4 Decision making

141. The changeable and unpredictable nature of an emergency requires the LLAs to make decisions in situations of high pressure and with potentially limited information. Decisions made during an emergency are the subject of future scrutiny, whether for the purpose of reviewing and improving the way in which the organisation responded or as part of a formal review into the quality of the decisions themselves e.g. public inquiry and coroner’s inquest.

142. Therefore, LLAs seek to ensure that decisions are reasonable, defensible and recorded<sup>15</sup>. To achieve this:

- (i) LLAs adopt the JESIP Joint Decision Model; and
- (ii) each Local Authority maintains arrangements to record key decisions.

### D.4.1 Joint Decision Model

143. LLAs adopt the JESIP Joint Decision Model (JDM) as the basis of their decision-making process. As indicated in *Figure 2: JESIP Joint Decision Model*, the JDM involves a number of key stages includes gathering information and analysis of information.

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<sup>15</sup> In line with the London Strategic Coordination Protocol.

# CONCEPT OF OPERATIONS FOR EMERGENCY RESPONSE & RECOVERY

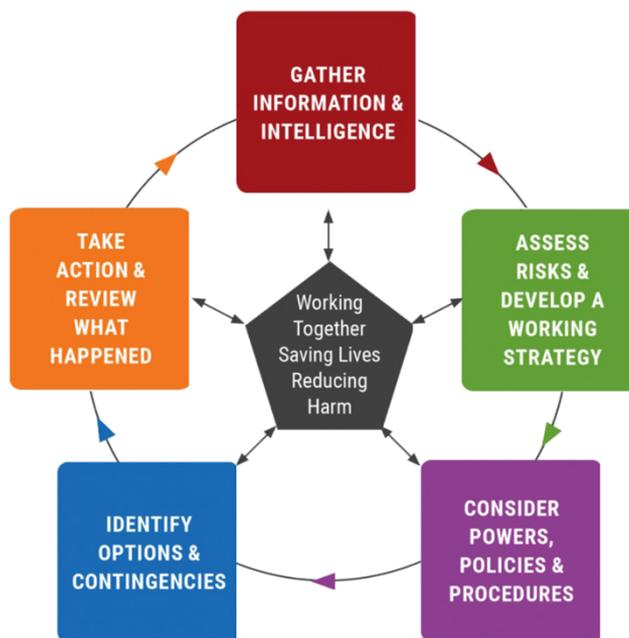


Figure 2: JESIP Joint Decision Model

144. The model is based around the following three principles:

- (i) **Situation**
- (ii) **Direction**
- (iii) **Action**

145. LLAs acknowledge in their decision-making process that a decision made without understanding the situation is likely to be misinformed and unlikely to be relevant. They also acknowledge that a decision without associated actions means the decision is unlikely to be enacted in the way the decision-maker(s) had intended.

## D.4.2 Recording decisions

146. In line with the London Strategic Coordination Protocol, LLAs ensure their decision records include:

- (i) A summary of the issue;
- (ii) The options that were considered;
- (iii) The risks attached to them; and
- (iv) The rationale for the decision.

147. Where possible, records shall be contemporaneous, not subject to alteration and held in line with national expectations on the retention of information relating to a (major) incident<sup>16</sup>.

<sup>16</sup> Retention expectations outlined in the Retention Guidelines for Local Authorities, 2002, Records Management Society of Great Britain, Local Government Group.

## D.5 Budget and finances

148. Each Local Authority is responsible for the financing of response activities within its administrative area. This includes any mutual aid it receives from another Local Authority.

149. Regardless of the number of local authorities that respond to an emergency, each Local Authority retains responsibility for maintaining a clear and transparent record of emergency response costs. Not only is this required for internal scrutiny as part of any post-emergency review, the record of spend may be used to claim back from Government costs associated with the emergency response (e.g. through the Bellwin Scheme) and are used by the responding Local Authority to reimburse costs accrued through the provision of mutual aid.

## D.6 Health & Safety and Welfare

150. Incidents, their management and the situations to which staff could be exposed are likely to be physically and mentally demanding and will present a range of Health & Safety and Welfare Risks. Mutual aid may increase these risks as staff operate in unfamiliar locations.

151. Local Authorities manage these risks by taking steps before, during and after incidents. These steps include:

- (i) **Before** – risks assessments and training needs analyses of incident management roles. Training in incident management procedures and personal resilience and provision of equipment that is appropriate to an individual's incident management role.
- (ii) **During** - providing refreshments and opportunities to take breaks. Localisation inductions for mutual aid staff.
- (iii) **After** - access to support, including that provided by line management and Human Resource teams.

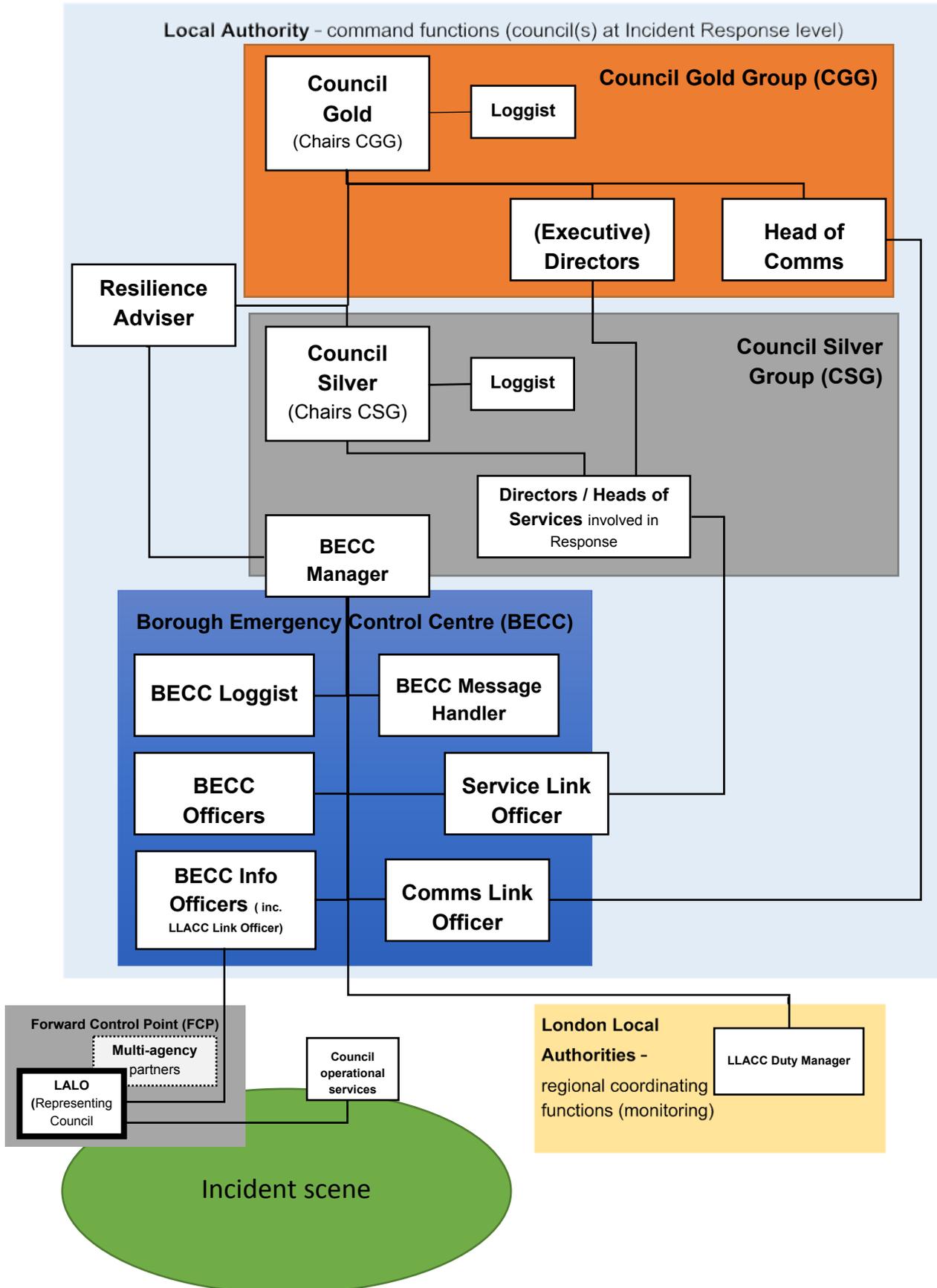
## D.7 Resilience of emergency response arrangements

152. To ensure LLAs can meet their emergency response responsibilities, Local Authorities maintain a proportionate level of resilience of their emergency response arrangements including through the use of on-call emergency response staff, especially where a guaranteed level or speed of response is required, or pools of emergency response staff.

## Section E: Appendices

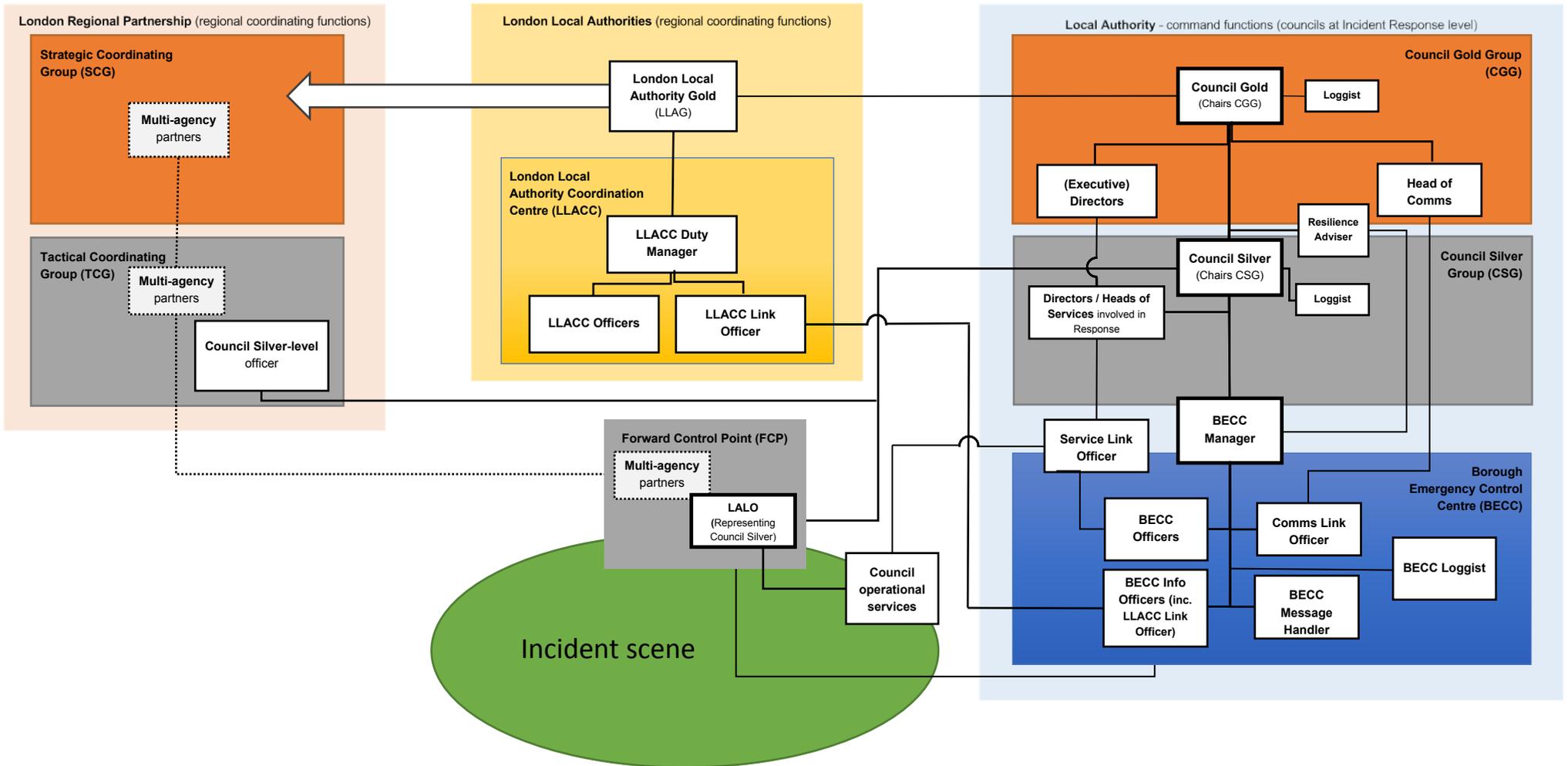
# CONCEPT OF OPERATIONS FOR EMERGENCY RESPONSE & RECOVERY

## E.1 Appendix A – Single Local Authority Command and Control structure



# LONDON LOCAL AUTHORITIES

## E.2 Appendix B – local authorities' (collective) Command and Coordination Diagram



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## Appendix 2: Emergency Planning Team incident involvement 2018- 2019

<b>2018</b>	<b>Incidents</b>
February-March	Severe Weather (Snow) – Information sharing & comms
March	Bomb Hoax Schools – Information sharing & comms
March	School Threat – Information sharing & comms
March	Croydon gas leak – incident response and coordination under mutual aid
April	School Threat – Information sharing & comms
April	Fire Bromley High Street– Information sharing & comms
April	Otters Close Orpington Car into House and Evacuation – response & coordination
April	Explosion Petts Wood High Street (Power Surge) – Information sharing & comms
April	Summer Hill Chislehurst Sinkhole - Monitoring
April	WWII Unexploded Bomb in Orpington (Green Street Green) - Monitoring
May	Bomb Threat Schools – Information sharing & comms
June	Bomb Threat Schools– Information sharing & comms
June	Thames Water Issues- sinkhole opened in Crystal Palace - monitoring
July	Fire at Low rise block of flats on Orpington High Street - Incident response & coordination
July	Sinkhole in Crofton Lane– Information sharing & comms
July	Grassland Fire Bromley– Information sharing & comms
July	Reported potential Gas Leak Redhill Lane, Chislehurst– Information sharing & comms
July	Grassland Fire near Bethlem Royal Hospital, West Wickham– Information sharing & comms
August	House fire Pinson way, Orpington – Incident Response & Coordination
August	Flat Fire Ottershaw House, Orpington, Incident Response and Coordination. Rest Centre and Humanitarian assistance centres set up
October	Large Fire Holmesdale Road, Bromley – Incident Response and coordination, 30 premises evacuated
October	Man doused himself in petrol, Metro Bank, High Street Bromley - Monitoring
November	Burst water main, Beckenham Road, Beckenham - Monitoring
November	Fire, Farnborough Road Bus garage - Incident Response & Coordination
December	Sewage leak, St Mary Cray Recreation Ground - Monitoring
December	Water supply issue, St Mary Cray High Street - Monitoring
<b>2019</b>	<b>Incidents</b>
January	Suspect package discovered at Asset Link Services, Beckenham Road - Monitoring
January	Burst Water main - St Mary Cray High Street – Information sharing & comms
January	Power failure Pembroke Road Bromley - Information sharing & comms

15.01.2019

# A councillor's guide to civil emergencies



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# Foreword

I am pleased to introduce this updated version of the Local Government Association (LGA) councillor's guide to civil emergencies. Although the original version of this document was only published in 2016, there was a clear need to update it given the importance of all of us understanding and learning from colleagues up and down the country who in 2017 faced the challenge of dealing with the most devastating emergencies we can imagine.

The attacks in Westminster, Manchester, London Bridge and Islington were a terrible illustration of the ongoing terrorism risk we must remain vigilant to, while the fire at Grenfell Tower highlighted the importance of councils visibly responding to and leading their communities following a disaster. The Novichok incidents in south Wiltshire in 2018 also highlight that, to say the least, some risks can be extremely difficult to predict.

What all of these incidents showed is how much our experience of emergencies has changed in recent years, even since the terrorist attacks of 2005. The widespread use of camera phones and social media, and advent of rolling news, not only enable the public and press to pretty much live stream emergencies and the response to them; they also facilitate the sharing of information – and sometimes misinformation – exceptionally quickly. In these circumstances, there is a clear need for councils to be fleet of foot in their responses. The risks of not doing so are significant; yet all of us know that this has become more difficult given the way that resources are more stretched following years of austerity.

The heightened visibility of emergencies also makes it important for councillors to fulfil their civic and community leadership roles equally visibly. The saying that trust arrives on foot but leaves on horseback resonates strongly in relation to our handling of emergencies.

The purpose of this document is to provide an overview of the role and responsibilities of councils, cabinet members, and ward councillors, in terms of ensuring preparedness and resilience, responding to, and recovering from emergencies. These roles are different, but complementary; all of them are critically important. Based on the experience of and feedback from colleagues who have dealt with emergencies most recently, we intentionally focus throughout on the themes of leadership and communication, and highlight some of the potential pitfalls to be mindful of.

I hope that you find the guide useful, and most importantly that you will use it as a prompt to think about and scrutinise your authority's, and your personal preparedness for responding to an emergency. Only by developing our understanding, and regularly reviewing our plans, can we ensure that we are as prepared as we can be for any of the emergencies we may need to deal with.

**Councillor Simon Blackburn**

Chair, LGA Safer and Stronger Communities Board

# Core terms and components of the civil contingencies framework

## Core terms and components of the civil contingencies framework

The legal framework for responding to emergencies sets out clear roles and responsibilities, and emergency planning work relies heavily on established doctrine and procedures which broadly apply across different types of emergency. Councillors should ensure they have a basic understanding of these so that they understand the council's role in an emergency, as well as their own personal role as councillors. The key terms and concepts are summarised below.

<b>Civil Contingencies Act 2004</b>	The Civil Contingencies Act (the Act) sets out the legislative framework for responding to civil emergencies.
<b>Civil emergency</b>	An event or situation which threatens serious damage to human welfare or the environment of a place in the UK, or war or terrorism which threatens serious damage to the security of the UK.
<b>Rising tide emergency</b>	An emergency for which there is some level of advance warning, for example a flood which could be predicted based on weather forecasts and river levels.
<b>No notice emergency</b>	An emergency which is instantaneous and for which there is no notice. Recent examples include the Shoreham Bypass air crash and Manchester Arena attack.
<b>Category one responder (to a civil emergency)</b>	Organisations which are likely to be at the core of the response to most emergencies and are therefore subject to the full range of civil protection duties in the Act. Councils, the emergency services, health services, and Environment Agency are category one responders.
<b>Category two responder (to a civil emergency)</b>	These are cooperating responders, who are less likely to be involved in the heart of multi-agency planning work, but will be heavily involved in preparing for incidents affecting their sectors. The Act requires them to cooperate and share information with other category one and two responders.
<b>Local resilience forums</b>	Local resilience forums (LRFs) covering police force areas are multi-agency partnerships made up of representatives of the local category one and two responders, plus the military. They are responsible for identifying and planning for local civil resilience risks.
<b>Preparedness/resilience</b>	The concept of ensuring organisations and areas are prepared for emergencies, and focused on developing the resilience and capability to respond to and withstand them.
<b>Response</b>	The multi-agency processes and procedures that are put in place to respond to an emergency. The generic national framework for managing emergency response and recovery identifies three tiers of management and the relationship between them, as set out below.

<b>Recovery</b>	Recovery is the process of rebuilding, restoring and rehabilitating a community following an emergency, and is typically led by the local authority.
<b>Strategic/Strategic Coordination Group (SCG) – ‘gold command’</b>	<p>The strategic management response considers the emergency in its wider context and determines long term impacts and risks; defines and communicates the overarching strategy and objectives for the response; establishes the framework, policy and parameters for lower level tiers, and monitors the context, risks, impacts and progress towards defined objectives.</p> <p>A multi-agency SCG, typically chaired by the chief officer of the police or fire service and usually attended by the local authority chief executive or strategic director, will be established for significant or extended emergencies. An SCG does not have the collective authority to issue commands or executive orders to individual responder agencies, but ensures coordination as each organisation exercises control of their own operations in the normal way.</p> <p>For emergencies with significant recovery implications, it would be normal to establish a recovery coordinating group (RCG), usually chaired by the council chief executive or strategic director, to take on the role of the SCG once the response phase of the emergency is over.</p>
<b>Tactical/Tactical Coordination Group (TCG) – ‘silver’</b>	<p>The tactical coordination group (TCG) will be formed from senior operational officers from relevant agencies. A council will usually be represented at the assistant director/ head of service level.</p> <p>The group’s role is to jointly conduct the overall multi-agency management of the incident: determining priorities for allocating available resources and seeking additional resources if required; planning and coordinating tasks; assessing risks and using this to inform tasking of operational commanders; and ensuring the health and safety of the public/personnel.</p>
<b>Operational – ‘bronze’</b>	This is the level at which the management of the immediate hands-on work is undertaken at the site(s) of the emergency. While individual agencies retain command authority over their own resources and personnel deployed at the scene, each agency must liaise and coordinate with the other agencies involved, ensuring a coherent and integrated effort. It is the role of the operational commanders to implement the tactical commander’s plan within their functional area of responsibility.
<b>Cabinet Office Briefing Room – COBR</b>	COBR is the name given to central government meetings convened in response to civil emergencies. The composition and chair of COBR will vary according to the nature and severity of an emergency, but a ministerial-level COBR may be chaired by the Prime Minister or senior minister. Officer-level meetings may also take place.
<b>Mutual aid</b>	Arrangements put in place between different organisations and areas to provide support in the event that one of them is required to respond to an emergency and requires additional resources.

# Case studies

## **Manchester Arena attack** **Manchester City Council**

On Monday 22 May 2017, a suicide bomber detonated an improvised device in the crowded foyer area immediately outside the Manchester Arena, where around 14,000 people had been attending an Ariana Grande pop concert. Twenty two people, including several children, were killed; over one hundred sustained physical injuries and many more suffered psychological and emotional trauma.

Manchester City Council responded to the incident as a category one responder, working in partnership with a vast range of other organisations, including those which form the Greater Manchester Resilience Forum. The council activated plans to establish a family assistance/reception centre at the Etihad Stadium and arranged hotel accommodation for families and professionals involved in the response. The council also worked with the local police force to coordinate contributions from businesses offering help and support.

The council's civic and community leadership in the immediate and longer term aftermath was a notable feature of the response, and was specifically praised in Lord Kerslake's review of the preparedness for and response to the attack. Among other things, the council arranged a vigil less than twenty four hours after the attack, ensured council staff were able to offer support to people at the St Ann's Square tribute site, arranged support for communities impacted by subsequent police raids in various parts of the city, oversaw a charity set up to support the

victims, and put in place measures to tackle the spike in hate crime that followed the attack.

## **Shoreham Bypass air crash** **Adur District Council**

On 22 August 2015, a vintage jet aircraft crashed onto vehicles on the A27 during a display at the Shoreham Airshow, killing 11 people and injuring 16 others.

The aircraft broke into four parts on impact, destroying several cars. Fuel escaping from the fuel tanks ignited in a large fireball and plume of smoke immediately following the impact. Following the crash, the A27 was closed in both directions, stranding those attending the airshow. People were initially able to leave the site only on foot, as the main access from the car parks to the A27 was closed.

Initially the role of Adur and Worthing Councils was to support the emergency services and West Sussex County Council as the tier one and two responders whilst keeping council services running as normal. Council officers also established a stand-alone website for a virtual book of condolence and together with West Sussex County Council opened a charitable fund to support victims of the accident, to be administered by the Sussex Community Foundation, a registered charity.

## **Storm Eva flooding Calderdale Metropolitan Borough Council**

On Boxing Day 2015 Storm Eva reached Calderdale, causing flooding across 20 miles of the Calder Valley. Some 2,000 homes and 1,000 businesses flooded and large areas were without power for several days. The severity of the damage in Calderdale meant that the council led the discussion with the Department for Transport, on behalf of the whole region, on the cost of the repairs required to restore critical infrastructure.

Calderdale Council is the Lead Local Flood Authority (LLFA) and implemented emergency plans in partnership with the emergency services, Environment Agency, Canal and River Trust, Yorkshire Water, Northern Powergrid and local community groups.

Within hours local volunteers, with council support, had set up hubs in Todmorden, Hebden Bridge, Mytholmroyd, Sowerby Bridge and Elland, which quickly became the heart of each community, providing food, warmth, advice and support to the devastated communities.

Calderdale has local flood groups, with dedicated flood wardens and community based flood stores, which allowed the clean up to get underway as soon as the floodwater had gone.

The council coordinated the collection and removal of tonnes of waste and debris from across the valley and provided skips for residents and businesses. The highways team inspected the street lights, traffic lights and over 100 bridges in the flood affected areas, including 85 underwater inspections. Grants were swiftly made available by the Government and allocated to residents and businesses to contribute to the cost of the clean-up. Funding of approximately £13.2 million was awarded to support households and businesses through recovery schemes and council tax and business rates relief. Grant funding also made properties more resilient and helped affected businesses invest in their expansion.

The scale of the flooding and the subsequent damage to the highways network meant the council's priority quickly became focused on raising sufficient funding from regional organisations and central government to support the recovery. £25 million Department for Transport infrastructure funding was secured to repair damaged roads, bridges and landslips and make improvements to drainage.

The council delivered marketing campaigns targeting tourists, visitors and businesses to show that Calderdale was back in business and £100,000 was awarded to local organisations for events to help towns and communities recover and bring people together.

The Calderdale Flood Action Plan was published in October 2016 following consultation with the community and partner organisations to set out the actions required to improve Calderdale's resilience to flooding. It is a living document that is reviewed annually, with project leads from the council, Environment Agency and partner organisations reporting quarterly on their progress.

Continued efforts to secure funding are supporting the delivery of three major flood defence schemes in Mytholmroyd, Hebden Bridge and Brighouse, as well as smaller schemes across 22 locations. Work is ongoing to identify and maintain critical flood risk assets and improve the resilience of Calderdale's infrastructure across highways and transport, gas, electric and water, and the use of canals and reservoirs for flood storage is also being investigated.

Partner organisations are working to better understand the relationships between catchment management and flooding, engage with landowners and land managers and bid for funding to support the delivery of natural flood management (NFM) techniques. The partnership also works closely with the community to make people and property as prepared as possible for future flooding and help strengthen Calderdale's already active network of flood groups.

# Overview and key themes for councillors

## Summary of council responsibilities

All principal councils are category one responders under the Civil Contingencies Act 2004. They have clearly defined responsibilities in relation to civil emergencies and will typically lead the recovery from any emergency in their area. Category one responders must:

- 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 communications arrangements in place 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 coordination
- cooperate with other local responders to enhance coordination and efficiency
- provide advice and assistance to businesses and voluntary organisations about business continuity management (local authorities only).

As a category one responder, a council must perform its duties under the Act where:

- the emergency would be likely to seriously obstruct its ability to perform its functions
- it would consider it necessary or desirable to act to prevent, reduce, control, or mitigate the emergency's effects, or otherwise take action; and it would be unable to act without changing the deployment of its resources or acquiring additional resources.

Local responders work to a generic national framework for managing emergency response and recovery that applies regardless of the size, nature or cause of an emergency. The framework provides local flexibility for responders to make their own decisions about what emergency planning arrangements are appropriate to deliver their duties under the Act, based on local circumstances, priorities and risks. Local resilience forums (LRFs) are the key organisation for developing area wide arrangements for responding to emergencies, and are responsible for producing community risk registers setting out specific local risks for their areas and local multi-agency emergency response plans.

## Councillor role

In an emergency, as with business as usual, councillors are not involved in the operational response led by officers but must play a leadership role that includes:

- **political leadership**; ensuring that their council is meeting its obligations under the Act, in terms of preparing for and responding to emergencies
- **civic leadership**; providing a focal point for the local area during an emergency situation
- **community leadership**; helping to increase community resilience, and supporting communities' emergency responses and through the period of recovery.

Councils and councillors may be required to deal with many different types of civil emergency, and the nature of an emergency (eg, whether it has involved loss of life, whether homes and businesses have had to

be evacuated) will clearly shape the response and recovery to it. These different situations will also impact how councillors are able to fulfil their roles. As an example, it is inevitable that more information will be made available – to both councillors and the public – about a flooding incident than a detailed police investigation into a terrorist attack. Councillors will need to understand how these differences affect response and recovery; however the principles of effective political, civic and community leadership will remain the same.

## Political leadership

Senior political leaders in a council should ensure that councils are managerially equipped and resourced to plan for, respond to and recover from emergencies. This will involve making significant policy and funding decisions to help plan for emergencies, and promoting joint working and mutual aid arrangements with other local authorities and agencies. In a response situation, it will include supporting officers to respond to emergencies, enabling them to defend key decisions and helping to minimise reputational risk to the authority. Political leaders may also be required to consider resourcing recommendations from the strategic or recovery coordination groups or make representations to government for additional financial resources or other assistance. Finally, political leaders must also ensure recovery functions are mainstreamed and that lessons learnt are addressed and shared more widely.

## Civic leadership

The emergencies which councils responded to in 2017 highlighted the critical significance of councils' civic leadership as a key feature of an effective emergency response and recovery.

The council's civic leadership role means providing a visible focal point for the local area during this period, offering information, support, reassurance and comfort, and standing alongside representatives of different communities and organisations. Media and communications will be a critical enabler of the council's civic leadership role.

## Community leadership

Visible and empathetic community leadership by ward councillors at a very local level is hugely important. Community leadership cuts across preparedness, response and recovery; councillors need to understand their communities, local vulnerabilities, community networks, assets and businesses to help develop their community's resilience, and then use this information and capacity to inform and support an emergency response if it becomes necessary.

The advent of social media has increased opportunities for effective communication with local residents, but – again as highlighted by the 2017 emergencies and illustrated later in this document – can also create challenges for councils and councillors. Councillors should bear in mind general guidance on using social media, working closely with their communications teams and avoid pitfalls such as providing unverified information.

Community leadership will also be crucial as communities rebuild and move through periods of recovery, when ward councillors can act both as the voice of the community within the council, and vice versa.

# Preparedness and resilience

## Summary of council responsibilities

Councils should maintain a set of fully developed, tested and up to date plans covering a range of different scenarios, based on locally identified risks, to enable them to play a full and effective part in the response to and recovery from an emergency. In relation to potential flooding emergencies, councils have specific additional responsibilities, which are summarised in Appendix 1.

It is vital that councils understand their capability and capacity in this area. Emergency and business continuity plans should be regularly revisited to check they reflect current capability and that key contact details are up to date and easily available. Despite the many demands on their time, it is clearly extremely valuable for councillors to receive emergency planning training and briefings, and for senior officers to take part in training exercises. This process can also help ensure understanding of the relative roles and responsibilities of councillors and officers<sup>1</sup>, which will strengthen councils' ability to respond to an emergency and help ensure corporate resilience. Unless everyone has thought through their role during a crisis and the recovery, there is a risk that in an emergency, they will be on the back foot.

<sup>1</sup> Emergency plans in areas with directly elected mayors should also be updated to reflect the potential role of the mayor, particularly in relation to communications and civic leadership.

“It was clear that previous training initiatives were helping our staff deal with a difficult situation ‘on the ground’, supporting the first and second tier response agencies while keeping our own services running as normal. Regular training, even on desktop exercises, is very important in helping staff and councillors think about the issues they may have to face and, should the worst happen, vital to give them the skills they need to make critical decisions.”

**Councillor Neil Parkin Leader**  
Adur District Council  
(Shoreham Bypass air crash)

Councils can also strengthen their preparedness for dealing with emergencies by developing strong links with the other agencies and groups that they may need to work with in the event of an emergency. Councils should ensure that they are actively engaging in the local resilience forum (LRF) and investing in the relationships that are critical for partnership working during the response phase of an emergency. Authorities should also develop robust mutual aid arrangements that can be drawn on when responding to an emergency requires additional capacity and support.

Councils should also ensure that they are developing the strong relationships with other groups likely to become involved in the response to an emergency, such as the voluntary sector, religious groups and other community groups. Councils will be doing this anyway, but it is important to understand the role this might play in the event of an emergency.

The councils that experienced terrorist attacks in 2017 were able to move quickly to hold public vigils and memorials that brought communities to visibly stand together because of the relationships they already had.

## Role of leaders and portfolio holders

Clearly, senior councillors will have an important role to play in the tasks outlined above, particularly understanding and shaping the respective role of politicians and senior officers during an emergency response and recovery. Experience has shown that where their respective roles have not been clearly established prior to an emergency, or where agreed roles are exceeded or disregarded, the coherence of the council's position is undermined. Senior councillors also have a key role in building relationships with local partner agencies and contacts.

Senior councillors should seek assurance that the council is prepared to deal with an emergency and has appropriate business continuity plans in place to continue to operate even where it is directly affected by an emergency (for example, if the council was gutted by a fire, as was the case at Melton District Council in 2008 and South Oxfordshire in 2015). Appendix 2 sets out a series of questions for which senior leaders may wish to seek comprehensive and substantial answers backed up by relevant documentation where appropriate.

### **To support emergency preparedness, senior political leaders should:**

- Discuss with chief executives and senior officers the main risks to local communities, so they can promote and support key actions to increase resilience.
- Understand and support the work of the LRF in planning for emergencies by:
  - helping them to be aware of the needs of discrete groups and issues within communities
  - seeking assurance that the council has worked with the LRF to develop sufficient plans for response and

recovery work, and that the LRF regularly tests these plans and trains personnel by running training exercises.

- Help raise awareness amongst local communities and the general public about the risks posed by key issues, and the roles and responsibilities of different agencies that can be involved in managing risk and responding to an emergency, so that communities are reassured and have a better idea of who to turn to in the event of emergencies occurring.
- Work with the communications team to ensure familiarity with internal and external communications processes in an emergency and their role within this.
- Encourage all councillors to participate in training so they are prepared to respond to an emergency and get involved in recovery from it.
- Understand the functions, ways of working, priorities and constraints of other organisations and in particular, if possible and appropriate, build personal relationships with key personnel, which will facilitate effective working during a crisis and may support the development of mutual aid arrangements with other organisations.
- Explore with the chief executive and senior officers whether contracts with suppliers include clear provisions requiring comprehensive plans for continuing service provision in the event of a civil emergency and for assisting with the response to and recovery from an emergency as appropriate and required; for example:
  - care providers should be expected to have across-the-board arrangements for continuity of care in the event of an emergency, including provisions to evacuate care homes and how these provisions would work
  - street cleaning and waste collection contracts should include provision for vehicles and equipment to be used in support of response to and recovery from an emergency.

## The ward councillor role

As representatives of their local communities, ward councillors can help to build community resilience and strengthen councils' ability to respond to emergencies by developing an understanding of their local areas and building relationships within them.

Ward councillors will need to be familiar with the council and LRF's emergency response plans and, as with senior politicians, have an important role to play in seeking assurance about corporate council preparedness for responding to a civil emergency. Wherever possible, they should also contribute to the emergency planning process, undertake training and participate in exercises to ensure that they are familiar with what will be expected in an emergency.

However the emphasis for ward councillors is on a very local and outward facing community leadership role. Understanding and mapping communities – for example, where there are particularly vulnerable residents, what community assets there are that can be drawn on in an emergency, key local networks and organisations and how to quickly contact them – will help to ensure rapid and effective emergency responses. These are neighbourhood mapping activities that ward councillors may be undertaking as a general part of their role, but it is useful to consider them in the specific context of an emergency response.

Ward councillors also have a role to play in sharing information with local residents and helping them to think about and understand how they can strengthen community resilience. As part of their representative role for their area at the council, they can champion resilience in other local services, for example new developments in the area, and ensure that the LRF is aware of any particular issues or risks in their communities.

### **To support emergency preparedness, ward councillors should:**

- promote and encourage the preparation of community plans
- use their local knowledge to identify local groups and partners who may be able to play a role in recovery
- promote self-resilience within the community and help manage residents' expectations
- actively engage with community members involved in community resilience work more widely
- take part in emergency response and recovery training exercises
- ensure they are familiar with the communications team emergency plans and processes
- scrutinise emergency plans and hold officers to account for the detailed preparation and updating of them with partners on the LRF – Appendix 3 sets out a set of possible scrutiny questions.

# Response

## Summary of council responsibilities

In an emergency scenario, the value of councils and councillors having invested time in planning and preparation, and in understanding where there are particularly vulnerable residents and communities, will become clear. Depending on the nature of an emergency, the 'blue light' services – police, fire and rescue and ambulance – may be at the forefront of the multi-agency response efforts. However, councils have responsibility for key activities that facilitate the response and support those impacted by the emergency. Much of this support will overlap with recovery activities, which councils will typically lead, which is why it is helpful to plan and begin recovery work as soon as possible during the response phase. Councils' response activities may include:

- Providing 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<sup>2</sup>, including providing access to telephones, computers and help with correspondence.
- Potentially providing catering facilities, toilets and rest rooms for use by all agencies, for the welfare of emergency

<sup>2</sup> Under homelessness legislation councils have a duty to secure suitable accommodation for people until a settled home becomes available. This means that in the event of an emergency, they have a responsibility for providing temporary shelter in the first instance and subsequently temporary accommodation in an extended emergency. Councils, registered social landlords and housing trusts have a duty to cooperate in providing assistance on request, where a housing authority asks for help with meeting its homelessness function.

response personnel, in the event of a protracted emergency. This will depend on the circumstances and available premises.

- Liaising with the coroner's office to provide emergency mortuary capacity in the event that existing mortuary provision is exceeded.
- Communicating relevant updates to the public for information and reassurance.
- Coordinating the activities of the various voluntary sector agencies involved, and spontaneous volunteers, potentially through the creation of a sub-group to lead this.
- Making arrangements for the receipt and distribution of donations of cash, clothing, furniture, etc (this role could be undertaken by the voluntary sector).
- Providing medium to longer-term welfare support of those impacted by the emergency, eg) setting up a dedicated resource centre/one-stop-shop with social services support and other service providers, particularly the voluntary sector and dedicated case workers; setting up help lines, and liaising with police and crime commissioners' offices in relation to support for victims of crime.<sup>3</sup>
- Providing public health advice and support.
- Providing investigating and enforcement officers under the provision of the Food and Environment Protection Act 1985 as requested by Department for Environment, Food and Rural Affairs (Defra).
- Facilitating the inspection of dangerous structures to ensure that they are safe for

<sup>3</sup> Where an emergency relates to an incident which is the subject of a police investigation and could lead to a prosecution, victims have a statutory entitlement to support under the Victims Code. This support is the responsibility of police and crime commissioners.

emergency personnel to enter.

- Cleaning up pollution and facilitating the remediation and reoccupation of sites or areas affected by an emergency.

“The flooding we experienced on Boxing Day 2015 was unprecedented. We were badly hit by floods in 2012. At the time these were also described as unprecedented, but it is clear that what was previously a once in 100 years event, or even once in every 50 years, is now happening with much greater frequency. Many homes and small businesses have been flooded several times over the past few years and I know that it has been a struggle.

Council staff, communities and volunteers supported each other during the clean-up operation and established community hubs in the five towns affected by floods. The council dealt with dangerous, flood damaged structures, cleared tonnes of debris and silt and provided assistance packages to householders and local businesses.”

**Councillor Tim Swift Leader**  
Calderdale Council

Recent experience highlights the importance of effective management of public facing responsibilities in providing assurance about the handling of the emergency. Regular and empathetic communication; the close involvement of the voluntary sector, and effective coordination of volunteers and donations are all key to enabling councils to provide practical and emotional support whilst also fulfilling their statutory duties.

## Media and communications

Councils can show civic leadership and relay information through intelligent and sensitive use of communications. This should be delivered through a variety of different channels to reach as wide an audience as possible, including traditional print communication, social media, local and national media channels, councillor led community and civic events, public meetings and leaflet or newsletter drops. Maintaining good relations with the media will be more important than ever during and after an emergency, and councils should:

- agree and use key messages consistently across all communications, including agreeing key messages across LRF and first responder organisations
- use the front page of the council website to clearly direct residents and press to up to date information regarding the emergency, with clear signposts of where to go for further information if needed, and relevant contact details for other organisations
- monitor social media, retweeting information from other partner organisations where relevant
- ensure that regular updates are disseminated to all councillors and staff via intranet/ line managers and that front line staff are briefed to deliver key messages to residents.

“One of the most important learnings from the tragic events at the Shoreham Air Show was the need to ensure that communications were regular and consistent – whether between members and officers, the council and its partners, or the council and the media. If clear, concise and accurate information hadn’t been available when it was needed, the potential for causing additional distress in the community could have been enormous.

It was imperative that our messages were aligned with and interview candidates were aware of what was being said by other agencies, so that we could put on a united front during the response phase. We had to balance the needs of our local community with the desire for information from national agencies (who didn’t understand local nuance) so that lines of communication and action remained clear.

I was initially taken aback by the media appetite for information – we received requests for interviews from across the country within hours of the tragedy unfolding, and these kept coming throughout the days and weeks that followed. It was incredibly important to have agreed a number of members, who could field media interview requests, in advance with our communications team – this ensured that there was clarity and consistency for our community in who they were receiving messages from.”

**Councillor Neil Parkin Leader**  
Adur District Council

## Financial assistance

The Government operates a mechanism for emergency financial assistance to help local authorities to cover immediate costs they incur in responding to emergencies. The Bellwin Scheme may be activated by ministers where an emergency:

- involves the destruction of, or danger to, life or property, and as a result
- one or more councils incur expenditure on or in connection with the taking of immediate action to safeguard life or property, or to prevent suffering or severe inconvenience, in their area or among inhabitants.

It is important to note that the Bellwin Scheme doesn’t cover precautionary actions or the recovery from an emergency; is subject to an expenditure threshold (which is published annually), and only applies in England. In Wales it is known as the Emergency Financial Assistance Scheme and is administered by the Welsh Government.

## Role of leaders and portfolio holders

When an emergency occurs, senior politicians, as leaders of local places, have a vital role in providing civic leadership and reassurance to local people. Depending on the emergency, the council may become a lightning rod for emotions, and will need to manage this effectively. Visibility of senior politicians will be important, and the communications strategy should be seen as facilitating the civic leadership role.

Senior councillors in particular will also have an important role during the immediate response phase in supporting officers and councillor colleagues, who are likely to be working exceptionally hard over long periods with limited breaks, potentially in emotionally difficult circumstances. Providing simple human support and recognising when individuals – including themselves – need a period of respite are important, and link back to the need to have clearly defined roles and responsibilities.

### **To support emergency responses, senior political leaders should:**

- Ensure that the council continues to deliver services and provide support to the most vulnerable in the community and to those driven out of their homes.
- Work with the council's communication team to act as a public face for the council in interactions with the media and the wider community through interviews and public meetings. It will be particularly important to take care to avoid issuing contradictory or unconfirmed information to the media and the public. The key messages agreed with the communications team should be clearly and consistently reiterated in all communications, including social media and face to face interactions with residents.
- Assist with VIP visits, ensuring they are sensitive to the needs of the community.
- Work with the council's communications team to keep onsite and remote staff and councillors informed by ensuring internal communications are updated in line with external communications.
- Ensure that the council is fully and effectively cooperating with all relevant partners, not least the voluntary sector and making best use of all the support offered by the wider general public.
- Support officers and colleagues who are closely involved in the emergency response and recovery, ensuring that periods of relief and additional support are provided.
- If appropriate, make representation to the government for financial or other assistance.

## **The ward councillor role**

The community leadership role is critical when an area is significantly impacted by an emergency. Councillors can play a role in signposting communities to support, including working to ensure that vulnerable residents in particular are assisted.

Again, preparatory work – in this case to understand community vulnerabilities and assets – will pay dividends in an emergency scenario.

The most important role for local councillors in the event of an emergency will be to be in their communities, providing support and reassurance to residents, calming tensions if these have become inflamed and providing as much information as possible, including correcting inaccuracies and rumours. Ward councillors should also provide moral support to the council officers working in what may be a challenging and difficult emergency response scenario, but should remember that, as with the delivery of services during business as usual, the elected member role is not to be involved in the operational response led by officers.

Feedback from councillors and officers involved in emergency responses has emphasised the importance of regular communication by ward councillors, for example using social media and in person. Councillors will need to have realistic expectations about the information that will be available to them if the emergency involves a major criminal investigation, such as a terrorist attack, but should be open with residents about the level of information that is available and provide regular updates, even if the update is that there is no further news at that time.

Experience suggests that if residents have had to evacuate, the key concern for them will be when they can return to their homes, and that it is advisable to avoid offering anything other than firm details on this. Information that subsequently turns out to be false assurances or over promising can significantly impact reputation and trust.

It is also worth bearing in mind that while councillors have a clear and legitimate role to scrutinise the council's corporate response to an emergency, actions that are perceived to be seeking political advantage may not be appropriate at this time.

**To support emergency responses, ward councillors in affected areas should:**

- provide community leadership in their own wards
- be present locally to identify the needs of individuals and the wider community and feed them in to the appropriate response or recovery organisation via council officers
- signpost members of the public towards the right agency to get the support they need
- communicate information to the public and media as required by the communications team
- support and assist those affected in how they engage with the media.

The Manchester community came together to show solidarity with those affected by the attack and to show that the city was united. The council quickly took action to provide a focus for this support. The vigil in Albert Square was held less than 24 hours after the attack and was so important as a first step to the city's recovery.

**Councillor Sue Murphy,**  
Deputy Leader, Manchester City Council

# Recovery

## Summary of council responsibilities

Ideally recovery work, or at least preparations for it, should begin from the moment the emergency begins and initially run alongside the response phase, although the formal close-down of response and a full transition to recovery will not take place until the emergency services withdraw and responsibility transfers to the local authority.

Recovery is more than simply the replacement of what has been destroyed and the rehabilitation of those affected. It is a complex social and development process which will look different for each type of emergency. Indeed, for some emergencies, there is a need to be careful about the language of 'recovery'; some people will never fully recover, either physically or emotionally, from their experience of a terrorist attack or similarly catastrophic event. However, it should also be recognised that the recovery process can provide opportunities as well as creating challenges, including improving local places through redevelopment, as well as developing and strengthening community links and resilience.

Recovery will be multi-faceted and may be long running, potentially involving many more agencies and participants than the response phase. It will certainly be more costly in terms of resources, and it will undoubtedly be subject to close scrutiny from the community and the media. Having begun at the earliest opportunity it should continue until the disruption has been rectified, demands on services have returned to normal levels, and the needs of those affected (directly and

indirectly) have been met. It could last months or even years and will normally be led by the council, usually with the chief executive or appropriate strategic director taking the chair of the recovery coordination group.

During recovery councils will have a large part to play in addressing community needs via drop-in centres and, if appropriate, organising anniversaries and memorials as part of the recovery effort. Establishing an aftercare group as a sub group of the recovery coordination group can help to provide emotional support to victims, including responders. For example, this could include setting up community support or self-help groups for people who want to talk about the incident; planning events to bring displaced communities together, or providing a care and counselling service. While this group might be initiated by the council, it may be led by the voluntary sector.

Councils are expected to make arrangements to bear the costs of recovery in all but the most exceptional circumstances. The Government is clear that it is up to councils to assess their own risk and put in place the right mix of insurance, self-insurance, and reserves. In the event of an exceptional emergency however, individual departments, eg the Ministry of Housing, Communities and Local Government (MHCLG), Department for Education (DfE), Department for Environment Food and Rural Affairs (Defra) and Department for Transport (DfT) will consider providing financial support for various aspects of the recovery effort.

It should be noted that departments will not pay out for recovery costs that are insurable. There will be no automatic entitlement to financial assistance even if arrangements are activated. Councils will have to demonstrate need against criteria laid down by the department running a particular scheme. Also the Government will not normally pay out against costs relating to areas where there is already an established government spending programme, or where existing programme spend can be re-prioritised.

## Role of leaders and portfolio holders

Senior political leaders will need to maintain a visible leadership role during the recovery period, reflecting that although media interest may have moved on, the effects experienced locally will last much longer. Political leadership will need to be sensitive to the needs of communities in reflecting when it is time to resume, as far as possible, a business as usual approach in the local community (for example, the removal of any temporary memorials that have been created), even as recovery efforts continue.

Making the case for financial assistance to support recovery processes may be a particularly important role following a major emergency that has created significant costs.

Political leaders should also play a prominent role in capturing the learning from the council's experience of responding to the emergency, in terms of what worked well, what worked less well, and how things could be improved in a future emergency response.

### **To support the recovery process following an emergency, senior leaders should ensure that:**

- Resources and agencies are being effectively deployed and working together coherently.
- Council services and operations return to normal at the earliest appropriate opportunity.
- Communities that have been disrupted by the emergency, and in particular the vulnerable members of the community, receive the short, medium and long term local support they need once the emergency is no longer national news and central government has shifted its attention elsewhere.
- The community are being kept well informed of plans and progress.
- Local voluntary sector organisations and the community are fully involved in the recovery process.
- A recovery strategy has been developed, supported by a concise, balanced, affordable recovery action plan that can be quickly implemented, involves all agencies, and fits the needs of the emergency.
- An impact assessment has been started early with councillors playing a central role in identifying problems and vulnerabilities in their community, which may require priority attention, and feeding those problems and vulnerabilities back to the relevant recovery group. The impact assessment is likely to develop over time from an initial outline assessment, probably covering the more immediate needs of people, to a more refined assessment of longer-term humanitarian needs and economic development
- Lessons learnt from the emergency are being compiled, widely shared and acted upon; follow up actions might include revision of plans, further training, strengthening of liaison with other agencies.

- Thorough debriefs are being planned and carried out to capture issues identified, recommendations to be implemented, and planning assumptions to be reviewed.
- That the community (including businesses) is involved at all stages of recovery; elected members can play a key role in this, chairing public (and business) debrief meetings; they can also be useful for door-knocking rounds, bringing back issues that the community has identified, and providing a trusted point of contact for those with concerns.
- Information and media management of the recovery process is coordinated by the communications team.
- Frequent internal communications keep all onsite and remote staff and councillors updated with key messages.
- Effective protocols for political involvement and liaison (parish, district/county/unitary, combined authority/mayoral and parliamentary) are established.

## The ward councillor role

As community representatives and figureheads in their local community, councillors for the affected community have an important role to play in assisting with the recovery process. The role of councillors is vital to rebuilding, restoring, rehabilitating and reassuring the communities affected and speaking on their behalf, and this phase will therefore require a more significant role than for the operational response activities.

During the recovery process, ward councillors will need to represent their communities within the council, as well as representing the council within their communities, sharing information and feedback on proposals and decisions.

An important part of their role will be to monitor the longer term community impact of the emergency, and any specific concerns or tensions which have arisen that need to be addressed.

### **To support the recovery process, all councillors in the affected areas should:**

- Listen to the community – as councillors and local figureheads, they have a key role as the voice of the community and can therefore:
  - be the eyes and ears ‘on the ground’ by providing a focus for and listening to community concerns and feeding these in appropriately
  - provide support and reassurance to the local community, by listening or visiting those affected and acting as a community champion and supporter.
- Use local knowledge – as a member of the community, councillors have unique access to the thoughts and opinions of, and information relating to their local community. As such, they can play a part in using:
  - local awareness of the thoughts and feelings of the community to identify problems and vulnerabilities the community may have and which may require priority attention and feeding them back to the relevant recovery sub-group, eg the community recovery committee
  - local knowledge to provide information on local resources, skills and personalities to the relevant recovery sub-group, in particular local community groups which can also be an important source of help and specialist advice; working closely with community groups, councillors will also be valuable in knowing how and who is active within a community.
- Provide support to those working on recovery through:
  - providing encouragement and support to recovery teams working within the community
  - working with the communications team to communicate key messages, from the RCG and its sub-groups, to local and national press and to disseminate credible advice and information back

to the community, keeping community members involved, including potentially assisting in debrief sessions with the community and managing community expectations along with the wider council

- actively engaging with community members involved in the recovery efforts.
- Demonstrate political leadership:
  - through scrutiny – getting buy-in and closure at political level, including sign off for funding
  - presenting the case for their community to the strategic community recovery committee where relevant.

“Nearly three years on, we’re working on a much more strategic, comprehensive scale to minimise future flooding and strengthen the resilience of our communities. By working closely with our partner organisations, we are delivering targeted flood alleviation schemes, improving the resilience of our highways and utilities infrastructure, managing our uplands to slow the flow of water into the valley bottoms, and helping communities to be better prepared the next time flooding hits.”

**Councillor Tim Swift Leader**  
Calderdale Council

# Appendix 1 – specific flooding related responsibilities

County councils and unitary authorities are lead local flood authorities (LLFAs) and have duties under the Flood Water Management Act 2010 (FWMA).

Under the FWMA, LLFAs are required to:

- Develop, maintain, apply and monitor a strategy for local flood risk management in their areas. Local flood risk means risk from surface run off, ground water and ordinary watercourses.
- Cooperate with other risk management authorities in exercising their local flood risk management functions. Risk management authorities are LLFAs, the Environment Agency, water and sewerage companies, highways authorities, internal drainage boards and district councils.
- Maintain a register of assets – the physical structures or features that are likely to have a significant effect on flooding in their area, including information for each of them about ownership and state of repair.
- Investigate significant local flooding incidents and publish the results of such investigations.

LLFAs also:

- are statutory consultees on planning applications for major development (10 dwellings or more) proposals which have surface water drainage implications
- manage both consenting and enforcement activity related to altering, removing or replacing certain structures or features on ordinary watercourses (except in those areas covered by an internal drainage board).

LLFAs and the Environment Agency need to work closely together to ensure that their local and national strategies and plans are consistent with one another. An essential part of managing local flood risk is taking account of new development in any local plans or strategies.

By working in partnership with communities, LLFAs can raise awareness of flood and coastal erosion risks. Local flood action groups (and other organisations that represent those living and working in areas at risk of flooding) will be useful and trusted channels for sharing up-to-date information, guidance and support direct with the community.

LLFAs should encourage local communities to participate in local flood risk management.

Depending on local circumstances, this could include developing and sharing good practice in risk management, training community volunteers so that they can raise awareness of flood risk in their community, and helping the community to prepare flood action plans. LLFAs must also consult local communities and any risk management authorities that may be affected about their local flood risk management strategy.

If a flood happens, all councils as ‘category one responders’ must have plans in place not only to respond to flooding emergencies, but also to control or reduce the impact of a flooding emergency.

# Appendix 2 – possible questions for leaders/portfolio holders to raise

- How engaged is the council in the LRF?
- Are there sufficient officers at each level appropriately trained to participate in multi-agency coordinating groups?
- Are all senior staff aware of what the council roles and responsibilities are in local resilience forum multi-agency emergency plans and is the council ready to deliver them?
- Have arrangements been made to enable close working with other councils within the LRF in the event of an emergency (eg information sharing, shared communications plan, joint spokespeople, etc)?
- Has the council appropriately considered plans for leading the recovery from emergencies that may occur?
- Does the LRF have an up-to-date risk register and does it fully reflect risks faced by the council and incorporate climate change risks? Is it sufficiently detailed and comprehensive, written in plain English and understandable to the general public? Is it readily available to the public?
- Are there sufficient plans for preventing emergencies; and reducing, controlling or mitigating the effects of emergencies in both the response and recovery phases?
- Do the emergency plans fully reflect the identified risks?
- Do plans clearly identify vulnerable groups or businesses that are at particular risk?
- When were business continuity plans last checked, updated and tested?
- Is there a flood risk management strategy in place with adequate systems and resources to implement it?
- Is there sufficient up-to-date information on the website to enable residents to contact the council in an emergency during a normal working day and out of hours and does the website make clear to residents what they can expect from the council in a local civil emergency?
- When was the website last updated? Is it fully up-to-date and does it fully reflect current arrangements and points of contact?
- Does the council have arrangements to generate the resource to respond to calls from residents about short or no notice emergencies out of working hours, particularly during the holidays, eg over Christmas and the New Year?
- Are senior members of staff suitably trained in the implementation of the LRF's emergency plans and ready to respond in the event of an emergency?
- Are emergency contact numbers for all key personnel, including councillors, available and up-to-date?
- Are councillors aware of their role in responding to and recovering from an emergency and have they had a recent up-to-date communications brief on emergencies to enable them to fulfil their community leadership role and be well informed for any media contact?
- Are up-to-date and fit for purpose emergency and business continuity plans in place and are they coherent with local resilience forum plans?
- Have lessons learnt from previous emergencies across the country been identified and plans modified accordingly?

# Appendix 3 – possible questions for scrutiny committees to consider

- How well is the council cooperating with other key organisations like the Environment Agency and the emergency services?
- Have risks to council buildings and facilities (eg schools, leisure centres, libraries, residential care homes, day centres) been properly identified and are mitigations and fall back plans in place?
- Is the council conducting active horizon scanning for new risks and working with the LRF to regularly update the risk register?
- Is the risk register sufficiently detailed and comprehensive, written in plain English and easily understandable by the general public?
- Is the council aware of the impact emergencies could have on local businesses and the local economy and does it have plans to mitigate the impact?
- Does the council have the wherewithal to be able to give advice to the commercial and voluntary sectors in the event of an emergency?
- Do plans include measures for preventing emergencies and for mitigating the impact of emergencies when they arise?
- Do plans reflect lessons learnt from previous emergencies across the country?
- Has the council appropriately considered plans for leading the recovery from emergencies that may occur?
- Have climate risks and opportunities been built into local growth plans?
- Has training been provided to councillors and has training offered been taken up?
- What assurance is there that the council has developed and practiced appropriate emergency and business continuity plans and are they coherent with the local resilience forum plans?
- When were the council's business continuity plans last tested and how frequently are such tests planned to be carried out?
- When was the last time the council participated in an exercise and when is the next exercise planned?
- When were response and recovery arrangements last reviewed to ensure that newly elected members and staff are fully briefed?
- What arrangements does the council have for scaling up the staff resource to not only support the response and recovery, but also maintain the delivery of front line services?
- Which officers have been appropriately trained to participate in coordination groups and is this sufficient to ensure that the council can participate fully in responding to and recovering from emergencies?

# Appendix 4 – useful references

## **Local authorities' preparedness for civil emergencies – a good practice guide for chief executives (Solace / MHLCG)**

[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/759744/181116\\_LA\\_preparedness\\_guide\\_for\\_cx\\_v6.10\\_\\_004\\_.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/759744/181116_LA_preparedness_guide_for_cx_v6.10__004_.pdf)

## **Responsibilities of responder agencies and others – government guidance**

[www.gov.uk/guidance/preparation-and-planning-for-emergencies-responsibilities-of-responder-agencies-and-others](http://www.gov.uk/guidance/preparation-and-planning-for-emergencies-responsibilities-of-responder-agencies-and-others)

## **Emergency preparedness – government guidance**

[www.gov.uk/government/publications/emergency-preparedness](http://www.gov.uk/government/publications/emergency-preparedness)

## **Emergency Response and Recovery: Non statutory guidance accompanying the Civil Contingencies Act 2004**

[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/253488/Emergency\\_Response\\_and\\_Recovery\\_5th\\_edition\\_October\\_2013.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/253488/Emergency_Response_and_Recovery_5th_edition_October_2013.pdf)

## **House of Commons briefing paper – dealing with civil contingencies**

<http://researchbriefings.files.parliament.uk/documents/CBP-8016/CBP-8016.pdf>

## **LGA severe weather resources**

[www.local.gov.uk/topics/severe-weather/flooding](http://www.local.gov.uk/topics/severe-weather/flooding)

[www.local.gov.uk/topics/severe-weather/heatwaves-information-councils](http://www.local.gov.uk/topics/severe-weather/heatwaves-information-councils)

[www.local.gov.uk/topics/severe-weather/cold-weather-plan-england](http://www.local.gov.uk/topics/severe-weather/cold-weather-plan-england)

## **LGA councillor briefing pack – resilient communities: ensuring your community is resilient to the impacts of extreme weather**

[www.local.gov.uk/councillor-briefing-pack-resilient-communities](http://www.local.gov.uk/councillor-briefing-pack-resilient-communities)

## **LGA guide for communicating during extreme weather**

[www.local.gov.uk/guide-communicating-during-extreme-weather](http://www.local.gov.uk/guide-communicating-during-extreme-weather)

## **LGA crisis communications – cyber attack**

[www.local.gov.uk/our-support/guidance-and-resources/comms-hub-communications-support/cyber-attack-crisis](http://www.local.gov.uk/our-support/guidance-and-resources/comms-hub-communications-support/cyber-attack-crisis)

## **LGA councillor's guide to cyber security**

[www.local.gov.uk/councillors-guide-cyber-security](http://www.local.gov.uk/councillors-guide-cyber-security)





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We consider requests on an individual basis.

# Resilience Standards for London Local Government



Draft for consultation

# Consultation guidance

## **Resilience Standards for London – Background**

In January 2018 a review was commissioned by the City of London Corporation on behalf of the Local Authorities' Panel. The objective of the review was to recommend the means by which London local government, comprising the thirty-two boroughs and the City of London Corporation, can individually and collectively assure their organisation's preparedness, particularly their capacity and capability, through a credible, transparent, efficient and cost-effective approach. The review set out a broad framework that supports a blended approach to assurance and contained fifteen recommendations including the development of new resilience standards for London local government. On 18<sup>th</sup> April 2018, the Local Authorities' Panel endorsed the review report and the recommended assurance framework.

The previous standards used were the Minimum Standards for London (MSL) which were introduced in 2007. The MSL comprised sixteen standards designed to ensure that all local authorities had the appropriate procedures and policies in place to support the London Local Authority Gold (LLAG) arrangements.

The following draft Resilience Standards for London are significantly different to the Minimum Standards for London and provide a very different approach to assurance. The standards are designed to lead to good outcomes and leading practice whilst supporting compliance with the Civil Contingencies Act 2004.

The Civil Contingencies Act 2004 establishes a clear set of roles and responsibilities for local responders; gives greater structure and consistency to local civil protection activity and establishes a sound basis for performance management at a local level. Local authorities are designated as Category 1 responders and are at the core of emergency response and recovery arrangements. Category 1 responders are subject to the full set of civil protection duties.

## **Current consultation, 14<sup>th</sup> January – 28<sup>th</sup> February**

This consultation is for the Officers and elected Members of the 32 London Boroughs and the City of London Corporation. A consultation with a broader range of stakeholders may take place once this phase is complete. It is anticipated that the standards will be piloted in a small number of boroughs from June 2019 where further refinement can take place.

The draft standards have been developed through engagement with a broad range of people across the London boroughs, including Directors, emergency planning managers and practitioners. An external stakeholder group was brought together to share their knowledge

and experience and to act as a critical friend. The group consists of representatives from the Ministry of Housing, Communities and Local Government, the Civil Contingencies Secretariat (Cabinet Office), London Councils, Local Government Association, Care Quality Commission and the Resilience Advisors Network (operating worldwide to support national and public bodies in civil protection and humanitarian activity). A survey was also sent out across London local government and selected partners. 38 responses from 20 boroughs were returned.

The content within each standard has been drawn from national government guidance and legislation, LGA guidance, London specific guidance and other publications and reports; examples include relevant British Standards and the Kerslake report.

The standards should be seen as part of a broader assurance framework for a local authority with the aim of continually improving performance across its emergency planning and resilience activities. The standards are designed to lead to good outcomes and possible leading practice, if they are embedded and used across an organisation; they are not a guarantee of assurance.

In designing the standards, it has been assumed the Corporate Leadership Team, or equivalent, will be the accountable body and that Services and departments will be responsible for the emergency planning and resilience arrangements in their respective areas. Emergency planning teams will continue to provide expertise, advice and guidance.

Assessing your organisation against the standards should not be seen as a bolt-on activity conducted once a year by the emergency planning team. It is intended for the appropriate Service, department or team to take ownership of the standard most relevant to them. You should be able to assess or measure progress against any standard (or part of it) at any time of the year as part of your business as usual arrangements.

Further information on how the standards will be assessed through a peer review process will be provided in due course.

The standards are designed to be progressive; continually improving performance by 'raising the bar' through review and evaluation of the standards. In time, leading practice could become good practice and new, more challenging leading practices introduced.

The standards will complement the National Resilience Standards produced, for use by Local Resilience Forums, by the Cabinet Office.

Each standard contains links to further information and guidance which is seen as the most relevant information available. There may be other reference material an organisation would like to refer to.

Each standard contains a 'Descriptor' (developing, established and advanced). The descriptor provides a framework for the Authority to reach a view on its current level of

performance, based on the evidence. These are intended as food for thought and to promote honest consideration of how developed an authority's approach is. It isn't intended that the descriptor is used as a judgement.

Before you fill out the questionnaire at the end of this document, please read the guidance and standards in full. This could take approximately one hour.

The standards have been designed to be used by a cross-section of teams across the organisation therefore a broader range of teams maybe interested in responding to this consultation. More than one response from each local authority is welcomed although you may consider it appropriate to complete the response as a group.

The deadline for completed responses is 28<sup>th</sup> February and they should be sent to [Robert.Ennis@cityoflondon.gov.uk](mailto:Robert.Ennis@cityoflondon.gov.uk)

**Would you like more information?**

Thank you for taking part in the consultation. If you would like more information or wish to clarify any point, then please email [Robert.Ennis@cityoflondon.gov.uk](mailto:Robert.Ennis@cityoflondon.gov.uk) and you will receive a response within three working days.

# Key assessment areas

## RISK ASSESSMENT

### Resilience Standard for London #1

Desired Outcome
<p>The local authority has a robust and collectively understood assessment of the most significant risks to the local area, based on how likely they are to happen and what their impacts might be. This information is used to inform a range of risk management decisions, including the development of proportionate emergency plans and preparations.</p>
Summary of legal duties (mandatory requirements)
<p>The Civil Contingencies Act (CCA) and accompanying regulations place a statutory obligation on all Category 1 responders to “from time to time assess the risk of an emergency occurring”. <a href="#">CCA 2004 Part 1, Section 2 (1)(a) duty</a>. See also <a href="#">CCA 2004 (Regulations 2005), Part 3</a>.</p> <p>In addition, under the CCA 2004 (Regulations 2005), Part 3, Section 18, a Category 1 responder must consider whether it is appropriate to share risk assessment information with another Category 1 responder in order to support and inform their risk management decisions.</p>
How to achieve good practice in this area
<ol style="list-style-type: none"><li>a. Undertaken a local risk assessment at least as regularly as new national assessments (every two years) or when associated guidance is issued.</li><li>b. There is an up to date risk register that fully reflects the local authority’s foreseeable risks. It is sufficiently detailed and comprehensive, written in plain English and understandable to the general public. It is readily available to the public.</li><li>c. The risk register contains specific local risks that may only require a response from the local authority or partners within the borough. It is not just a copy of the London risk register.</li><li>d. Considered the common consequences of identified risks (for example mass casualties, people requiring evacuation or shelter, loss of an essential service) to inform generic and flexible emergency plans.</li><li>e. The local authority is conducting active horizon scanning for new risks and is regularly updating its risk register accordingly.</li><li>f. Understands the diverse nature of the community it serves, and consults and engages with the community as part of its approach to community risk.</li><li>g. Processes are in place to update risk assessments following any major event or exercise to consider lessons learned about the impacts of that event.</li><li>h. The risk assessment considers the impact on local people, visitors and businesses.</li></ol>

## How to achieve leading practice in this area

- i. Taking account of “out of area” hazards including across authority and regional boundaries, which could affect the organisation and its locality.
- j. Sharing risk assessment information with neighbouring authorities with similar risk profiles in order to collectively improve understanding of risk impacts.
- k. Capture information about the impact of simultaneous events and the effect on the local area.
- l. A risk assessment for major incidents considers the impact on mental health to adults, children and young people, families and local authority responders.

## Guidance and supporting documentation

### **Statutory and overarching multi-agency guidance and reference from Government**

- National Risk Assessment (most recent edition at time of consultation is the 2016 NRA) available on [Resilience Direct](#).
- Local Risk Management Guidance (available on [Resilience Direct](#))
- [Emergency preparedness](#): Chapter 4 – local responder risk assessment (2012)

### **Relevant British, European and International Standards**

- [BS ISO 31000:2018 Risk Management - Guidelines](#)

### **Other recommended points of reference**

- [Business Resilience Planning Assumptions](#) (a publicly available example of how common consequence information is collated and conveyed)

Descriptor		
Developing	Established	Advanced
<p>The Authority is developing risk analysis processes to become more effective.</p> <p>The Authority is building up knowledge and understanding of its community and priorities.</p>	<p>A risk analysis process is in place and the Authority is well aware of the different risk groups representing the diversity within the local area.</p> <p>The Authority has regard to statutory responsibilities and national guidance but does not extend its process to reflect local circumstances. Leaders understand the nature of community risk.</p>	<p>A well informed and developed risk analysis process exists and the Authority is very aware of the diversity in the local area and takes active steps to inform itself about the distinctive needs and opportunities. It engages in discussion with the local community about community risk. Statutory guidance is fully implemented and is extended in a coherent way to reflect local circumstances.</p>

# GOVERNANCE ARRANGEMENTS – POLITICAL LEADERSHIP

## Resilience Standard for London #2

Desired Outcome
<p>A Local Authority that operates with effective political governance which enables the organisation to meet their duties under the Civil Contingencies Act, and to achieve local resilience objectives.</p>
Summary of legal duties (mandatory requirements)
<p>The Civil Contingencies Act (CCA) establishes the legislative framework for Category 1 responders, which includes London Borough Councils and the City of London. Further detail is set out in: <a href="#">Contingency Planning, Duty to Assess, Plan and Advise</a> (Section 2); <a href="#">Advice and Assistance to the Public</a> (Section 4); and <a href="#">General Measures</a> (Section 5). <a href="#">Emergency Preparedness</a> provides guidance on part 1 of the CCA and its associated regulations and non-statutory arrangements. <a href="#">Emergency Response and Recovery</a> sets out guiding principles for emergency response and recovery (Section 2.2), defines roles and responsibilities (Section 5.2).</p>
How to achieve good practice in this area
<ol style="list-style-type: none"><li>a. Define roles and responsibilities for political leaders and ward councillors, which is supported through induction, training and development and exercises.</li><li>b. Arrangements are in place to enable political scrutiny of emergency planning and resilience arrangements.</li><li>c. Make key policy decisions and consider recommendations from senior officers prior to, during or following a civil emergency.</li><li>d. The authority has the staff resources, to not only support the response and recovery, but also maintain the delivery of front line services.</li><li>e. Arrangements are in place for scaling up staff resources including mutual aid arrangements.</li><li>f. Discuss with the Chief Executive and senior officers the main risks to communities so key actions can be promoted and supported, which will increase resilience.</li><li>g. Support the work of the Borough Resilience Forum (BRF) in planning for emergencies and helping them to be aware of the particular needs of discrete groups and issues within communities.</li><li>h. Seek assurance that the authority not only has developed sufficient plans in conjunction with partners on the BRF, but also tests those plans and trains personnel by participating in regular exercises.</li><li>i. Ensure lessons are identified, addressed and shared with other appropriate bodies.</li><li>j. Encourage all councillors, including ward councillors, to participate in training and exercises so they are prepared to respond to an emergency and get involved in the recovery from it.</li><li>k. Explore with the Chief Executive and senior officers whether contracts with suppliers include clear provisions requiring comprehensive plans for continuing service provision in the event of a civil emergency and for assisting with the response to and recovery from an emergency as appropriate.</li></ol>

l. Elected members identify problems and vulnerabilities in their community that may require priority attention and feed them back to the relevant service or group, e.g. Recovery group.

**How to achieve leading practice in this area**

m. A policy framework has been developed and published, signed off by the Leader or directly elected Mayor, Portfolio Holder and Chief Executive setting out the Council’s statutory duties, responsibilities and expectations for the public in the event of a civil emergency.

n. Engage with Government departments, agencies and other authorities to shape national policy development and other initiatives that build more resilient communities.

o. The local authority is conducting active horizon scanning for new risks and working with the BRF to regularly update the risk register.

p. Arrangements have been made to enable close working with other local authorities in the event of an emergency (e.g. information sharing, shared communications plan, joint spokespeople, pool resources, etc).

**Guidance and supporting documentation**

**Statutory and overarching multi-agency guidance and reference from Government**

- [Emergency Preparedness \(2011-12\)](#)
- [Emergency Response and Recovery \(2013\)](#)
- [Central Government’s Concept of Operations \(2013\)](#)

**Relevant British, European and International Standards**

- [BSI 13500: 2014 Code of practice for delivering effective governance of organisations](#), British Standards Institution

**Supporting guidance and statements of good practice from professional authorities**

- [A Councillor’s Guide to Civil Emergencies \(Local Government Association, 2018\)](#)
- [Delivering Good Governance in Local Government, CIPFA \(SOLACE\) \(2016\)](#)

**Descriptors**

<b>Developing</b>	<b>Established</b>	<b>Advanced</b>
<p>The Authority is developing Governance processes to become more effective.</p> <p>The Authority is planning to or beginning to implement scrutiny and oversight arrangements. Members have limited input into preparedness and recovery arrangements including exercises.</p> <p>There is limited or no engagement with the Borough Resilience Forum.</p>	<p>Governance processes are in place and the Authority is well aware of its statutory responsibilities and associated national guidance.</p> <p>The Authority engages with the BRF and its partners, identifies community priorities and feeds this back into the BRF and the organisation. The Authority shares lessons learned from incidents and exercises with its partners.</p> <p>Elected Members, including Ward councillors are involved in training and exercises.</p>	<p>Governance processes are well developed and emergency planning and resilience is frequently discussed at the appropriate committees. Discussions are conducted in public and include preparedness, response and recovery arrangements for a civil emergency.</p> <p>The authority engages and collaborates with its community, with government departments and across borough borders. Challenging the status quo and horizon scanning is the norm.</p>

# GOVERNANCE ARRANGEMENTS – MANAGERIAL LEADERSHIP

## Resilience Standard for London #3

Desired Outcome
A Local Authority that operates with managerial leadership that drives the emergency planning and resilience agenda across the organisation. The organisation meets their duties under the Civil Contingencies Act and achieves local resilience objectives.
Summary of duties (mandatory requirements)
The Civil Contingencies Act (CCA) establishes the legislative framework for Category 1 responders, which includes London Borough Councils and the City of London. Further detail is set out in: <a href="#">Contingency Planning, Duty to Assess, Plan and Advise (Section 2)</a> ; Advice and Assistance to the Public (Section 4); and General Measures (Section 5). <a href="#">Emergency Preparedness</a> provides guidance on part 1 of the CCA and its associated regulations and non-statutory arrangements. <a href="#">Emergency Response and Recovery</a> sets out guiding principles for emergency response and recovery (Section 2.2), defines roles and responsibilities (Section 5.2).
How to achieve good practice in this area
<ol style="list-style-type: none"><li>a. Chief Executives and senior managers support Members in their emergency planning and resilience role and through all phases of a civil emergency. This support includes the ability to communicate with the public and media.</li><li>b. Organisational resilience and emergency planning are driven from the corporate team, owned across the organisation and fully embedded in service areas.</li><li>c. An emergency planning and resilience function that is appropriately funded through an agreed resourcing model, which enables it to support the strategy, work programme and wider organisation.</li><li>d. An agreed and resourced training programme for the managerial leadership across the organisation to support emergency planning and resilience objectives.</li><li>e. Inclusive, flexible and effective engagement at appropriate levels with Category 1 responder organisations, the business and voluntary sectors, neighbouring authorities and other stakeholders whose support and participation is necessary to achieve the organisation’s objectives.</li><li>f. The ability to authorise, activate and verify the support available through the London Local Authority Gold arrangements and mutual aid protocol.</li><li>g. A clearly defined process to determine the required levels of security clearance to enable information sharing in preparedness, response and recovery.</li><li>h. Arrangements for sharing and reviewing the activities which may be recognised as good or leading practice.</li><li>i. Arrangements to proactively, and in a timely manner, identify and share lessons following major incidents and exercises with the wider resilience community.</li></ol>

## How to achieve leading practice in this area

j. Proactive engagement across local authority, regional and national boundaries as appropriate, to plan jointly for emergencies, share relevant information, train and exercise, hold joint development workshops and develop mutual aid arrangements.

k. Continuously improve through commissioning peer reviews or other means of independent validation of capabilities and emergency readiness.

l. Extend the organisational focus and influence beyond its usual partnership boundaries to engage with related agendas, which may include security, safety, sustainability, social cohesion, and engagement within wider national and international resilience initiatives.

## Guidance and supporting documentation

### ***Statutory and overarching multi-agency guidance and reference from Government***

- [Emergency Preparedness \(2011-12\)](#)
- [Emergency Response and Recovery \(2013\)](#)
- [Central Government’s Concept of Operations \(2013\)](#)

### ***Thematic multi-agency guidance from Government***

- [The role of Local Resilience Forums: A reference document \(2013\)](#)

### ***Relevant British, European and International Standards***

- [BSI 13500: 2014 Code of practice for delivering effective governance of organisations](#), British Standards Institution

### ***Supporting guidance and statements of good practice from professional authorities***

- [Delivering Good Governance in Local Government, CIPFA \(SOLACE\) \(2016\)](#)
- [Local authorities’ preparedness for civil emergencies: a good practice guide for Chief Executives Solace and MHCLG \(2018\)](#)

Descriptors		
Developing	Established	Advanced
<p>The Corporate Leadership team are interested and engaged with the emergency planning agenda. The engagement across other management levels is sporadic with an ongoing reliance on a limited number of key people.</p> <p>Limited involvement in exercises and training across the organisation. Emergency planning and resilience is seen as a responsibility that rests with the Emergency planning team.</p>	<p>The Corporate Leadership team promotes a culture of ‘emergency planning and resilience’ is everyone’s business. This philosophy is embedded across the organisation; managers at all levels encourage this within their teams.</p> <p>Managers across the organisation are involved in training and exercises and ensure lessons identified, through exercises and incidents, are implemented and shared with partners.</p>	<p>Emergency planning and resilience is embedded across the organisation and managers at all levels are proactive in seeking further and continuous improvement.</p> <p>The organisation engages and collaborates with its community, partners, with government departments and across borough borders. Challenging the status quo and horizon scanning is the norm.</p>

# CULTURE – ORGANISATIONAL ENGAGEMENT

## Resilience Standard for London #4

Desired Outcome
<p>The Local Authority has a positive culture towards Emergency Planning and resilience which is embedded and seen as ‘everyone’s business’. Capacity and resilience are developed across the organisation ensuring the responsibility of plans and decision making is at the appropriate level, building experience and knowledge across the organisation.</p>
Summary of legal duties (mandatory requirements)
<p><a href="#">The Public Sector Equality Duty: Equality Act 2010</a> places a duty on public bodies and others carrying out public functions. It ensures that public bodies consider the needs of all individuals in shaping policy, in delivering services, and in relation to their own employees. It encourages public bodies to understand how different people will be affected by their activities so that policies and services are appropriate and accessible to all and meet different people’s needs.</p>
How to achieve good practice in this area
<ul style="list-style-type: none"><li>a. Strategic and operational responsibilities support the Authority to become more resilient.</li><li>b. The organisational culture is sufficiently open and transparent to allow critical risks that are recognised at low level to be escalated appropriately and that top management pass relevant information down to the appropriate level.</li><li>c. Those who are responsible for delivering greater organisational resilience are empowered to work across organisational boundaries and able to speak to top management easily.</li><li>d. Emergency Planning and Resilience is promoted across the organisation and is seen as everyone’s business.</li><li>e. Directors and Heads of Service take ownership of their own business continuity plans and understand their role in preparing for, responding to and recovering from a civil emergency. This approach complements and supports the core role of the emergency planning team.</li><li>f. Staff are involved in emergency response roles from across the organisation and there is regular internal staff communications.</li><li>g. There is active engagement in local, sub-regional and regional Emergency Planning activities (e.g. Borough Resilience Forum, Sub-Regional Group and LAP, CELC and Leader’s Committee)</li><li>h. The same priority is given to ‘recovery’ as the ‘preparedness’ and ‘response’ phases of an emergency.</li><li>i. Commissioning of public services include a requirement that organisations tendering for contracts meet the authority’s resilience requirements and that providers share information and data on the impact of disruptions such as severe weather or industrial action.</li><li>j. Projects always account for resilience to ensure that these enhance and do not weaken capability.</li><li>k. Communications teams should have a role at the heart of emergency planning and resilience.</li><li>l. Teams actively build strong networks across their own organisation, with other authorities’ teams and with outside organisations such as other Category 1 responders as well as community groups.</li></ul>

- m. Core teams, including the Communications team are involved in training and exercising, particularly where elected Members are involved.
- n. Continuously improve through sub-regional challenge sessions, commissioning peer reviews or other means of independent validation of capabilities and emergency readiness.

**How to achieve leading practice in this area**

- o. There is a positive HR culture for resilience, including consideration for succession planning.
- p. Emergency Planning and Business Continuity Planning requirements, which are proportionate and role-appropriate, are contained within job descriptions, individual appraisals. Job descriptions include the expectations that, where available, staff will support the council and their community during times of emergency outside normal working hours.
- q. Communications teams support each other during a multi-borough event through pooling or sharing resources.
- r. Focus and influence beyond its usual partnership boundaries to engage with related agendas, which may include security, safety, sustainability, social cohesion, and engagement within wider national and international resilience initiatives.
- s. Engage the community through public discussions at Council Committees on the authority's capabilities and performance. Publish peer review reports and action plans to support continuous improvement.

**Guidance and supporting documentation**

***Statutory and overarching multi-agency guidance and reference from Government***

- [The Public Sector Equality Duty: Equality Act 2010](#)

***Recommended points of reference***

- [Local authorities' preparedness for civil emergencies: a good practice guide for Chief Executives Solace and MHCLG \(2018\)](#)
- An assurance framework for London Local Government: providing individual and collective assurance (Sean Ruth 2018)

<b>Descriptors</b>		
<b>Developing</b>	<b>Established</b>	<b>Advanced</b>
<p>Engagement across the organisation is limited or developing, with an ongoing reliance on a limited number of key people.</p> <p>Limited involvement in exercises and training across the organisation. Emergency planning and resilience is seen as a responsibility that rests with the Emergency planning team.</p>	<p>There is a culture of 'emergency planning and resilience' is everyone's business. This philosophy is embedded across the organisation.</p> <p>Individuals and teams take ownership within their own areas of responsibility and are involved in emergency response where their service is impacted.</p> <p>Corporate services, such as Communications, are fully engaged in emergency planning work.</p>	<p>There is a culture of 'emergency planning and resilience' is everyone's business. This philosophy is embedded across the organisation and extends beyond to partners and the community, the business and voluntary sector.</p> <p>Public discussions are encouraged and take place to promote wider inclusion and continuous improvement.</p> <p>Collaboration with other authorities and partners is the norm.</p>

# CAPABILITIES, PLANS AND PROCEDURES

## Resilience Standard for London #5

Desired Outcome
<p>The Local Authority has risk-based emergency plans which underpin an agreed, clearly understood, and exercised set of arrangements to reduce, control or mitigate the effect of emergencies in both the response and recovery phases.</p>
Summary of legal duties (mandatory requirements)
<p>The <a href="#">Civil Contingencies Act (CCA)</a> requires Category 1 responders to maintain effective plans for the delivery of their functions to prevent emergencies. They are also required to publish all, or parts, of their emergency plans where that can assist local communities. The CCA requires an inclusive approach to contingency planning, including Category 2 responders and voluntary organisations, and the recommendation to have regard to local communities. A related duty is the requirement to maintain arrangements to warn and inform the public about emergencies.</p>
How to achieve good practice in this area
<ol style="list-style-type: none"><li>a. Plans for risk-based, and supporting capabilities reflect the identified risks as prioritised within the local community risk register and the London risk register as appropriate.</li><li>b. Emergency plans are approved at an executive level and integrated across the wider organisational structure.</li><li>c. Plans deal with disruption, the capability to respond to unseen events and the ability to successfully adapt when the established plan does not fit what is being experienced.</li><li>d. Plans clearly identify, or direct to procedures to identify, vulnerable individuals, groups or businesses that may be at particular risk.</li><li>e. Plans are developed in collaboration with key stakeholders, using expertise from across the local authority and other partners as required.</li><li>f. The local authority provides sufficient resources to support the response to, and recovery from, emergencies across the range of relevant planning assumptions.</li><li>g. Plans enable the local authority to anticipate rising tide emergencies and take preventative or pre-emptive actions as required.</li><li>h. Plans include an escalation process for engaging wider involvement, including mutual aid, national capabilities, the voluntary sector, and convergent volunteers (council staff).</li><li>i. Plans which have a clear activation and notification process and include an agreed process for de-activation and closedown of response and recovery activity.</li><li>j. Plans have clear and agreed arrangements for communication with all stakeholders and the public across the full range of media.</li><li>k. Protocols for the establishment, at an early stage in the emergency response, of key work stream and recovery coordinating groups, with guidance for leaders and practitioners on managing the transition through response to recovery.</li><li>l. Plans define post-event procedures, include a formal debrief process, the identification of lessons and use Local Authorities Learning and Implementation Protocol to record and share both lessons identified and leading practice.</li></ol>

## How to achieve leading practice in this area

m. Share plans and procedures and consult with neighbouring local authorities, in order to share good practice, enhance cross-border awareness and interoperability of response and recovery arrangements.

n. Procedures are in place for the encouragement, coordination, and support of convergent volunteers (citizens).

o. Plans consider the needs of the community in extended periods of response and recovery, with a clear understanding of how those needs might evolve and will continue to be met.

p. Plans that “sign-post” the responder, rather than serving as an all-inclusive or stand-alone resource, and connect to a wider set of complementary resources.

q. Plans exist in a form that allow them to be accessible to the public, enabling the public to understand the risk to them, and have a means of engaging in a dialogue with the plan owners.

r. Emergency plans for major incidents should incorporate comprehensive contingencies for the provision of mental health support to adults, children and young people, families and responders.

## Guidance and supporting documentation

### ***Statutory and overarching multi-agency guidance and reference from Government***

- [Emergency Preparedness](#) (Cabinet Office, 2011-12) – chapters 5,6 and 7
- [National Recovery Guidance](#) (Cabinet Office, 2013)
- [HSE A guide to the Radiation](#) (Emergency Preparedness and Public Information) Regulations 2001
- [HSE A guide to the Pipeline Safety Regulations 1996](#)
- [HSE The Control of Major Accident Hazards Regulations 2015](#)

Descriptors		
Developing	Established	Advanced
<p>Arrangements for preparedness are being implemented based on the community risk profile.</p> <p>Engagement of partners, staff and public is being developed and implemented.</p>	<p>Arrangements for preparedness are established and implemented based on the community risk profile. Clear responsibility to maintain and improve these arrangements is assigned.</p> <p>There is evidence of staff and stakeholder consultation and involvement in maintaining and improving incident planning arrangements.</p>	<p>Preparedness is based on multi-agency collaboration and cooperation which demonstrates safe and effective arrangements.</p> <p>These arrangements ensure that operational procedures are comprehensively underpinned by risk assessment. All partners, staff and public are engaged effectively in maintaining and improving incident planning arrangements.</p>

# RESOURCES, ROLES AND RESPONSIBILITIES

## Resilience Standard for London #6

Desired Outcome
<p>The Local Authority has sufficient resources in place to support emergency planning and organisational resilience arrangements and has the ability to scale up staff resources, not only to support the response and recovery, but also to maintain the delivery of front-line services.</p>
Summary of legal duties (mandatory requirements)
<p>The Civil Contingencies Act (CCA) establishes the legislative framework for Category 1 responders, which includes London Borough Councils and the City of London. Further detail is set out in: <a href="#">Contingency Planning, Duty to Assess, Plan and Advise (Section 2)</a>; Advice and Assistance to the Public (Section 4); and General Measures (Section 5). <a href="#">Emergency Preparedness</a> provides guidance on part 1 of the CCA and its associated regulations and non-statutory arrangements. <a href="#">Emergency Response and Recovery</a> sets out guiding principles for emergency response and recovery (Section 2.2), defines roles and responsibilities (Section 5.2).</p>
How to achieve good practice in this area
<ul style="list-style-type: none"><li>a. Gold and silver levels are able to set, monitor and amend a working strategy (Gold) and tactical plan (Silver) for the emergency response.</li><li>b. Gold and Silver levels can make and record decisions in a consistent manner within a defined and documented decision making process, such as the JESIP Joint decision making model.</li><li>c. Decisions, which are reasoned, lawful and justifiable, are recorded in writing and are clear, intelligible and accurate.</li><li>d. Directors and Heads of Service understand their role in preparing for, responding to and recovering from a civil emergency and take ownership of their own business continuity plans.</li><li>e. A Director is a member of the local authority sub-regional group to achieve greater accountability across local authorities and support improved engagement from fellow senior managers in their own authority.</li><li>f. The role of the sub- regional group includes coordinating multi-borough exercises, scrutiny and challenge of self-assessments and peer reports, providing assurance of performance within the sub-region, identifying and sharing lessons learned and discharging improvement plans.</li><li>g. The appropriate resources have been targeted and distributed across the organisation to meet identified priorities and reduce risks.</li><li>h. Resources, with the appropriate skills and competency, are sustainable in the medium to long term to ensure risk can continue to be targeted.</li><li>i. The authority is able to maintain a sufficient number of staff for core emergency response roles to respond for 48 hours (as set out in Resilience Standard for London 6a). These staff are suitably trained, equipped and empowered to fulfil their respective role.</li><li>j. Arrangements to provide appropriate resources, including adequate equipment and personal protective equipment (PPE), to meet predictable levels of operational activity; the means to supplement those resources in the event of extraordinary need, such a major incident, are in place.</li></ul>

- k. A control centre can be established and maintained for the duration of an incident including the maintenance of an incident (BECC) log, detailing key events and actions during an incident.
- l. The authority is able to open and operate a Humanitarian Assistance Centre within the agreed timescale of 72 hours.
- m. Be able to communicate with councillors, staff and members of the public via the most appropriate medium, which includes social media, council website, news media and face-to-face.
- n. A communication response and monitoring capability is available within 1 hour and can be maintained 24/7.

#### How to achieve leading practice in this area

- o. Convergent volunteer council staff can be contacted, coordinated and re-tasked to support emergency response and recovery activities.
- p. The authority is able to deploy core departmental services in response to an emergency for at least the first 48 hours of an incident while maintaining the provision of core services to residents outside the emergency response.
- q. Suitable emergency centre locations have been identified and arrangements are in place to use these locations. There is sufficient capacity to open (simultaneously within 3 hours) and operate (for 48 hours) a rest centre, family and friend’s reception centre and a survivor reception centre.
- r. The authority has a communications strategy to enable the scaling up and sustainability (for a protracted incident) of communications arrangements for the purpose of warning and informing members of the public about the risks of the emergency and the available (council) support services using a range of media.

#### Guidance and supporting documentation

##### ***Statutory and overarching multi-agency guidance and reference from Government***

- [Emergency Response and Recovery, Chapter 4 \(Cabinet Office 2013\)](#)
- [Emergency Preparedness \(Cabinet Office 2013\)](#)
- [Concept of Operations for Emergency Response & Recovery, London Local Authorities 2018.](#)

##### ***Thematic multi-agency guidance from Government***

- [JESIP Joint Decision Making Model](#)

Descriptor		
Developing	Established	Advanced
<p>The local authority is developing its staff resource pool to ensure it has the capacity, with the appropriate knowledge, skills and experience. The ability to scale up resources whilst managing business as usual is untested and there may be some reliance on mutual aid or partner arrangements.</p>	<p>The staff resources are in place across the organisation with the ability to scale up during an emergency. The skills, knowledge and experience are in place and has been tested through an exercise or incident. Local facilities, such as a BECC, as well as sub-regional structures are established and</p>	<p>The authority has an enhanced resource model based upon the model set out in the attached sub-set which is supplemented by a coordinated cadre of volunteers. Core services, including communications, can deploy for a protracted period whilst managing business as usual.</p>

	delivering good outcomes.	
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## RESOURCES, ROLES AND RESPONSIBILITIES

### RSL 6a -Quantitative data, a sub-set to Resilience Standard for London #6

Desired Outcome		
The Local Authority has access to sufficient resources with the appropriate experience, skills and knowledge to support emergency planning and organisational resilience arrangements and has the ability to scale up staff resources to support the response and recovery.		
Summary of legal duties (mandatory requirements)		
There are no mandatory requirements to support this sub-set.		
Local authorities may wish to consider the following requirements in order to satisfy themselves they can maintain the required support to their communities in the event of a protracted civil emergency.		
The authority is able to deploy core departmental services in response to an emergency for at least the first 48 hours of an incident. These services may include, Communication, Highways, Building Control, Environmental Health, Social Care.	<input type="checkbox"/> yes	<input type="checkbox"/> no
The authority is able to maintain a sufficient number of staff* for core emergency response roles to respond for 48 hours. These staff are suitably trained, equipped and empowered to fulfil their respective role.  1 Council Gold 1 Council Silver 2 Loggist (one for Council Gold, another for Council Silver) 1 LALO 1 BECC Manager 4 BECC staff (1 per role: BECC Message Handler; BECC Loggist; BECC Info Officer; BECC Officer) 1 Communications Link Officer Service Link Officer (4 trained in each department) Resilience Advisor (varies by the size of the Emergency Planning team)  * Staff numbers are based on an 8-hour shift.	<input type="checkbox"/> yes	<input type="checkbox"/> no
The borough has identified suitable emergency centre locations across its area and has in place arrangements to use these locations	<input type="checkbox"/> yes	<input type="checkbox"/> no
The authority is able to open and operate a Rest Centre for 200 people (open within 3 hours) for 48 hours. Also, support the Police in their operation of a Survivor Reception Centre and Family and Friends Reception Centre.  Minimum number of trained staff* for the combined requirements of SRC, RC and FFRC:  3 Emergency Centre Managers An appropriate number of Emergency Centre Officers dependent upon the circumstances.  * Staff numbers are based on an 8-hour shift.	<input type="checkbox"/> yes	<input type="checkbox"/> no

<p>The authority is able to open and operate a Humanitarian Assistance Centre within the agreed timescale of 72 hours.</p> <p>Minimum number of trained staff for the HAC:  1 Senior HA Officer  1 Emergency Centre Manager  An appropriate number of staff dependent upon the circumstances.</p>	<input type="checkbox"/> <input type="checkbox"/> yes no
<p>The authority is able to establish and maintain a control centre for the duration of an incident.</p> <p>Minimum staffing: BECC Manager and BECC Officer.  Full staffing: BECC Message Handler; BECC Loggist; BECC Info Officer; BECC Officer; Communications Link Officer; Service Link Officer.</p>	<input type="checkbox"/> <input type="checkbox"/> yes no
<p>The authority is able to make an appropriately authorised bilateral or multilateral mutual aid request within 2 hours of identifying the need for support.</p> <p>Multilateral mutual aid is disseminated across London by the LLACC. The LLACC collates responses, which are passed back to the requesting borough.</p>	<input type="checkbox"/> <input type="checkbox"/> yes no
<p>The authority is able to activate the following roles, for the duration of the on-call period, in the times specified:</p> <p>Local Authority Liaison Officer to forward command point (60 minutes)  Local Authority Gold to SCG (2 hours)  Deputy Local Authority Gold to SCG (2 hours)  Executive Officer/Loggist (2 hours)</p>	<input type="checkbox"/> <input type="checkbox"/> yes no
<p>The Authority has the capability to mobilise transport and staff to move up to 200 people within 3 hours of identification of need.</p>	<input type="checkbox"/> <input type="checkbox"/> yes no
<p>The Authority has considered appropriate local venues available to shelter up to 5000 people.</p>	<input type="checkbox"/> <input type="checkbox"/> yes no
<p>The Authority can provide evidence of those people who have been appropriately trained.</p> <p>The Authority can provide evidence of the frequency of exercises and the people who have taken part.</p>	<input type="checkbox"/> <input type="checkbox"/> yes no  <input type="checkbox"/> <input type="checkbox"/> yes no
<b>Guidance and supporting documentation</b>	
<p><b><i>Overarching guidance and reference material</i></b></p> <ul style="list-style-type: none"> <li>• Concept of Operations for Emergency Response &amp; Recovery, London Local Authorities 2018</li> <li>• <a href="#">London Resilience Forum website - Planning for Emergencies</a></li> </ul>	

# PARTNERSHIPS

## Resilience Standard for London #7

Desired Outcome
<p>The Local Authority demonstrates a high level of partnership working and interoperability between itself and all emergency responder and supporting organisations, as a means to ensure an inclusive, collaborative approach to Integrated Emergency Management.</p>
Summary of legal duties (mandatory requirements)
<p>The statutory guidance <a href="#">Emergency Preparedness</a> sets out the duties on Category 1 and 2 responders to cooperate (Chapter 2) and to share information (Chapter 3), and further civil protection duties which fall on Category 1 responders, including risk assessment, (Chapter 4) emergency planning (Chapter 5) and communicating with the public (Chapter 7).</p> <p>The non-statutory guidance <a href="#">Emergency Response and Recovery</a>, which complements Emergency Preparedness, describes the multi-agency framework for responding to and recovering from emergencies. The Joint Emergency Services Interoperability Principles (JESIP), <a href="#">Joint Doctrine: Interoperability Framework 2016</a> publication is a non-statutory complement to the guidance identified above.</p>
How to achieve good practice in this area
<ol style="list-style-type: none"><li>a. The Authority is represented on the Borough Resilience Forum (BRF) at the appropriate level and positively engages with its partners.</li><li>b. The outputs from the BRF are assessed and incorporated into the organisation.</li><li>c. Understand the critical interdependencies, both internal and external, and actively consider these when making decisions.</li><li>d. Senior Managers regularly engage in strategic discussions, with senior managers and Chief Officers from partner organisations, on emergency response and resilience activities.</li><li>e. Considers the future planning and resilience of partner agencies (e.g. in terms of planning, transport and regeneration) that potentially change community risk.</li><li>f. Embedded the principles of joint working in all multi-agency arrangements, with the objective of normalising interoperability across the activities of Integrated Emergency Management.</li><li>g. A common understanding of local risks, partner agencies' capabilities, limitations, priorities and working practices, in order to facilitate an efficient, effective and coordinated joint response to incidents of varying levels of severity and scale.</li><li>h. Adopted the Joint Decision Model to support joint decision making in multi-agency groups.</li><li>i. Established and resourced a multi-agency training and joint exercising programme to embed and then validate interoperability principles and practices across responders and responder agencies, at strategic, tactical and operational levels. Training is conducted by suitably qualified and experienced people.</li><li>j. A clearly defined and commonly understood plan that enables the local authority, with partners, e.g. SCG, to communicate to the public with a single voice during an incident.</li><li>k. Clearly defined arrangements for debriefing in a partnership environment e.g. SCG, following incidents and exercises to enable learning and continuous improvement.</li></ol>

l. A clear understanding of other organisations’ roles including the role of the Government Liaison Officer (GLO) and wider Government Liaison Team (GLT) and the interface with Central Government.

**How to achieve leading practice in this area**

m. Arrangements to proactively, and in a timely manner, identify and share lessons and leading practice following major incidents and exercises with the wider resilience community using the Local Authorities Learning and Implementation Protocol.

n. Learning and development strategies that specify commanders, control room managers/supervisors and on call officers attend a multi-agency course every 3 years.

o. An auditable database of multi-agency training and exercising which records when responders receive training, take part in exercises and when they are due refresher training.

p. Developing strong relationships with the business and voluntary sector organisations, which includes understand their capabilities, sharing risk assessments, establishing arrangements for joint training, exercising and sharing lessons learned.

**Guidance and supporting documentation**

***Statutory and overarching multi-agency guidance and reference from Government***

- [Emergency Preparedness \(Cabinet Office, 2011-12\)](#)
- [Emergency Response and Recovery \(Cabinet Office, 2013\)](#)
- [Central Government’s Concept of Operations CONOPs \(Cabinet Office, 2013\)](#)

***Thematic multi-agency guidance from Government***

- [Joint Doctrine: Interoperability Framework 2016](#)

<b>Descriptor</b>		
<b>Developing</b>	<b>Established</b>	<b>Advanced</b>
Engagement with partners is limited to those within the organisation who sit on the Borough Resilience Forum.	The authority is very engaged with key partners and particularly those who sit on the Borough Resilience Forum. This engagement extends across the strategic, tactical and operational areas of responsibility.	Engagement with partners extends beyond those on the Borough Resilience Forum. These may include Category 2 responders and the business and voluntary sector.
Partnership working in emergency planning across the organisation, particularly at strategic level, is being developed.	There is a common understanding of risks facing partners as well as each other’s roles, responsibilities and capabilities.	A multi-agency agency database exists to record and verify training and competency.
There is limited understanding of partners capabilities, or the interdependencies between organisations, and these are not considered during planning or when making operational decisions.	Training, exercising and evaluation occurs across a range of partners.	Lessons identified through incidents and exercises are identified and shared with this broader range of partners.

# TRAINING, EXERCISING AND EVALUATION

## Resilience Standard for London #8

### Desired Outcome

Members and officers across the organisation are competent to fulfil their roles in emergency preparedness, response and recovery. The authority develops and assures their resilience capabilities and arrangements through an exercise programme that is risk-based. Lessons learnt from previous exercises and incidents have been identified and plans modified accordingly.

### Summary of legal duties (mandatory requirements)

[The Civil Contingencies Act \(2004\)](#) Regulations require Category 1 responders to include provision for the training and exercising of staff or other persons in emergency plans, business continuity plans and arrangements to warn, inform and advise the public. 'Other persons' could include contractors with a role in the plans. All those within an organisation who may be involved in planning for, responding to and recovering from an emergency should be appropriately prepared. This requires a clear understanding of plans, their roles and responsibilities and how they fit into the wider picture.

### How to achieve good practice in this area

- a. A training and development programme is in place to build the organisation's capability for resilience by developing appropriate competencies among key employees, services and councillors against a range of operational and strategic scenarios. This includes induction programmes with relevant emergency planning and resilience content for Members and staff.
- b. Training addresses all roles within the plans including senior leaders (e.g. Directors, elected members and the Mayor).
- c. A comprehensive joint exercise programme exists to enable key services to maintain competency for dealing with cross-borough incidents or major incidents which require a multi-agency response.
- d. Exercises test the organisation's plans and procedures which considers local, regional and national risks.
- e. Exercising tests local authority capacity (e.g. staffing levels and the impact of holiday periods) and capability (e.g. evacuation and shelter, warning and informing, coordinating the voluntary sector and spontaneous volunteers).
- f. The authority learns by identifying the lessons of events and acting on them in order to change structure, activities and behaviours. Lessons learnt from previous emergencies across the country, and where appropriate from overseas, have been identified.
- g. A comprehensive debrief and review process is in place for operational incidents, with multi agency involvement if appropriate; this is used effectively to inform policies and practices across the organisation and allow any necessary change to be embedded.
- h. Arrangements exist to evaluate the training and development of personnel to ensure that it is effective and skills are maintained, people are developed and remain competent within their role.
- i. Competence can be quickly verified when sharing staff with other authorities.

## How to achieve leading practice in this area

- j. The authority creates a safe learning environment that will enable confident, no-fault learning across the range of its training, exercising and development activities.
- k. Build resilience by training second teams and volunteers that may be called upon to support primary personnel in the event of concurrent or long-running events, or as part of organisations' business continuity planning.
- l. Specific exercising of recovery arrangements, including play by senior managers, to rehearse and validate their roles, including the interplay with national recovery management structures.
- m. Establish clear criteria to assess the impact of training and development for both individuals and organisations and shares the results of any evaluation with relevant stakeholders.

## Guidance and supporting documentation

### **Statutory and overarching multi-agency guidance and reference from Government**

- [Emergency Preparedness](#) (Cabinet Office, 2011-12) especially chapters five, six and seven
- [Emergency Response and Recovery](#) (Cabinet Office, 2013)
- [JESIP Joint Doctrine: the interoperability framework](#) (Edition 2, 2016)
- [National Recovery Guidance](#) (Cabinet Office, 2013)

### **Single-agency guidance from Government and professional authorities**

- [Local authorities' preparedness for civil emergencies: a good practice guide for Chief Executives Solace and MHCLG](#) (2018)

### **Relevant British (BSI), European (CEN) and International (ISO) Standards**

- [PD 25666:2010 Business continuity management – Guidance on exercising and testing for continuity and contingency programmes](#)
- [BS11200 : 2014 Crisis Management: guidance and good practice](#)
- [BS ISO 22398:2013 Societal security – Guidelines for exercises](#)

### **Supporting guidance and statements of good practice from professional authorities**

- [Emergency Planning College \(2016\). Developing and Delivering Exercises](#)

Descriptors		
Developing	Established	Advanced
<p>Training and exercise programmes are being developed to provide realistic training scenarios for staff and Members across the authority.</p> <p>Lessons are being identified but not necessarily actioned throughout the organisation. Debrief and evaluation processes are being enhanced or introduced with the aim of changing policy, procedures, working arrangements and behaviours.</p>	<p>An induction, training and exercise programme is in place for key employees, services and elected Members across the authority.</p> <p>There is a comprehensive exercise programme, that tests capacity and capability, with in-built debrief and evaluation processes. Incidents are evaluated to identify and learn lessons and actions are implemented.</p> <p>The authority looks beyond its boundary to identify learning.</p>	<p>The authority has extended its training and exercise programme to support the development of volunteers to improve capacity and organisational resilience.</p> <p>The 'recovery' phase of a civil emergency is tested through exercising and includes external partners, other authorities and government departments.</p> <p>Lessons learned are shared with external stakeholders where appropriate.</p>

# BUSINESS CONTINUITY

## Resilience Standard for London #9

### Desired Outcome

The Local Authority is able to demonstrate a high level of resilience in their critical functions and emergency response and recovery capabilities.

### Summary of legal duties (mandatory requirements)

[The Civil Contingencies Act \(2004\)](#) requires the local authority to maintain plans to ensure that they can continue to deliver their functions in the event of an emergency as far as is reasonably practicable, and this duty relates to all critical functions, not just their emergency response functions. There must be arrangements for reviewing and exercising to ensuring the business continuity plans are current and effective and arrangements for the provision of training to those involved in implementing the plan. They are also required to publish aspects of their business continuity plans making this information available for the purposes of dealing with emergencies. Local authorities are required to provide advice and assistance to businesses and voluntary organisations about business continuity management.

### How to achieve good practice in this area

- a. Business continuity plans and arrangements are in place that are current and aligned to the ISO 22301 standard.
- b. Business continuity is appropriately embedded within the organisation in order that critical functions, emergency response and recovery capabilities are highly resilient. Account is taken of links and interdependencies between Services across the organisation.
- c. Key business continuity personnel are suitably qualified and experienced.
- d. Information is shared with other responder organisations in order to understand their respective business continuity plans and arrangements, and also vulnerabilities and dependencies that may become relevant in the event of disruption.
- e. Robust arrangements are in place for the validation of business continuity plans and contingency arrangements for critical functions and emergency response and recovery capabilities.
- f. Contractors and providers, including their supply chains, understand the civil resilience risks for the authority's area and have robust business continuity arrangements, especially for services for which the authority has a statutory duty.
- g. Provider's emergency plans and procedures, including business continuity arrangements for specific services are fit for purpose and up to date. They consider specific risks and scenarios such as disruption due to severe weather or industrial action.
- h. The provider can put adequate resourcing plans in place, particularly to cover short or no notice incidents. Plans consider recovery timescales that are acceptable to both the provider and commissioner.
- i. Service users know how they can contact the provider or the local authority in an emergency, both during a normal working day and out of hours.
- j. Providers understand any responsibilities that may be imposed on them during an emergency

as set out in local emergency plans.

k. Where Providers deliver contracts to multiple authorities, the authority is aware of the implications during prolonged or wide spread emergencies (because of increased demand for services or resources) and have contingency arrangements in place.

l. The authority provides business continuity advice and assistance to businesses and voluntary organisations.

**How to achieve leading practice in this area**

m. Invest in the professional qualification and continuous professional development of key business continuity personnel.

n. Facilitating independent assurance, and where appropriate certification, of their business continuity plans and arrangements against ISO22301.

o. Incorporating business continuity elements and considerations into exercises in order to robustly test vulnerabilities and validate the resilience of local capabilities. Testing or exercising of business continuity arrangements of contractors is in place.

p. Enable other authorities to have access to assets and resources in the event of disruption such as loss of premises.

**Guidance and supporting knowledge**

**Statutory and overarching multi-agency guidance and reference from Government**

- [Emergency Preparedness](#) (Cabinet Office, 2011-12) (especially Chapter 6)
- [Emergency Response and Recovery](#) (Cabinet Office, 2013)

**Relevant British (BSI), European (CEN) and International (ISO) Standards**

- [ISO 22301 Business Continuity Management](#)

**Supporting guidance and statements of good practice from professional authorities**

- [Business Continuity Institute Good Practice Guidelines \(2018\)](#)
- [London Resilience – Preparing your Business \(2018\)](#)
- [Local authorities’ preparedness for civil emergencies: a good practice guide for Chief Executives Solace and MHCLG \(2018\)](#)

**Descriptors**

<b>Developing</b>	<b>Established</b>	<b>Advanced</b>
<p>Business continuity plans are in place in some parts of the organisation but not routinely tested. Contingency arrangements are not clearly understood.</p> <p>Providers and contractors are not aware of their responsibilities or have not implemented contingency arrangements that support the authority.</p>	<p>Business continuity plans are in place across the organisation and are tested to support resilience and contingency arrangements.</p> <p>Contractors and providers have business continuity arrangements and they are aware of their role within an emergency.</p> <p>Information is provided to service users during an emergency.</p> <p>Advice is provided to businesses and the voluntary sector on BCM.</p>	<p>Business continuity plans and contingency arrangements for the organisation, contractors and providers are tested.</p> <p>Key business continuity people have appropriate qualifications and professional development.</p> <p>There is independent validation or certification through ISO 22301 in place.</p>



# COMMUNITY RESILIENCE

## Resilience Standard for London #10

Desired Outcome
<p>The Local Authority has a strategic and coordinated approach to activity that enables individuals, businesses, community networks and voluntary organisations to behave in a resilient way and act to support other members of the public. Community resilience considerations and the voluntary capabilities of all these partners are integrated into existing emergency management plans.</p>
Summary of legal duties (mandatory requirements)
<p>Duties set out in the <a href="#">Civil Contingencies Act (2004)</a> which pertain to community resilience include the publication of risk and emergency management information and warning and informing the public about emergencies. The Act also sets out a duty for Local Authorities to provide business continuity advice for private and voluntary organisations in Contingency Planning, Advice and Assistance to the Public (section 4).</p> <p><a href="#">The Public Sector Equality Duty: Equality Act 2010</a> requires public bodies to have due regard to the need to eliminate discrimination, advance equality of opportunity and foster good relations between different people when carrying out their activities. This includes specific duties for engagement by public authorities.</p>
How to achieve good practice in this area
<ol style="list-style-type: none"><li>a. A strategic approach to ensure coordination of community led social action and partnering with voluntary capabilities.</li><li>b. Easily accessible and regularly updated information about statutory responder and BRF community resilience services, resources, governance and points of contact.</li><li>c. A process for identifying, mapping and regularly assessing the resilience of communities at highest risk to inform priorities for targeted communications and interventions.</li><li>d. Identified and engaged with community and voluntary networks which might offer support to their communities and to responders before, during or after an emergency.</li><li>e. A process for providing advice and support to community groups that want to have a role in emergency management.</li><li>f. A communications and engagement plan to promote resilient behaviours and encourage community groups and networks to promote resilience and take a role in emergency management.</li><li>g. Clearly defined roles for community and voluntary partners for preparing, responding and recovering from emergencies, which are agreed and communicated prior to an incident. This may range from informal expectations for neighbours to support one another to formal partnership arrangements utilising memorandums of understanding and codes of conduct.</li><li>h. A regularly updated database of local and national voluntary capabilities available to support emergency response and recovery, with clear agreed activation processes.</li><li>i. Locally agreed arrangements to manage spontaneous offers of support to affected people and to emergency responders in emergencies, including financial and physical donations, unaffiliated</li></ol>

'spontaneous' volunteers, in-kind resource and expertise.

**How to achieve leading practice in this area**

j. A process for on-going consultation and collaboration with community networks in relation to risk assessments and emergency plans, including understanding and mapping the risks that are of primary concern and motivation to communities.

k. Regular outreach sessions, workshops and conferences for individuals, businesses and community networks to share leading practice, provide training, build relationships and enable networking.

l. Provision of physical resources, assets and training for community networks and volunteers.

m. Community resilience approaches, programmes and lessons are proactively shared with neighbouring authorities.

**Guidance and supporting knowledge**

**Statutory and overarching multi-agency guidance and reference from Government**

- [Emergency Preparedness](#) (Cabinet Office, 2011-12)
- [Emergency Response and Recovery](#) (Cabinet Office, 2013)

**Thematic multi-agency guidance from Government**

- [Preparing for emergencies](#) (Cabinet Office 2018)
- Community Resilience: Resources and Tools
- [Community resilience framework for practitioners](#) (Cabinet Office, 2016)
- [Enabling social action](#) (Cabinet Office 2017)

**Relevant British (BSI), European (CEN) and International (ISO) Standards**

- [ISO 22319:2017 Security and resilience — Community resilience — Guidelines for planning the involvement of spontaneous volunteers](#)

**Supporting guidance and statements of good practice from professional authorities**

- [Community engagement hub 'how to' guides for emergency managers from the Defra Flood Resilience Community Pathfinder Scheme \(2016\)](#)

**Descriptors**

<b>Developing</b>	<b>Established</b>	<b>Advanced</b>
<p>Community resilience activities are in the early stages of development. The authority is in the process of understanding the role of volunteers from the community, business and voluntary sector.</p> <p>Discussions with community groups are at an exploratory stage or activities are being developed and piloted.</p>	<p>Community led social action is coordinated where the community, business and voluntary sector, who want a role in emergency management, are identified and engaged. Roles are clearly identified and there is a database of voluntary capabilities.</p> <p>There are arrangements to manage spontaneous offers of support and to give advice and information to citizens.</p>	<p>The authority has enhanced it's community engagement and resilience work by arranging an ongoing process for consultation and collaboration. There are regular engagement sessions for a wide range of community groups including businesses.</p> <p>Community groups are provided with access to assets, equipment and where appropriate training, to support their role.</p>



# RECOVERY MANAGEMENT

## Resilience Standard for London #11

### Desired Outcome

The Local Authority has robust, embedded and flexible recovery management arrangements in place to support the rebuilding, restoring and rehabilitation of the community following an emergency. Arrangements clearly link and complement emergency response arrangements, enable the smooth transition from response to recovery and support collective decision making to initiate, inform, resource, monitor and ultimately closedown the recovery phase of emergencies.

### Summary of legal duties (mandatory requirements)

The organisational requirement to maintain plans for recovery is set out in the [Civil Contingencies Act \(CCA\)](#), specifically as part of the requirement to reduce, control or mitigate the effects of an emergency and ‘to take other action in connection with it’. Detailed advice on recovery planning can be found in the Cabinet Office core guidance [Emergency Response and Recovery](#) and the [National Recovery Guidance](#).

### How to achieve good practice in this area

- a. The recovery process begins from the moment the emergency begins and is initiated by the local authority in liaison with the SCG. If resources allow, the Recovery Co-ordinating Group is set up on the first day of the emergency.
- b. The management of recovery is approached from a community development perspective with the active participation of the affected community and a strong reliance on local capacities and expertise. The private sector and the wider community play a crucial role.
- c. An impact assessment (covering impacts on residents, businesses, infrastructure, environment) is carried out as soon as possible and is regularly updated. Resulting actions are accurately captured and progress monitored.
- d. A concise, affordable recovery action plan with clear targets and milestones is developed that can be quickly implemented, involves all agencies and fits the needs of the emergency.
- e. The community is fully involved in the recovery process, including the business sector, voluntary sector, faith groups, community groups and tourist organisations.
- f. A pro-active and integrated framework of support to businesses is established.
- g. The Authority works closely with other agencies, the community and those directly affected, including on monitoring and protection of public health.
- h. Utilities and transport networks are brought back into use as soon as practicable.
- i. Information and media management of the recovery process is co-ordinated.
- j. Effective protocols for political involvement and liaison (local, regional and national) are established.
- k. An early assessment should be made of the responding organisations’ capacity and resources, and mutual aid agreements activated as required.
- l. Accurate record keeping is established. There are clear audit trails with comprehensive records of timings, notifications, decisions, actions and expenditure.

m. An agreed and rehearsed framework for setting objectives, milestones and closedown criteria as part of a recovery strategy which enables recovery progress to be evaluated and supports the eventual transition of the recovery programme into ‘business as usual’.

n. Appropriate psychological and social care and support is provided for all those who have been affected by an emergency. This may include survivors of an incident, the family and friends of survivors and the deceased, those responding to the emergency, and the community living and working in the area affected.

#### How to achieve leading practice in this area

o. Opportunity for longer term regeneration and economic development is considered at the earliest stages of the recovery process.

p. Developing strong relationships with charitable and private sector organisations offering financial or other support to community development and other recovery initiatives e.g. the management of donations following an emergency.

q. Developing a generic framework, agreed with the lead local authority Responsible Financial Officer (Section 151), for rapid distribution of emergency payments to affected people and organisations, including identifying payment channels, reporting and monitoring mechanisms and a communications strategy.

#### Guidance and supporting documentation

##### **Statutory and overarching multi-agency guidance and reference from Government**

- [Emergency Response and Recovery](#) (Cabinet Office, 2013)
- [National Recovery Guidance](#) (Cabinet Office, 2013), including Common issues, Economic issues, Humanitarian issues and Infrastructure issues
- [Human Aspects of Emergency Management](#) (Cabinet Office, 2016)

##### **Relevant British (BSI), European (CEN) and International (ISO) Standards**

- [BS 12999:2015 Damage Management](#). Code of practice for the organization and management of the stabilization, mitigation and restoration of properties, contents, facilities and assets following damage.

Descriptors		
Developing	Established	Advanced
<p>The authority has a generic plan in place to manage recovery but this has not been tested. There are arrangements to manage business as usual and possibly small scale incidents.</p> <p>The community perspective has been considered and information is provided to them but they do not actively participate in recovery work.</p>	<p>Recovery starts at the earliest possible stage and is approached from a community perspective with their active involvement. An impact assessment is in place and regularly updated. An action plan is in place with targets and milestones and there are arrangements to advise and support local businesses.</p> <p>Accurate record keeping is established which is auditable.</p>	<p>The authority is looking at opportunities for long term regeneration and economic development.</p> <p>There are strong relationships with the community, business and voluntary sector and their expertise is being utilised.</p> <p>Robust financial arrangements are in place to manage support to citizens and donations.</p>

## Response to consultation on Resilience Standards for London Local Government

Your name:

Your organisation:

Your role:

Your email address:

If you would like to comment on a specific standard in detail then please provide your comments in section 8 or attach an additional document to your response.

1. How effective do you think the standards will be in developing good practice across your organisation?

not effective very effective

Please provide a reason for your selection:

2. How confident are you that you can provide evidence to demonstrate you are meeting **mandatory requirements**?

no confidence high confidence

**achieving good practice?**

no confidence high confidence

**achieving leading practice?**

no confidence high confidence

Please provide additional comments relating to your selections:

3. Are the standards clear to understand?

very unclear very clear

Comments – specifically what, if anything, is unclear. Provide the standard name or number,

e.g. Recovery Management or RSL 11:

4. Have the most appropriate standards been included? e.g., Business Continuity, Community Resilience, etc.

yes

no

Please indicate what is missing:

5. Has a standard been included which, in your opinion, shouldn't have been? e.g., Business Continuity, Community Resilience, etc.

yes

no

Please state what standard should be removed and why:

6. The descriptors have been developed to support continuous improvement by providing food for thought on the progress an authority is making rather than a judgement. Is this the correct approach?

yes

no

Please provide reasons for your assessment:

7. Resilience Standard #6, Resources, Roles and Responsibilities, contains a sub-set of quantitative data taken from the Minimum Standards for London, the interim assessment process and the survey responses.

Should quantitative data be included in the Resilience Standards for London?

yes

no

Is there anything that's missing, or should be removed, from the sub-set? If so please specify:

8. Please provide any additional comments:

Thank you for your response. Please submit this form by email to [Robert.Ennis@cityoflondon.gov.uk](mailto:Robert.Ennis@cityoflondon.gov.uk) by 28<sup>th</sup> February 2019.

ES19012	PP&E PORTFOLIO PLAN - PERFORMANCE OVERVIEW (2018/19)																	
Outcome	No.	INDICATOR (National / Local)	DESCRIPTION	PP & E PORTFOLIO PLAN AIM	2014-15 ACTUAL	2015-16 ACTUAL	2016-17 TARGET	2016-17 ACTUAL	2017-18 TARGET	2017/18 ACTUAL	Q1	Q2	Q3	Year End Projection	GOOD PERFORMANCE	2018-19 TARGET	2018-19 RAG STATUS	COMMENTARY (BY EXCEPTION)
1: We will keep Bromley safe	1	1A	Number of Community Impact Days	Aim 1.1	12	12	12	12	12	12	3	1	1	12	HIGH	12	GREEN	
	2	1B	Number of mentoring relationships forged	Aim 1.2	154	146	100	145	125	165	Annual Data	Annual Data	Annual Data	125	HIGH	125	GREEN	The target in the published PP&E Portfolio Plan has been updated from 100 to 125 to align to the MOPAC target. Performance is exceeding expectations. It should be noted that in 2017/18, £58k of MOPAC funding was awarded, however, for 2018/19, this has been reduced to £46k (though the MOPAC expectation is that outcomes will still be delivered). During Q2, evaluation was undertaken with 65 young people. 91% said that they felt their confidence/self-esteem has improved, 94% reported an improvement in their health/wellbeing, 95% reported an improvement in their attitude to learning, 90% reported an improvement in their behaviour and 95% reported an improvement in relationships with their family and members of their community.
2: We will protect consumers	3	2A	Number of awareness raising events & training to groups & partners	Aim 2.1	45	80	N/A	115	70	129	18	17	6	70	HIGH	70	GREEN	
	4	2B	% of Level 1 calls responded to within 2 hours	Aim 2.2	N/A	N/A	N/A	N/A	N/A	New KPI for 18/19	100% (13)	100% (3)	100% (11)	100% (27)	OUTCOME	The level of calls is outcome based. The target is to respond to 100% of level 1 calls within 2 hours	OUTCOME	
	5	2C	Number of test purchase operations to detect the sale of age-restricted products	Aim 2.3	156	129	N/A	113	100	175	32	21	18	137	HIGH	100	GREEN	
3: We will support and regulate businesses	6	3A	Number & % of inspections of high-risk business undertaken (Risk A and B food premises)	Aim 3.1	N/A	100	100	100% (A) 96% (B)	100% (A) 97% (B)	100% (A) 97% (B)	Annual	Annual	Annual	Annual	HIGH	100% (A) 97% (B)	GREEN	
	7	3B	Number of overdue Food Hygiene inspections completed	Aim 3.2	N/A	N/A	N/A	N/A	N/A	New KPI for 18/19	135	226	132	657	HIGH	648	GREEN	
	8	3C	Number of overdue Food Standards inspections completed	Aim 3.2	N/A	N/A	N/A	N/A	N/A	New KPI for 18/19	103	247	102	603	HIGH	129	GREEN	
	9	3D	Number of unrated premises inspected	Aim 3.2	N/A	N/A	N/A	N/A	N/A	New KPI for 18/19	63	70	86	292	HIGH	327*	AMBER	The FSA met with the team and advised them to shift the focus away from unrated premises. The target has therefore been adjusted from 427 down to 327. However the team will still tackle this and have made progress.
	10	3E	Number of significant complaints and accident reports/notifications investigated	Aim 3.3	135	112 complaints investigated 29 accidents selected for investigation out of 119 reports	N/A	387	250 complaints	300 complaints	Annual	Annual	Annual	Annual	OUTCOME	This Performance Indicator is outcome based, as the number of complaints and accident reports is outside our control. The service aims to investigate all complaints, accidents and notifications received.	OUTCOME	
4: We will protect and improve the environment	11	4A	Number of packages of evidence supplied	Aim 4.1	N/A	660	700	717	700	115*	Annual	Annual	Annual	Annual	HIGH	650	GREEN	*a software update enabled multiple packages to be spliced and provided on a single disk.
	12	4B	Number of reports produced on contaminated land	Aim 4.2	20	26	25	N/A	32	32	Annual	Annual	Annual	Annual	OUTCOME	This is outcome based and number of reports will be linked to the number of requests, which cannot be predicted.	OUTCOME	
	13	4C	Number of notices served (nuisance and pollution)	Aim 4.3	N/A	N/A	N/A	N/A	N/A	New KPI for 18/19	42	27	60	172	OUTCOME	This is outcome based and number of notices served will be linked to the number of requests, which cannot be predicted.	OUTCOME	
	14	4D	Number of HMO licences issued in time	Aim 4.5	N/A	N/A	N/A	N/A	N/A	New KPI for 18/19	7	7	21	47	OUTCOME	This Performance Indicator is outcome based, as the number of licences issued is outside our control. The service aims to issue all licences within the statutory timeframes.	OUTCOME	
	15	4E (NI 196i)	Number of Fly-tipping enforcement actions	Aim 4.6	375	330	325	328	325	258	55	50	86	255	HIGH	300	AMBER	Further review of Enforcement Service procedures will assist in contributing to delivering this objective. A Fly-Tipping and Enforcement Working Group has met four times this year and is delivering against the Fly-Tipping Action Plan. This will include issuing additional enforcement warning letters.
	16	4F (NI 196ii)	Number of Fly-tipping incidents	Aim 4.6	3373	3343	3250	3246	3250	3067	890	761	819	3069	LOW	3000	GREEN	
	17	4G (ES8)	Number of appeals heard by Environment and Traffic Adjudicators (ETA) against PCNs issued by LBB (ES8)	Aim 4.7	459	331	N/A	274	300	213	53	44	46	191	LOW	300	GREEN	
	18	4H (ES9)	ETA cases won by LBB (ES9) (% of cases heard)	Aim 4.7	74	75.0%	N/A	81.0%	80.0%	80.0%	79.0%	88.0%	84.7%	84%	HIGH	80%	GREEN	
	19	4I	Number of cases determined where a breach of planning control may have occurred	Aim 4.7	N/A	N/A	N/A	N/A	N/A	New KPI for 18/19	Annual	Annual	Annual	Annual	OUTCOME	750	OUTCOME	

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PART ONE - PUBLIC

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**Decision Maker:** PUBLIC PROTECTION & ENFORCEMENT  
POLICY DEVELOPMENT AND SCRUTINY COMMITTEE

**Date:** Wednesday 30 January 2019

**Decision Type:** Non-Urgent Non-Executive Non-Key

**Title:** CONTRACTS REGISTER

**Contact Officer:** Sarah Foster, Head of Performance Management & Business Support  
Tel: 020 8313 4023 E-mail: sarah.foster@bromley.gov.uk

**Chief Officer:** Nigel Davies, Executive Director of Environment & Community Services

**Ward:** (All Wards)

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1. Reason for report

- 1.1 This report presents an extract from November 2018's Contracts Register for detailed scrutiny by PDS Committee – all PDS committees will receive a similar report each contract reporting cycle, based on data as at 28<sup>th</sup> November 2018 and presented to Contracts Sub-Committee on 11<sup>th</sup> December 2018.
- 1.2 The Contracts Register contained in 'Part 2' of this agenda includes a commentary on each contract to inform Members of any issues or developments (there is no covering report).

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2. **RECOMMENDATIONS**

That the Public Protection and Enforcement PDS Committee:

- 2.1 **Reviews and comments on the appended £50k+ Contracts Register (which also forms part of the Council's commitment to data transparency); and**
- 2.2 **Notes that in Part 2 of this agenda the Contracts Register contains additional, potentially commercially sensitive, information in its commentary.**

### Impact on Vulnerable Adults and Children

1. Summary of Impact: The appended Contracts Register covers services which may be universal or targeted. Addressing the impact of service provision on vulnerable adults and children is a matter for the relevant procurement strategies, contracts award and monitoring reports, and service delivery rather than this report.
- 

### Corporate Policy

1. Policy Status: Existing Policy:
  2. BBB Priority: Excellent Council:
- 

### Financial

1. Cost of proposal: - N/A
  2. Ongoing costs: - N/A
  3. Budget head/performance centre: PP&E Portfolio
  4. Total current budget for this head: - £2.478m
  5. Source of funding: Existing controllable revenue budget for 2018/19
- 

### Personnel

1. Number of staff (current and additional): - N/A
  2. If from existing staff resources, number of staff hours: - N/A
- 

### Legal

1. Legal Requirement: Statutory Requirement:
  2. Call-in: Not Applicable:
- 

### Procurement

1. Summary of Procurement Implications: Improves the Council's approach to contract management
- 

### Customer Impact

1. Estimated number of users/beneficiaries (current and projected): N/A
- 

### Ward Councillor Views

1. Have Ward Councillors been asked for comments? N/A
2. Summary of Ward Councillors comments: N/A

### 3. COMMENTARY

#### Contracts Register Background

- 3.1 The Contracts Database is fully utilised by all Contract Managers across the Council as part of their Contract Management responsibilities, which includes updating the information recorded on the database. The Register is generated from the Contracts Database which is administered by Commissioning & Procurement Directorate and populated by the relevant service managers (Contract Owners) and approved by their managers (Contract Approvers).
- 3.2 As a Commissioning Council, this information is vital to facilitate a full understanding of the Council's procurement activity and the Contracts Register is a key tool used by Contract Managers as part of their daily contract responsibilities. The Contracts Registers are reviewed by the Commissioning Board, Chief Officers, Corporate Leadership Team, and Contracts Sub-Committee as appropriate
- 3.3 The Contracts Register is produced four times a year for members– though the CDB itself is always 'live'.
- 3.4 Each PDS committee is expected to undertake detailed scrutiny of its contracts – including scrutinising suppliers – and hold the Portfolio Holder to account on service quality and procurement arrangements.

#### Contract Register Summary

- 3.5 The Council has 216 active contracts covering all portfolios as of 28<sup>th</sup> November 2018 for the November reporting cycle as set out in Appendix 1.
- 3.6 The Key information, for this Portfolio, is shown in the table below. This provides the key information for the preceding 2 months in addition to the November cycle information take on the 28<sup>th</sup> November 2018.

Public Protection and Safety				
Item	Category	July 2018	September 2018	December 2018
Total Contracts	£50k+	5	5	5
Concern Flag	Concern Flag	0	1	1
Risk Index	Red	0	0	0
	Amber	1	1	1
	Yellow	3	3	3
	Green	1	1	1
<b>Total</b>		<b>5</b>	<b>5</b>	<b>5</b>
Procurement Status	Red	3	3	3
	Amber	0	0	0
	Yellow	0	0	0
	Green	2	2	2
<b>Total</b>		<b>5</b>	<b>5</b>	<b>5</b>

*PP&E has 5 (2%) of the Council's 216 contracts (valued > £50k)*

- 3.7 The following contract has been flagged for attention due to the tight timescales for tender (rather than any performance issues associated with the delivery of the contract):

<b>Contract ID</b>	<b>Contract Name</b>	<b>Total Contract Value (£)</b>	<b>Contract End Date</b>
47	Mortuary Contract	429,000	30/04/2019

#### **4. IMPACT ON VULNERABLE ADULTS & CHILDREN**

- 4.1 The Corporate Contracts Register covers all Council services: both those used universally by residents and those specifically directed towards vulnerable adults and children. Addressing the impact of service provision on the vulnerable is a matter for the relevant procurement strategies, contracts, and delivery of specific services rather than this summary register.

#### **5. POLICY IMPLICATIONS**

- 5.1 The Council's renewed ambition is set out in the 2016-18 update to [Building a Better Bromley](#) and the Contracts Database (and Contract Registers) help in delivering the aims (especially in delivering the 'Excellent Council' aim). For an 'Excellent Council', this activity specifically helps by 'ensuring good contract management to ensure value-for-money and quality services'.

#### **6. PROCUREMENT IMPLICATIONS**

- 6.1 Most of the Council's (£50k plus) procurement spend is now captured by the Contracts Database. The database will help in ensuring that procurement activity is undertaken in a timely manner, that Contract Procedure Rules are followed and that Members are able to scrutinise procurement activity in a regular and systematic manner.

#### **7. FINANCIAL IMPLICATIONS**

- 7.1 The Contracts Database and Contract Registers are not primarily financial tools – the Council has other systems and reports for this purpose such as the Budget Monitoring reports. However, the CDB and Registers do contain financial information both in terms of contract dates and values and also budgets and spend for the current year.

#### **8. PERSONNEL IMPLICATIONS**

- 8.1 There are no direct personnel implications but the Contracts Database is useful in identifying those officers directly involved in managing the Council's contracts.

#### **9. LEGAL IMPLICATIONS**

- 9.1 There are no direct legal implications but the Contracts Database does identify those contracts which have a statutory basis and also those laws which should be complied with in delivering the contracted services.
- 9.2 A list of the Council's active contracts may be found on [Bromley.gov.uk](#) to aid transparency (this data is updated after each Contracts Sub-Committee meeting).

<b>Non-Applicable Sections:</b>	None
Background Documents: (Access via Contact Officer)	<ul style="list-style-type: none"> <li>• Appendix 1 – Key Data (All Portfolios)</li> <li>• Appendix 2 - Contracts Database Background information</li> <li>• Appendix 3 – Contracts Database Extract PART 1 (November 2018)</li> </ul>

## Appendix 1 Key Data (All Portfolios)

Item	Category	July 2018	September 2018	December 2018
<b>Contracts (&gt;£50k TCV)</b>	<b>All Portfolios</b>	<b>216</b>	<b>224</b>	<b>216</b>
Flagged as a concern	All Portfolios	4	9	5
Capital Contracts	All Portfolios	17	17	12
Portfolio	Adult Care and Health	86	91	86
	Environment and Community Services	20	21	21
	Environment	0	0	0
	Education, Children and Families	39	36	33
	Care Services	0	0	0
	Resources Commissioning and Contract Management	58	58	58
	Resources	0	0	0
	Renewal and Recreation and Housing	8	13	12
	Renewal and Recreation	0	0	0
	Public Protection and Safety	5	5	5
<b>Total</b>		<b>216</b>	<b>224</b>	<b>215*</b>
Risk Index	Red	18	14	13
	Amber	80	89	87
	Yellow	82	83	81
	Green	36	38	35
<b>Total</b>		<b>216</b>	<b>224</b>	<b>216</b>
Procurement Status	Red	98	85	86
	Amber	24	17	20
	Yellow	32	31	45
	Green	62	91	65
<b>Total</b>		<b>216</b>	<b>224</b>	<b>216</b>
Contracts Due to Go Live	Imminent	2	3	4
<b>Total</b>		<b>2</b>	<b>3</b>	<b>4</b>

\* There is an error in the Council database relating to 1 contract which is being investigated.

## Appendix 2 - Contracts Register Key and Background Information

### Contract Register Key

1.1 A key to understanding the Corporate Contracts Register is set out in the table below.

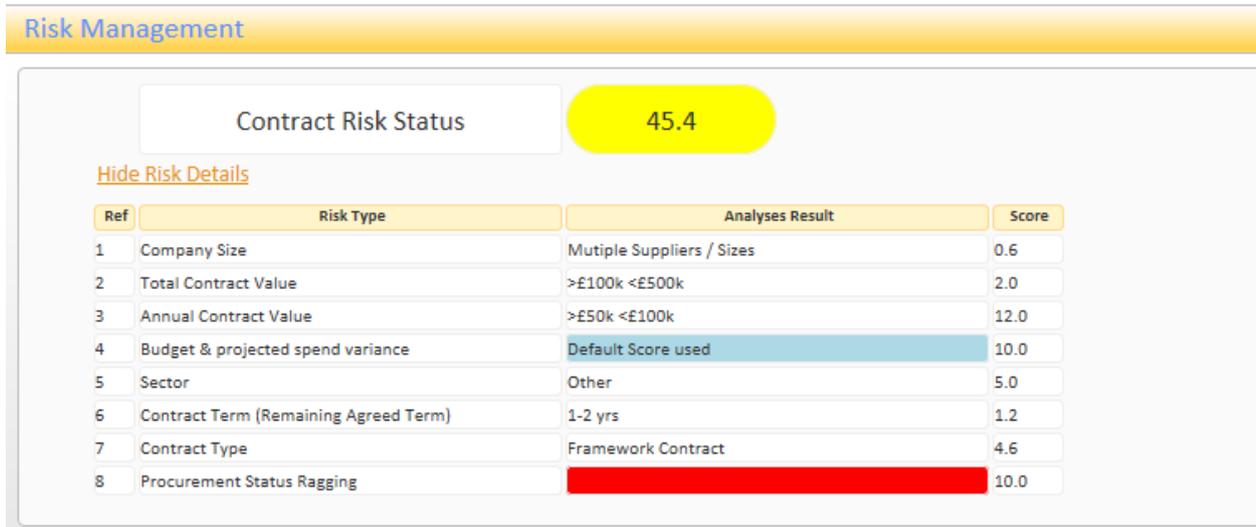
Register Category	Explanation
<b>Risk Index</b>	Colour-ranking system reflecting eight automatically scored and weighted criteria providing a score (out of 100) / colour reflecting the contract's intrinsic risk
<b>Contract ID</b>	Unique reference used in contract authorisations
<b>Owner</b>	Manager/commissioner with day-to-day budgetary / service provision responsibility
<b>Approver</b>	Contract Owner's manager, responsible for approving data quality
<b>Contract Title</b>	Commonly used or formal title of service / contract
<b>Supplier</b>	Main contractor or supplier responsible for service provision
<b>Portfolio</b>	Relevant Portfolio for receiving procurement strategy, contract award, contract monitoring and budget monitoring reports
<b>Total Contract Value</b>	The contract's value from commencement to expiry of formally approved period (excludes any extensions yet to be formally approved)
<b>Original Annual Value</b>	Value of the contract its first year (which may be difference from the annual value in subsequent years, due to start-up costs etc.)
<b>Budget</b>	Approved budget for the current financial year. May be blank due to: finances being reported against another contract; costs being grant-funded, complexity in the finance records e.g. capital (also applies to Projection)
<b>Projection</b>	Expected contract spend by the end of the current financial year
<b>Procurement Status</b>	Automatic ranking system based on contract value and proximity to expiry. This is designed to alert Contract Owners to take procurement action in a timely manner. Red ragging simply means the contract is nearing expiry and is not an implied criticism (indeed, all contracts will ultimately be ragged 'red').
<b>Start &amp; End Dates</b>	Approved contract start date and end date (excluding any extension which has yet to be authorised)
<b>Months duration</b>	Contract term in months
<b>Attention </b>	Red flag denotes Commissioning & Procurement Directorate's concern regarding procurement arrangements (also see C&P Commentary in Part 2)
<b>Commentary</b>	Contract Owners provide a comment – especially where the Risk Index or Procurement Status is ragged red or amber. Commissioning & Procurement Directorate may add an additional comment for Members' consideration <i>The Commentary only appears in the 'Part 2' Contracts Register</i>
<b>Capital</b>	Most of the Council's contracts are revenue-funded. Capital-funded contracts are separately identified (and listed at the foot of the Contracts Register) because different reporting / accounting rules apply

### Contract Register Order

1.2 The Contracts Register is output in Risk Index order. It is then ordered by Procurement Status, Portfolio, and finally Contract Value. Capital contracts appear at the foot of the Register and 'contracts of concern' (to Commissioning & Procurement Directorate) are flagged at the top.

## Risk Index

- 1.3 The Risk Index is designed to focus attention on contracts presenting the most significant risks to the Council. Risk needs to be controlled to an acceptable level (our risk appetite) rather than entirely eliminated and so the issue is how best to assess and mitigate contract risk. Contract risk is assessed (in the CDB) according to eight separate factors and scored and weighted to produce a Risk Index figure (out of 100). These scores are ragged to provide a visual reference.



## Procurement Status

- 1.4 A contract's Procurement Status is a combination of the Total Contract Value (X axis) and number of months to expiry (Y axis). The table below is used to assign a ragging colour. Contracts ragged red, amber or yellow require action – which should be set out in the Commentary. Red ragging simply means the contract is nearing expiry and it is not an implied criticism (indeed, all contracts will ultimately be ragged 'red').

		Procurement / Commissioning Status					
Period	3 months						<div style="display: flex; align-items: center;"> <div style="width: 20px; height: 20px; background-color: red; margin-right: 5px;"></div> Requires an agreed plan  <div style="width: 20px; height: 20px; background-color: yellow; margin-right: 5px;"></div> Develop / test options  <div style="width: 20px; height: 20px; background-color: orange; margin-right: 5px;"></div> Consider options  <div style="width: 20px; height: 20px; background-color: green; margin-right: 5px;"></div> No action required                 </div>
	6 months						
	9 months						
	12 months						
	18 months						
		£5k - £50k	£50k - £100k	£100k - £173k	£173k - £500k	>£500k	
		Total Contract Value					

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**Contract Register Report - £50k Portfolio Filtered - Public Protection and Safety**

December 2018

Risk Index	Main Contract Data						Finance Data				Contract Terms			Attention	Capital	
	Contract ID	Owner	Approver	Contract Title	Supplier Name	Portfolio	Total Value	Original Annual Value	Budget	Projection	Proc. Status	Start Date	End Date			Months Duration
●	47	Joanne Stowell	Nigel Davies	<a href="#">Mortuary Contract</a>	Princess Royal University Hospital Mortuary via Kings College Hospital NHS Foundation Trust (with LB Bexley)	Public Protection and Safety	429,000	96,000			■	01/10/2014	30/04/2019	55	⚠	
●	43	Robert Vale	Nigel Davies	<a href="#">CCTV Monitoring</a>	OCS Ltd	Public Protection and Safety	1,515,258	252,652	271,840	271,840	■	01/04/2012	31/03/2019	84		
●	42	Robert Vale	Nigel Davies	<a href="#">CCTV Repair and Maintenance</a>	Eurovia Infrastructure Ltd	Public Protection and Safety	257,108	42,852			■	01/04/2012	31/03/2019	84		
●	3763	Hedley Pugh	Joanne Stowell	<a href="#">Dogs &amp; Pest Control Services</a>	SDK Environmental Ltd	Public Protection and Safety	234,915	78,305			■	01/02/2018	31/01/2021	36		
●	3799	Joanne Stowell	Nigel Davies	<a href="#">Coroners Service</a>	London Borough of Croydon	Public Protection and Safety	448,640	224,320			■	01/04/1966	31/08/2029	762		

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Report No.  
ES19004

London Borough of Bromley

PART ONE - PUBLIC

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**Decision Maker:** Public Protection and Enforcement Policy Development and Scrutiny Committee

**Date:** Wednesday 30 January 2019

**Decision Type:** Non-Urgent Non-Executive NonKey

**Title:** Risk Register

**Contact Officer:** Sarah Foster, Head of Performance Management & Business Support  
Tel: 020 8313 4023 Email: sarah.foster@bromley.gov.uk

**Chief Officer:** Nigel Davies, Executive Director of Environment & Community Services

**Ward:** All Wards

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1. Reason for report

- 1.1 This report presents the revised E&CS Departmental Risk Register for detailed scrutiny by the Public Protection and Enforcement PDS Committee.
- 1.2 The appended Risk Register also forms part of the 2018/19 Annual Governance Statement evidence-base. This was reviewed by: E&CS DMT (17 December 2018); Corporate Risk Management Group (22 January 2019); and will be reviewed next at Audit Sub-Committee (26 February 2019).

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2. **RECOMMENDATIONS**

- 2.1 That the Public Protection and Enforcement PDS Committee reviews and comments on the appended E&CS Risk Register, paying particular attention to those risks that are relevant to this PDS Committee (the Environment and Community Services PDS Committee will also be reviewing the Risk Register on 5<sup>th</sup> February 2019).

### Impact on Vulnerable Adults and Children

1. Summary of Impact: The appended Risk Register covers services provided by the E&CS Department and some borough-wide risks. Addressing the impact of service provision on vulnerable adults and children is a matter for the relevant procurement strategies, contracts and service delivery rather than this high-level Risk Register report.
- 

### Corporate Policy

1. Policy Status: Existing Policy:
  2. BBB Priority: Excellent Council:
- 

### Financial

1. Cost of proposal: N/A
  2. Ongoing costs: N/A
  3. Budget head/performance centre: Public Protection & Enforcement Portfolio
  4. Total current budget for this head: £2.478m
  5. Source of funding: Existing revenue budget 2018/19
- 

### Personnel

1. Number of staff (current and additional): - 49.7 FTEs
  2. If from existing staff resources, number of staff hours: - N/A
- 

### Legal

1. Legal Requirement: Statutory Requirement:
  2. Call-in: Not Applicable:
- 

### Procurement

1. Summary of Procurement Implications: Risk management contributes to contract management and good governance.
- 

### Customer Impact

1. Estimated number of users/beneficiaries (current and projected): N/A
- 

### Ward Councillor Views

1. Have Ward Councillors been asked for comments? N/A
2. Summary of Ward Councillors comments: N/A

### 3. COMMENTARY

#### Risk Register Background

- 3.1 The Council's key priorities are set out in [Building a Better Bromley](#) 2016-2018 and the associated Portfolio Plans; and a risk can be defined as anything which could negatively affect the ability of services to deliver the associated outcomes. Some level of risk will be associated with any service provision; the question is how best to manage that risk down to an acceptable level (this is known as 'risk appetite').
- 3.2 It follows that the Council should be able to clearly and regularly detail the main departmental risks and related mitigation measures to ensure a) that desired outcomes are achieved and b) to allow for Member scrutiny – the purpose of this report.
- 3.3 Although the appended E&CS Risk Register is comprehensive, departmental risk management activity is certainly not exclusive to this report. For instance:
- major programmes and services (e.g. Tree Management Strategy) will have associated Risk Registers (such registers are reviewed by the relevant Programme / Service Boards);
  - financial risk is addressed in each Portfolio's Budget Monitoring Reports and, more generally, in the Council's Annual Financial Strategy Report;
  - audit risk is captured through the Audit Programme's planned and investigative activity and associated reports and management action requirements;
  - contract risk forms part of the Contracts Database (all contracts are now quantified and ranked according to the risk presented to the Council). The forthcoming Environmental Services Contract, therefore, appears both in this Risk Register and the Corporate Contracts Register, due to its size and complexity. The Contracts Register for the Public Protection and Enforcement Portfolio is appended to Report ES19003 (also on this agenda).
- 3.4 In 2016/17 Zurich Municipal (the Council's insurer) undertook a 'check and challenge' review (involving all management teams) of the Council's general approach to risk and the individual risks themselves. This resulted a new-style of register and a greater consistency of approach across the Council. In December 2018, Zurich re-visited the E&CS management team to repeat this process.
- 3.5 It was agreed that Risk Registers should be presented to each Departmental Management Team, the relevant PDS committee, and Audit Sub-Committee twice a year (minimum) to allow activity to be scrutinised in a regular and systematic manner. Individual risks should naturally be reviewed (by Risk Owners) at a frequency proportionate to the risk presented (see appendix).
- 3.6 In addition to its use for management and reporting purposes, the Risk Register also forms part of E&CS's evidence-base for contributing to the Council's Annual Governance Statement (which, itself, forms part of the Council's end-of-year management procedures).
- 3.7 Risks from all three departments are considered at the (officer) Corporate Risk Management Group (CRMG), which reviewed all the Risk Registers when it last met on 22<sup>nd</sup> January 2019.
- 3.8 The Risk Registers will also be reviewed by Audit Sub-Committee (26 February 2019), but detailed scrutiny of individual registers is the responsibility of each PDS committee (hence this report).
- 3.9 At the time of writing, the Council has 89 individual risks plus nine, high-level, Corporate Risks (covering key risks which apply to the Council as a whole).

3.10 E&CS Department currently has 26 risks (~29% of the Council's total) and the Risk Register was reviewed by E&CS DMT on 17 December 2018.

3.11 The appended E&CS Risk Register is summarised below. Each risk is scored using a combination of the 'likelihood' (definite to remote) and 'impact' (insignificant to catastrophic) to produce a 'gross rating' (prior to controls) and 'net rating' (post management controls) – see Appendix. No risks are ragged 'red' following implementation of management control measures.

Risk Ref	Risk Description	Gross Risk Rating	Net Risk Rating
1	Emergency Response	8	6
2	Central Depot Access	6	3
3	Fuel Availability	5	4
4	Business Continuity Arrangements	8	8
6	Industrial Action	12	12
8	Health & Safety (E&CS)	12	8
11	Environmental Services Contract (Mobilisation)	12	8
12	Highways Management	8	6
13	Arboricultural Management	9	3
14	Income Variation (Highways and Parking)	6	6
15	Waste Budget	12	6
17	Food Standards Agency Audit	12	12
18	Town Centre Businesses	12	6
19	New Parking Schemes	12	4
20	Staff Resourcing and Capability	12	4
21	Burial Space	9	4
22	Climate Change	9	6
23	Mortuary Contract	16	12
24	CCTV Contract (Mobilisation)	6	3
25	Income Reconciliation (Public Protection Licensing)	6	6
26	Income Reconciliation (Waste Management)	6	2
27	Bromley Town Centre Market Reorganisation	9	6
28	Dogs and Pests Contract	6	4
29	Out of Hours Noise Service	12	12
30	Integrated Offender Management	12	12
31	Anti-Social Behavior Co-Ordinator post:	12	12

3.12 The risks (including causes and effects) are described in more detail in the appended Risk Register. Each risk is assigned a category (Compliance & Regulation, Finance, Service Delivery, Reputation and Health & Safety) and scored – using a combination of the 'likelihood' and 'impact' both being assessed on a scale of 1-5 – to produce a gross risk score.

3.13 Current controls designed to mitigate the risk are also listed and these, in turn, result in a (lower) net risk score. Finally, additional actions are listed for the Risk Owner to consider to further reduce the level of risk (commensurate with their risk appetite).

#### **4. IMPACT ON VULNERABLE ADULTS & CHILDREN**

4.1 The appended Risk Register covers Environment and Community services, which tend to be universal in nature, rather than being specifically directed towards vulnerable adults and children.

#### **5. POLICY IMPLICATIONS**

5.1 The Council's renewed policy ambition for the borough is set out in the 2016-18 update to [Building a Better Bromley](#) and the various Portfolio Plans. Risk Registers help to deliver these policy aims by identifying issues which could impact on 'ensuring good contract management to ensure value-for-money and quality services' and putting in place mitigation measures to reduce risk and help deliver the policy aims and objectives.

#### **6. PROCUREMENT IMPLICATIONS**

6.1 Contract and hence procurement risk is mainly captured in the Contracts Database and Contracts Register Report rather than this Risk Register Report. That said, progress towards the proposed new Environmental Services Contract is captured in the appended register due to the contract's strategic importance.

#### **7. FINANCIAL IMPLICATIONS**

7.1 There are no direct financial implications arising from this report, however the Risk Register does identify areas that could have financial risks.

#### **8. PERSONNEL IMPLICATIONS**

8.1 There are no direct personnel implications but the Risk Register does identify service areas where recruitment and capacity present challenges (e.g. Staff Resourcing and Capability).

#### **9. LEGAL IMPLICATIONS**

9.1 There are no direct legal implications but the Risk Register does identify some legal issues: e.g. the Food Standards Agency Audit, compliance with Health & Safety law, and Industrial Action.

<b>Non-Applicable Sections:</b>	None
Background Documents: (Access via Contact Officer)	None

## RISK REGISTER REPORT (ES19004): RISK ASSESSMENT GUIDANCE SUMMARY

<b>LIKELIHOOD</b>	Almost Certain (5)	5	10	15	20	25	15+	<b>High Risk:</b> review controls/actions every month
	Highly Likely (4)	4	8	12	16	20	10 - 12	<b>Significant Risk:</b> review controls/actions every 3 mths
	Likely (3)	3	6	9	12	15	5 - 9	<b>Medium Risk:</b> review controls/actions every 6 months
	Unlikely (2)	2	4	6	8	10	1 - 4	<b>Low Risk:</b> review controls/actions at least annually
	Remote (1)	1	2	3	4	5		
	Insignificant (1)	Minor (2)	Moderate (3)	Major (4)	Catastrophic (5)			
	<b>IMPACT</b>							

LIKELIHOOD KEY					
Expected frequency	Remote (1)	Unlikely (2)	Possible (3)	Likely (4)	Definite (5)
Expected frequency	10-yearly	3-yearly	Annually	Quarterly	Monthly

IMPACT KEY					
Risk Impact	Insignificant (1)	Minor (2)	Moderate (3)	Major (4)	Catastrophic (5)
<b>Compliance &amp; Regulation</b>	<ul style="list-style-type: none"> <li>Minor breach of internal regulations (not reportable)</li> </ul>	<ul style="list-style-type: none"> <li>Minor breach of external regulation (not reportable)</li> </ul>	<ul style="list-style-type: none"> <li>Breach of internal regulations leading to disciplinary action</li> <li>Breach of external regulations, reportable</li> </ul>	<ul style="list-style-type: none"> <li>Significant breach of external regulations leading to intervention or sanctions</li> </ul>	<ul style="list-style-type: none"> <li>Major breach leading to suspension or discontinuation of business and services</li> </ul>
<b>Financial</b>	<ul style="list-style-type: none"> <li>&lt;£50,000</li> </ul>	<ul style="list-style-type: none"> <li>&gt; £50,000 &lt;£100,000</li> </ul>	<ul style="list-style-type: none"> <li>&gt;£100,000 &lt;£1,000,000</li> </ul>	<ul style="list-style-type: none"> <li>&gt;£1,000,000 &lt;£5,000,000</li> </ul>	<ul style="list-style-type: none"> <li>&gt;£5,000,000</li> </ul>
<b>Service Delivery</b>	<ul style="list-style-type: none"> <li>Disruption to one service for a period &lt;1 week</li> </ul>	<ul style="list-style-type: none"> <li>Disruption to one service for a period of 2 weeks</li> </ul>	<ul style="list-style-type: none"> <li>Loss of one service for between 2-4 weeks</li> </ul>	<ul style="list-style-type: none"> <li>Loss of one or more services for a period of 1 month or more</li> </ul>	<ul style="list-style-type: none"> <li>Permanent cessation of service(s)</li> </ul>
<b>Reputation</b>	<ul style="list-style-type: none"> <li>Complaints from individuals / small groups of residents</li> <li>Low local coverage</li> </ul>	<ul style="list-style-type: none"> <li>Complaints from local stakeholders</li> <li>Adverse local media coverage</li> </ul>	<ul style="list-style-type: none"> <li>Broader based general dissatisfaction with the running of the Council</li> <li>Adverse national media coverage</li> </ul>	<ul style="list-style-type: none"> <li>Significant adverse national media coverage</li> <li>Resignation of Director(s)</li> </ul>	<ul style="list-style-type: none"> <li>Persistent adverse national media coverage</li> <li>Resignation / removal of CEX / elected Member</li> </ul>
<b>Health &amp; Safety</b>	<ul style="list-style-type: none"> <li>Minor incident resulting in little harm</li> </ul>	<ul style="list-style-type: none"> <li>Minor injury to Council employee or someone in the Council's care</li> </ul>	<ul style="list-style-type: none"> <li>Serious injury to Council employee or someone in the Council's care</li> </ul>	<ul style="list-style-type: none"> <li>Fatality to Council employee or someone in the Council's care</li> </ul>	<ul style="list-style-type: none"> <li>Multiple fatalities to Council employees or individuals in the Council's care</li> </ul>

## Environment & Community Services (ECS) Risk Register

													DATE LAST REVIEWED:	17/12/2018
No.	ECS RISK REF	DIVISION	RISK TITLE & DESCRIPTION	RISK CAUSE & EFFECT	RISK CATEGORY	GROSS RISK RATING			EXISTING CONTROLS IN PLACE TO MITIGATE THE RISK	CURRENT RISK			FURTHER ACTION REQUIRED	RISK OWNER
						LIKELIHOOD	IMPACT	RISK RATING		LIKELIHOOD	IMPACT	RISK RATING		
1	1	All ECS	<b>Emergency Response</b> Failure to respond effectively to a major emergency / incident internally or externally	<b>Cause(s):</b> - Emergency may be triggered by storms, floods, snow, extreme heat or other emergency. Ineffective response could be caused by capacity and/or organisational issues  <b>Effect(s):</b> - Failure to fulfil statutory duties in timely manner - Disruption to infrastructure and service provision in general	Service Delivery	2	4	8	1. Corporate Major Emergency Response Plan 2. E&CS Incident Plan (held by Emergency Planning) 3. Service Business Continuity Plans 4. Out-of-Hours Emergency Service 5. Winter Service Policy and Plan (reviewed annually) 6. Training, Testing and Exercising (includes training provided as part of a new Corporate Business Continuity Group formed in June 2018) 7. Multi-agency assessment of emergency risks	2	3	6	1. Continuation of the Corporate Business Continuity Group 2. Development of risk-specific arrangements in accordance with Minimum Standards for London and informed by the Borough Risk Assessment 3. Implement 'on-call rota' for Emergency Response Manager 4. Recruit and train more Emergency Response Volunteers	David Tait
2	2	All ECS	<b>Central Depot Access</b> Major incident resulting in loss of/reduced Depot access affecting service provision (LBB's main vehicle depot)	<b>Cause(s):</b> - Fire, explosion, train derailment, strike etc.  <b>Effect(s):</b> - Significant service disruption (Waste, Street Cleaning, Gritting, Fleet Management, Streetscene & Greenspace service management etc.)	Service Delivery	2	3	6	1. Contingency plans for: - Alternative vehicle parking - Temporary relocation of staff - Storage of bulky materials 2. Implement Business Continuity Plans 3. Close liaison with other Depot users (e.g. Waste Contract, Street Cleansing) and Highways Winter Service Team 4. 'Central Depot Users Group' (Health & Safety forum for all site users) 5. Work Place Risk Assessments in place	1	3	3	1. Consideration of issue as part of the Environmental Services Contracts commencing in 2019.	Paul Chilton
3	3	All ECS	<b>Fuel Availability</b> Fuel shortage impacting on both LBB and service provider transport fleet	<b>Cause(s):</b> - National or local fuel shortage caused by picketing or other external factors  <b>Effect(s):</b> - Failure to provide services impacting on residents and other customers	Service Delivery	1	5	5	1. Identified alternative fuel supplies at contractors and neighbouring boroughs (corporate Fuel Disruption Plans based on National Plan are held by the Emergency Planning Team) 2. Designated Filling Station identified under National Emergency Plan by London Resilience Team as designated fuel supply for LBB logoed vehicles 3. Fuel store at Central Depot 4. Ongoing liaison with other London Boroughs concerning collaboration and assistance	1	4	4	1. Continue to monitor service provider arrangements for ensuring adequate fuel supply.	John Bosley
4	4	All ECS	<b>Business Continuity Arrangements</b> Lack of up-to-date, tried and tested, BCP for all Council services	<b>Cause(s):</b> - Failure to implement and keep up-to-date effective service and corporate Business Continuity Plans  <b>Effect(s):</b> - Non-provision of critical services following an incident (internal or external)	Service Delivery	2	4	8	1. Corporate Risk Management Group now encompasses Business Continuity 2. New Corporate Business Continuity Group established in June 2018 with representation from ECS 3. Undertaking Business Impact Analyses of all services to identify priorities 4. Developing a Corporate Business Continuity Plan and updating service BCPs 5. Emergency Planning Training Exercise undertaken in March 2018 with involvement across all of ECS	2	4	8	1. Continue to conduct training exercises to ensure that BCPs for each service area work in real life. ICT system failure has been identified as the largest risk and is outside the control of ECS	David Tait
5	6	All ECS	<b>Industrial Action</b> Contractors' staff work-to-rule / take strike action impacting on service delivery	<b>Cause(s):</b> - Union dissatisfaction over pay and conditions (particularly in Waste)  <b>Effect(s):</b> - Temporary disruption to service / reduced customer satisfaction	Service Delivery	3	4	12	1. Ongoing monitoring / meetings regarding workforce issues 2. Joint development of Business Contingency Plans with contractor	3	4	12	1. Review public communications to be used in the event of a strike 2. Staff training and engagement will be built into the mobilisation strategy for the new Environmental Services contracts.	John Bosley
6	8	All ECS	<b>Health &amp; Safety (E&amp;CS)</b> Ineffective management, processes and systems within E&CS departmentally	<b>Cause(s):</b> - Failure to take departmental action to reduce likelihood of accidents, incidents and other H&S issues  <b>Effect(s):</b> - HSE investigation / prosecution leading to fines, increased insurance claims, and reputational damage	Health & Safety	3	4	12	1. Workplace Risk Assessments (including lone and home working) 2. Accident & Incident Reporting system (AR3 & Riddor) 3. Contractor Inspection Reporting system (which has been updated to an electronic reporting system in July 2018) 4. Interface with Corporate Risk Management Group 5. Annual audits and annual paths surveys (Parks) 6. Cyclical 5-year survey of park trees and highway trees 7. Regular Footway inspections 8. ECS Health and Safety Committee meets regularly to review departmental Health and Safety arrangements	2	4	8	1. Ensure Workplace Risk Assessments (inc. Homeworking) updated annually and biennial reviews conducted 2. Encourage reporting of all significant accidents and incidents using AR3 form (and reporting of RIDDOR incidents) 3. Ensure resource exists to discharge statutory functions	Sarah Foster

## Environment & Community Services (ECS) Risk Register

													DATE LAST REVIEWED:	17/12/2018
No.	ECS RISK REF	DIVISION	RISK TITLE & DESCRIPTION	RISK CAUSE & EFFECT	RISK CATEGORY	GROSS RISK RATING			EXISTING CONTROLS IN PLACE TO MITIGATE THE RISK	CURRENT RISK			FURTHER ACTION REQUIRED	RISK OWNER
						LIKELIHOOD	IMPACT	RISK RATING		LIKELIHOOD	IMPACT	RISK RATING		
7	11	Streetscene and Greenspace	<b>Environmental Services Contract (Mobilisation)</b> Failure to effectively mobilise the new Environmental Services Contracts	<b>Cause(s):</b> - Unfamiliarity with new contract model (client & contractors) - Lack of client capacity to progress mobilisation - Lack of supplier capacity to progress mobilisation - Significant service change requiring service-user consultation - Lack of preparation of contract transition (exit and mobilisation) plans  <b>Effect(s):</b> - Reputational damage - Costs incurred as a result of additional last minute resources required to deliver services - Failure to deliver service to requirements /KPIs / expectations	Service Delivery, Financial & Reputational	3	4	12	1. Regular Project Planning meetings are held to discuss contract transition 2. Project Initiation Documents signed off on 30.10.18 3. Transition Plans are being developed (including exit and mobilisation plans for each contract) 4. Continued review of contract transition plans as part of client project meetings 5. Regular discussions of exit plans with supply chain (and commissioning support) through monthly contract meetings (additional meetings to be held as contract end date approaches)	2	4	8	1. Formal meetings to be established with service providers to mobilise contracts, following contract award.	John Bosley
8	12	Highways	<b>Highways Management</b> Deterioration of the Highway Network due to under-investment	<b>Cause(s):</b> - Failure to manage Highways in respect of traffic volumes, winter weather, financial resources leading to deteriorating condition  <b>Effect (s):</b> - Leading to increased maintenance costs, insurance claims (trips, falls and RTAs) and reputational damage	Financial	2	4	8	1. Strategy to mitigate insurance claims 2. Inspection regime and defined intervention levels for maintenance repairs and monitoring 10% of works for compliance 3. Winter Maintenance procedures (gritting/salting) 4. Increased salt storage capacity 5. Improved customer expectation management 6. Asset management technique (e.g. Highway Asset Management Plan) 7. New capital programme to reduce reactive works 8. Performance Management measures incorporated into new Highways contract from July 2018	3	2	6	1. Review frequency of Highways Inspections and adjust as deemed appropriate to effectively manage the risk in line with revised Code of Practice (published 2016) 2. Additional inspections carried out and repairs undertaken as necessary 3. Modernisation of contractor's programming and completion of maintenance repairs involving remote working ICT technology	Garry Warner
9	13	Streetscene and Greenspace	<b>Arboricultural Management</b> Failure to inspect and maintain Bromley's tree stock leading to insurance claims etc.	<b>Cause(s):</b> - Failure to ensure that trees are managed as safely as reasonably practicable  <b>Effect (s):</b> - Leading to blocked highways, reputational damage and financial liabilities	Financial	3	3	9	1. Tree care and safety contract (commenced July 2008) with Gristwood & Toms Tree Contractors Ltd 2. Full asset Survey of ~30% of street and park trees (and 50% of school trees) 3. Risk trees identified and registered increased inspection frequency using asset management database (Confirm) 4. Implement remedial works to address risk associated defects 5. Review Tree Risk Management Strategy (annually). Last reviewed in Feb 2018 6. Review the 'Storm Strategy' annually (last reviewed Feb 2018) to be able to respond quickly and call in additional staff, equipment and contractors 7. Provide a cyclical safety survey and remedial works schedule commensurate to budget availability and potential prioritisation	1	3	3	1. Review of staffing levels is underway to ensure sufficient resource to deliver the required tree risk management strategy annually	John Bosley
10	14	All ECS	<b>Income Variation (Highways and Parking)</b> Loss of income when the Council is looking to grow income to offset reduced funding	<b>Cause(s):</b> - Improved Street Works performance by utility companies (reduced fines) - Under-achievement of expected car parking income and parking enforcement, due to resistance to price increases and reduced incidents - Loss of income from Penalty Charge Notices for Bus Lane Enforcement activity - Reduction in Street Enforcement activity (Fixed Penalty Notices) - Failure of APCOA (new Parking contractor) to provide contracted services (e.g. strikes)  <b>Effect (s):</b> - Loss of income with potential to reduce service delivery funds	Financial	3	2	6	1. Regular income monitoring 2. Monitoring contractor performance (e.g. only issue good quality PCNs) 3. Good debt recovery systems 4. Monitoring parking use and avoid excessive charge increases 5. Provide attractive, safe clean car parks 6. Regular contractor meetings 7. Monitoring of parking enforcement activity through new Performance Indicators reported to PDS Committees (E&CS, PP&E)	3	2	6	1. Refine procedure for resolving disputes with utilities 2. Review parking tariff structures annually 3. Monitor income trends 4. Continue to monitor success in achieving enforcement objectives 5. Benchmark Parking charges against other authorities and local private sector competitors 6. Intelligence-led targeting of hotspots sites for enforcement	Nigel Davies

## Environment & Community Services (ECS) Risk Register

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No.	ECS RISK REF	DIVISION	RISK TITLE & DESCRIPTION	RISK CAUSE & EFFECT	RISK CATEGORY	GROSS RISK RATING			EXISTING CONTROLS IN PLACE TO MITIGATE THE RISK	CURRENT RISK			FURTHER ACTION REQUIRED	RISK OWNER
						LIKELIHOOD	IMPACT	RISK RATING		LIKELIHOOD	IMPACT	RISK RATING		
11	15	Streetscene and Greenspace	<b>Waste Budget</b> Increasing waste tonnages resulting in increased waste management costs	<p><b>Cause(s):</b></p> <ul style="list-style-type: none"> <li>- Failure to anticipate/manage waste management financial/cost pressures due to increasing landfill tax, increasing property numbers, declining recycling income (lower paper tonnages) and limited incineration capacity</li> <li>- Failure to achieve contract payment mechanism targets for the proportion of waste sent to landfill/incineration/recycling/composting (this cause will be redundant as of April 2019)</li> <li>- Waste tonnage growing faster than budgeted or operational factors (i.e. adverse weather conditions, etc.)</li> </ul> <p><b>Effect(s):</b></p> <ul style="list-style-type: none"> <li>- Budgets being exceeded and potential knock-on impact on other Council services</li> </ul>	Financial	3	4	12	<ol style="list-style-type: none"> <li>1. Cost pressures recognised in Council's Financial Strategy</li> <li>2. Landfill tonnages falling - offsets any tax increase</li> <li>3. Continued focus on promoting waste minimisation and recycling (e.g. in Environment Matters and through targeted campaigns such as Food Waste doorstep)</li> <li>- Monthly monitoring of recycled tonnages and projection to yearly figures</li> <li>- Regular and sustained recycling awareness campaign</li> <li>- Consolidation of Compositing for All campaign</li> <li>- Continuing investigation of waste minimisation and recycling initiatives</li> <li>- Monthly monitoring of all waste tonnages and projection to yearly figures</li> <li>- Monthly monitoring of all collection costs and figures</li> <li>- Ongoing analysis of collection and disposal methodology</li> <li>4. Consideration of alternative disposal routes e.g. increased use of Veolia's Mechanical Biological Treatment (MBT) plant</li> <li>5. Reviewing and benchmarking operational costs to identify options</li> <li>6. Achieving best value tenders under new contract - contract award announced December 2018</li> </ol>	2	3	6	<ol style="list-style-type: none"> <li>1. The new waste contract will commence in April 2019 and this risk will be reviewed after that time to determine whether any additional action is required.</li> </ol>	John Bosley
12	17	Public Protection	<b>Food Standards Agency Audit</b> Failure to meet required service standards as required by Food Standards Agency Audit (April 2017)	<p><b>Cause(s):</b></p> <ul style="list-style-type: none"> <li>- Lack of resource to meet Code of Practice service standards. Staff are not staying with Bromley due to other authorities providing more attractive employment opportunities.</li> </ul> <p><b>Effect(s):</b></p> <ul style="list-style-type: none"> <li>- Leading to reputational damage and possible use of Power of Direction</li> </ul>	Health & Safety	4	3	12	<p>Following a recent meeting with the FSA (September 2018), they accepted the issues the Team has in recruiting Officers with the prerequisite qualifications necessary to carry out the spectrum of work. In response, they advised the Team to:</p> <ol style="list-style-type: none"> <li>a. Focus on completing due A-D inspections</li> <li>b. Focus on completing overdue C-D inspections</li> <li>c. This authorisation to shift focus has necessitated a new work programme designed to achieve the desired outcome which has now been developed by the Lead Practitioner.</li> </ol> <ol style="list-style-type: none"> <li>1. The new work programme has been implemented, and focus was given to completing due A-D inspections and overdue C-D inspections.</li> <li>2. There are still issues with recruitment, as a FTE officer has resigned, and an agency officer left with no notice. Still a need to recruit to 1.4 X FTE food safety officers to address the vacancies.</li> </ol> <p>Met with the FSA again on 26th October 18, and they confirmed they were pleased with progress, as the new focus has reduced the overdue inspections considerably. They are following up in 3 months, and anticipate signing off the audit in 6 months if progress is maintained. It should be noted that at the October monthly performance review for this service, all Performance Indicators were reported as Green (on track).</p>	4	3	12	<ol style="list-style-type: none"> <li>1. Establish a process whereby recruitment to Bromley is encouraged and staff are provided with an incentive to remain.</li> <li>2. Build resilience into food safety team.</li> </ol>	Joanne Stowell
13	18	All ECS	<b>Town Centre Businesses</b> Loss of town centre businesses to competition	<p><b>Cause(s):</b></p> <ul style="list-style-type: none"> <li>- Failure to redevelop high streets coupled with competition from out-of-town developments and online shopping</li> </ul> <p><b>Effect(s):</b></p> <ul style="list-style-type: none"> <li>- Reduction in high street business and market stall occupancy</li> <li>Loss of income (Business rates and market stalls)</li> <li>Poor public perception and negative publicity</li> </ul>	Financial	3	4	12	<ol style="list-style-type: none"> <li>1. BID Teams organise town centres events</li> <li>2. Investment in Orpington High Street and Bromley North (done)</li> <li>3. Regular advertising/promotion of markets and availability of stalls</li> <li>4. Review of Market operational costs to reduce costs where possible (a Commissioning exercise is underway as at December 2018 for the markets service)</li> <li>5. Regular maintenance and renewal of market infrastructure - recent market relocation project has been undertaken.</li> </ol>	2	3	6	<ol style="list-style-type: none"> <li>1. Ongoing review of market provision linked to outsourcing service provision to Bromley Business Improvement District</li> <li>2. Detailed annual action plan to be drawn up for each town centre</li> </ol>	Colin Brand
14	19	Traffic and Parking	<b>New Parking Schemes</b> Failure to deliver new Parking schemes resulting in income loss and congestion	<p><b>Cause(s):</b></p> <ul style="list-style-type: none"> <li>Increasing demand from residents for parking schemes coupled with decreasing grant funding from TfL</li> </ul> <p><b>Effect(s):</b></p> <ul style="list-style-type: none"> <li>Increased congestion and reduced income</li> </ul>	Service Delivery	3	4	12	<ol style="list-style-type: none"> <li>1. Setup register of agreed schemes with designated officers and timescales</li> <li>2. Develop and agree financial appraisal framework with finance department</li> <li>3. Software procured (2013/14) to help improve project and programme management</li> </ol>	2	2	4	<ol style="list-style-type: none"> <li>1. Consideration to be given to better balancing the cost of scheme design against parking charges</li> </ol>	Angus Culverwell

## Environment & Community Services (ECS) Risk Register

													DATE LAST REVIEWED:	17/12/2018
No.	ECS RISK REF	DIVISION	RISK TITLE & DESCRIPTION	RISK CAUSE & EFFECT	RISK CATEGORY	GROSS RISK RATING			EXISTING CONTROLS IN PLACE TO MITIGATE THE RISK	CURRENT RISK			FURTHER ACTION REQUIRED	RISK OWNER
						LIKELIHOOD	IMPACT	RISK RATING		LIKELIHOOD	IMPACT	RISK RATING		
15	20	All ECS	<b>Staff Resourcing and Capability</b> Loss of corporate memory and ability to deliver as key staff leave (good new staff are at a premium)	<p><b>Cause(s):</b></p> <ul style="list-style-type: none"> <li>-Availability of suitably qualified / experienced staff to replace retirees and leavers. Particular problem within Planning, Environmental Health and Traffic professionals (TIL offers better remuneration and career progression). Lack of incentive for good staff to remain at LBB.</li> </ul> <p><b>Effect (s):</b></p> <ul style="list-style-type: none"> <li>-Loss of organisational memory, greater reliance on contracted staff, delays in delivering services / plans (e.g. Transport Local Implementation Plan, FSA Audit plan). Inability to effectively manage contracts as Contract Managers may have started out in a different role (i.e. as Service Managers) and do not have the necessary expertise to do so (i.e. auditing).</li> </ul>	Service Delivery	3	4	12	1. Ongoing programme to find and retain quality staff through internal schemes such as career grades and ongoing CPD	2	2	4	<p>1. Consider potential for contractors to supply necessary skills</p> <p>2. Review options with HR for incentivisation schemes to ensure staff recruitment and retention is high</p>	Nigel Davies
16	21	Streetscene and Greenspace	<b>Burial Space</b> Insufficient Council-operated burial space for long-term demand	<p><b>Cause(s):</b></p> <ul style="list-style-type: none"> <li>-Potential lack of acceptable local space for burials (ashes interment not a problem)</li> </ul> <p><b>Effect (s):</b></p> <ul style="list-style-type: none"> <li>-Leading to reputational damage</li> </ul>	Reputational	3	3	9	<p>1. Burial plots are available at St Mary Cray and Biggin Hill (with some limited capacity in other sites for partners of deceased)</p> <p>2. New cemetery provided by the private sector at Kemnal Manor Chislehurst, which will alleviate pressures on Council-owned burial space</p> <p>3. Excess Death Plan is in place and held by Emergency Planning (with regard to burial capacity in the Coronial Area)</p> <p>4. Mortuary contract procurement is in progress</p>	2	2	4	<p>1. Monitor availability of private sector capacity</p> <p>2. Consider what further burial alternatives are being provided by the private sector i.e. new cemetery at Kemnal Manor, Chislehurst</p>	John Bosley
17	22	All ECS	<b>Climate Change</b> Failure to adapt the borough and Council services to our changing climate	<p><b>Cause(s):</b></p> <ul style="list-style-type: none"> <li>-Severe weather events including extreme heat, storms, floods etc.</li> </ul> <p><b>Effect (s):</b></p> <ul style="list-style-type: none"> <li>-Resulting in threats to service provision, environmental quality and residents' health</li> </ul>	Service Delivery	3	3	9	<p>1. Adopt best adaptation practice as identified through London Climate Change Partnership, UK Climate Impacts Programme, and the Local Adaptation Advisory Panel</p> <p>2. Implementation of LBB's Carbon Management Programme</p> <p>2. LBB Surface Water Management Plan and Draft Local Flood Risk Strategy</p>	2	3	6	<p>1. Emergency Planning to liaise with Public Health on cross-cutting issues e.g. excess summer deaths and vector-borne disease etc.</p>	Sarah Foster
18	23	Public Protection	<b>Mortuary Contract</b> Failure to procure tendered services to budget	<p><b>Cause(s):</b></p> <ul style="list-style-type: none"> <li>- Lack of interest from potential bidders</li> <li>- Tendered costs being higher than budget / forecast</li> </ul> <p><b>Effect(s):</b></p> <ul style="list-style-type: none"> <li>- Risk of challenge</li> <li>- Reputational damage</li> <li>- Failure to achieve best value</li> <li>- Lack of competition / bids</li> <li>- Failure to deliver service to requirements / KPIs / expectations</li> </ul>	Financial & Service Delivery	4	4	16	<p>1. Existing contract extended whilst negotiations are underway</p>	3	4	12	<p>1. Partnership agreement The Assistant Director is in a negotiated contract process with the PRUH, and is exploring alternative delivery options for the future provision of the service.</p>	Joanne Stowell
19	24	Public Protection	<b>CCTV Contract (Mobilisation)</b> Failure to effectively mobilise the new CCTV contracts	<p><b>Cause(s):</b></p> <ul style="list-style-type: none"> <li>- Unfamiliarity with new contract model (client &amp; contractors)</li> <li>- Lack of client capacity to progress mobilisation</li> <li>- Lack of supplier capacity to progress mobilisation</li> <li>- Significant service change requiring service-user consultation</li> <li>- Lack of preparation of contract transition (exit and mobilisation) plans</li> </ul> <p><b>Effect(s):</b></p> <ul style="list-style-type: none"> <li>- Reputational damage</li> <li>- Costs incurred as a result of additional last minute resources required to deliver services</li> <li>- Failure to deliver service to requirements / KPIs / expectations</li> </ul>	Service Delivery, Financial & Reputational	2	3	6	<p>1. Regular Project Board meetings are held to discuss contract transition</p> <p>2. Transition Plans are being developed (including exit and mobilisation plans for each contract)</p>	1	3	3	<p>1. Continued review of contract transition plans as part of client project meetings</p> <p>2. Regular discussions of exit plans with supply chain (and commissioning support) through monthly contract meetings (additional meetings to be held as contract end date approaches)</p>	Joanne Stowell

## Environment & Community Services (ECS) Risk Register

													DATE LAST REVIEWED:	17/12/2018
No.	ECS RISK REF	DIVISION	RISK TITLE & DESCRIPTION	RISK CAUSE & EFFECT	RISK CATEGORY	GROSS RISK RATING			EXISTING CONTROLS IN PLACE TO MITIGATE THE RISK	CURRENT RISK			FURTHER ACTION REQUIRED	RISK OWNER
						LIKELIHOOD	IMPACT	RISK RATING		LIKELIHOOD	IMPACT	RISK RATING		
20	25	Public Protection	<b>Income Reconciliation (Public Protection Licensing)</b> Uncertainty around income reconciliation when the Council is looking to grow income to offset reduced funding	<b>Cause(s):</b> - Lack of processes to reconcile actual licence fee income against expected income held on service specific IT systems.  <b>Effect (s):</b> - Loss of income with potential to reduce service delivery funds - Reputational damage	Financial	3	2	6	1. Regular income monitoring 2. Good debt recovery systems 3. Monitoring of activity through Performance Indicators 4. Continual Benchmarking of licensing charges against other authorities	3	2	6	1. Refine procedure for reconciliation of expected income against actual and provide suitable training for staff to deliver this	Joanne Stowell
21	26	Streetscene and Greenspace	<b>Income Reconciliation (Waste Management)</b> Uncertainty around income reconciliation linked to the mobilisation of new waste contracts	<b>Cause(s):</b> - Lack of integration between client and service provider IT systems so that data is not linked  <b>Effect (s):</b> - Loss of income from Commercial Waste and Green Garden Waste services with potential to reduce service delivery funds - Costs incurred as a result of additional last minute resources required to deliver services - Reputational damage	Financial	3	2	6	1. Regular income monitoring 2. Good debt recovery systems 3. Monitoring of activity through Performance Indicators	1	2	2	1. Refine procedure for reconciliation of expected income against actual and provide suitable training for staff to deliver this 2. Governance of mobilisation to be provided through the Environmental Services Commissioning project board.	John Bosley
22	27	Streetscene and Greenspace	<b>Bromley Town Centre Market Reorganisation</b> Failure to deliver a successful market reorganisation which meets the needs of traders, businesses and customers	<b>Cause(s):</b> - Insufficient engagement to identify the needs of all stakeholders throughout the project  <b>Effect (s):</b> - Inability to deliver a thriving town centre market - Loss of income from reduced market stall hire - Reputational damage caused by dissatisfied businesses	Reputational/ Financial	3	3	9	1. Project Manager identified to lead on market reorganisation 2. Regular stakeholder meetings to review the progress of the market reorganisation (Markets Manager, Markets Supervisor, enforcement team, Highways team, Planning team and BID) 3. Public consultation on the design and layout of the new market position 4. Live RAID log maintained by Markets Manager and Business Support Team detailing any concerns raised by stakeholders and actions to address them 5. Regular dialogue with traders and businesses (in person meet and greet with Markets Manager and Markets Supervisor) 6. Successful launch event with the Mayor for new market location to officially open Christmas trading	2	3	6	1. Lessons learned documentation to be completed 2. Meetings with Highways team to be continued in order to complete outstanding Highways snagging list in the High Street	Sarah Foster
23	28	Public Protection	<b>Dogs and Pests Contract</b> Failure to deliver the contract to the required service levels	<b>Cause(s):</b> - Lack of robustness within contract specification in terms of contract deliverables and Key Performance measures  <b>Effect (s):</b> - Inability to deliver statutory functions - Reputational damage	Service Delivery	3	2	6	1. Identification of named Contract Manager 2. Regular contract management meetings with service provider 3. Review of contract specification to identify change control requirements	2	2	4	1. Implementation of Change Control Notices	Joanne Stowell
24	29	Public Protection	<b>Out of Hours Noise Service</b> Failure to deliver statutory services	<b>Cause(s):</b> The out of hours noise service is dependant on grant funding from the Mayors Office for Policing & Crime (MOPAC) by way of the Local Crime Prevention Fund. This grant is released on a 2 year cycle, current cycle ends March 2020. The grant was reduced in 2017 and there is no guarantee it will be sustained post April 2020.  <b>Effect:</b> Inability to deliver Out of Hours Noise Service.	Service Delivery	3	4	12	1. Annual review with MOPAC on service outcomes	3	4	12	1. Meetings with MOPAC to ensure early warnings of any change to funding levels. MOPAC funding is outside of the control of LBB.	Rob Vale
25	30	Public Protection	<b>Integrated Offender Management</b> Failure to contribute to IOM in Bromley	<b>Causes:</b> - IOM functions are reliant on grant funding from MOPAC via the LCPF, equates to one day per week. Reduction or cessation of grant after April 2020.  <b>Effect:</b> - Inability to contribute to IOM in Bromley.	Service Delivery	3	4	12	1. Annual review with MOPAC on service outcomes	3	4	12	1. Meetings with MOPAC to ensure early warnings of any change to funding levels. MOPAC funding is outside of the control of LBB.	Rob Vale

## Environment & Community Services (ECS) Risk Register

											DATE LAST REVIEWED:		17/12/2018	
No.	ECS RISK REF	DIVISION	RISK TITLE & DESCRIPTION	RISK CAUSE & EFFECT	RISK CATEGORY	GROSS RISK RATING			EXISTING CONTROLS IN PLACE TO MITIGATE THE RISK	CURRENT RISK			FURTHER ACTION REQUIRED	RISK OWNER
						LIKELIHOOD	IMPACT	RISK RATING		LIKELIHOOD	IMPACT	RISK RATING		
26	31	Public Protection	<b>Anti-Social Behavior Co-Ordinator post:</b> Failure to deliver ASB problem solving and partnership activity	<p><b>Cause(s):</b> -Grant from MOPAC via the LCPF is used to fund the ASB Co-ordinator post which is responsible for delivering targeted ASB project work across the borough with partner agencies.</p> <p><b>Effect:</b> -Inability to fund this post would result in the cessation of targeted ASB work with partners across the borough. Funding for this post was reduced in 2018 and the shortfall was met by LBB. Continued funding would need to be identified to sustain the post beyond April 2019.</p>	Service Delivery	3	4	12	1. Review of project outcomes to determine whether they can be delivered on a reduced budget with LBB contributions in kind	3	4	12	1. Review of Community Safety functions to allow for MOPAC project delivery on reduced days per week. MOPAC funding is outside of the control of LBB.	Rob Vale

Report No:  
CSD19007

London Borough of Bromley

**PART ONE - PUBLIC**

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**Decision Maker:** PUBLIC PROTECTION AND ENFORCEMENT PDS  
COMMITTEE

**Date:** 30<sup>th</sup> January 2019

**Decision Type:** Non-Urgent Non-Executive Non-Key

**Title:** WORK PROGRAMME

**Contact Officer:** Stephen Wood, Democratic Services Officer  
Tel: 020 8313 4316 E-mail: stephen.wood@bromley.gov.uk

**Chief Officer:** Mark Bowen, Director of Corporate Services

**Ward:** All

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1. Reason for report

1.1 Members are asked to review the Committee's Work Programme, and also to make suggestions for any modifications to the Work Programme as considered appropriate

1.2 Members should note that the Work Programme is fluid and subject to change as required.

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**2. RECOMMENDATIONS**

**2.1 That the Committee:**

(1) Notes the current Work Programme.

(2) Comments on any matters that it thinks should be incorporated into the Work Programme going forward.

### Corporate Policy

1. Policy Status: Existing Policy: Committees normally receive a report on the Work Programme and Contracts Register at each meeting.
  2. BBB Priority: Excellent Council Safer Bromley
- 

### Financial

1. Cost of proposal: No Cost
  2. Ongoing costs: Not Applicable:
  3. Budget head/performance centre: Democratic Services
  4. Total current budget for this head: £350,650
  5. Source of funding: 2018/2019 revenue budget
- 

### Staff

1. Number of staff (current and additional): 8 posts (6.87fte)
  2. If from existing staff resources, number of staff hours: Maintaining the Committee's Work Programme normally takes approximately an hour per meeting, but is fluid and may need to be modified as required.
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### Legal

1. Legal Requirement: None:
  2. Call-in: Not Applicable: This report does not involve an executive decision.
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### Customer Impact

1. Estimated number of users/beneficiaries (current and projected): This report is primarily for the benefit of Committee Members.
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### Ward Councillor Views

1. Have Ward Councillors been asked for comments? No
2. Summary of Ward Councillors comments: N/A

### 3. COMMENTARY

#### Forward Programme

- 3.1 The table at **Appendix 1** sets out the Public Protection and Enforcement PDS Forward Work Programme. The Committee is invited to comment on the schedule and to propose any changes it considers appropriate. The Committee is also invited to make suggestions with regard to Member visits.
- 3.2 Other reports may come into the programme - schemes may be brought forward or there may be references from other Committees, the Portfolio Holder or the Executive.
- 3.3 Members are asked to note the update concerning the **CCTV monitoring report**. The CCTV monitoring report was originally due to be presented to PP&E PDS on 4<sup>th</sup> December. However this has not proved feasible. The report has been delayed due to the need to conduct 'Invitation to Tender Interviews'. The report has been scrutinised at the Executive, Resources and Contracts PDS Committee on 8<sup>th</sup> January, and then also at the Executive for decision on 16<sup>th</sup> January. A copy of the report is attached for information.

### 4. POLICY IMPLICATIONS

- 4.1 Each PDS Committee is responsible for setting its own work programme.

Background Documents: (Access via Contact Officer)	Previous Work Programme Reports and minutes of previous meetings.
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**PP&E PDS COMMITTEE - FORWARD WORK PROGRAMME**

<b>PUBLIC PROTECTION AND ENFORCEMENT PDS—30<sup>th</sup> January 2019</b>
Matters Arising
Police Update
Draft Budget for 2019/2020
Parking Services Contractor Performance Review – APCOA Parking. Year 2
Contracts Register Report and Database Extract
PP&E Performance Overview
Work Programme
Emergency Planning and Business Continuity Update Report.
MOPAC Update Report
Risk Register Update for the Public Protection Portfolio
<b>PUBLIC PROTECTION AND ENFORCEMENT PDS—21<sup>st</sup> March 2019</b>
Matters Arising
Police Update
Prevent Update Report--TBC
Budget Monitoring
Contracts Register Report
Enforcement Scrutiny Neighbourhood Management
Enforcement Scrutiny Report—Public Protection
Enforcement Activity Progress Report
Report on Expenditure on Consultants
General Fees and Charges Report
Work Programme
<b>POSSIBLE FUTURE PRESENTATIONS and AGENDA ITEMS</b>
Knife and Serious Violence Action Plan
Mortuary Contract Update
Report on LBB's contract with the Coroner.
Update on the outcomes pertaining to the Bromley Locality Review.
<b>POSSIBLE FUTURE VISITS</b>
Coroners' Court.

By virtue of paragraph(s) 1, 2 of Part 1 of Schedule 12A  
of the Local Government Act 1972.

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By virtue of paragraph(s) 2 of Part 1 of Schedule 12A  
of the Local Government Act 1972.

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