

POLICY AND RESOURCES CABINET COMMITTEE

Friday, 15th September, 2017

10.00 am

**Council Chamber, Sessions House, County Hall,
Maidstone**





AGENDA

POLICY AND RESOURCES CABINET COMMITTEE

Friday, 15 September 2017, at 10.00 am Ask for: **Ann Hunter**
Council Chamber, Sessions House, County Telephone: **03000 416287**
Hall, Maidstone

Tea/Coffee will be available 15 minutes before the start of the meeting

Membership (15)

Conservative (12): Mr B J Sweetland (Chairman), Mr R A Marsh (Vice-Chairman),
Mr P V Barrington-King, Mr T Bond, Mr N J D Chard, Mrs P T Cole,
Mrs M E Crabtree, Mr P W A Lake, Mr J P McInroy, Miss C Rankin,
Mr H Rayner and Mr I Thomas

Liberal Democrat (2): Mr R H Bird and Mrs T Dean, MBE

Labour (1) Ms K Constantine

Webcasting Notice

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By entering into this room you are consenting to being filmed. If you do not wish to have your image captured please let the Clerk know immediately

UNRESTRICTED ITEMS

(During these items the meeting is likely to be open to the public)

- 1 Introduction/Webcast announcement
- 2 Apologies and Substitutes
To receive apologies for absence and notification of any substitutes present

- 3 Declarations of Interest by Members in items on the Agenda
To receive any declarations of interest made by Members in relation to any matter on the agenda. Members are reminded to specify the agenda item number to which it refers and the nature of the interest being declared.
- 4 Minutes of the meeting held on 16 June 2017 (Pages 7 - 12)
To consider and approve the minutes as a correct record.
- 5 Minutes of the meeting of the Property Sub-Committee held on 21 March 2017 (Pages 13 - 16)
To note the minutes.
- 6 Strategic and Corporate Service Directorate Dashboard (Pages 17 - 30)
To receive and note a report showing progress made against targets for Key Performance Indicators
- 7 Financial Monitoring 2017 - 18 (Pages 31 - 36)
To consider and note the July 2017-18 budget monitoring position.
- 8 Contract Management (Pages 37 - 64)
To consider and note the contract management review programme of the Budget and Programme Delivery Board sub-group for the 2017/18 financial year and high level findings of the group from 2016/17.
- 9 Corporate Assurance Analysis Bi-annual Review (Pages 65 - 98)
To consider and note the key findings from Corporate Assurance on major change projects and programmes in the period March 2017 to August 2017.
- 10 Policy Framework - Strategies and Policies for Close Down (Pages 99 - 112)
To put forward for consideration and comment a number of appropriate KCC strategies and policies to be closed down, in accordance with the new approach to managing the policy framework.
- 11 Customer Feedback Policy (Pages 113 - 144)
To receive for consideration and endorsement, the revised version of the Customer Feedback Policy.
- 12 Senior Information Risk Owner - Update (Pages 145 - 148)
To receive an update on the implementation of forthcoming Data Protection legislation and information governance training generally.
- 13 Work Programme 2017/18 (Pages 149 - 152)
To consider and agree a work programme for 2017/18

Motion to Exclude the Press and Public

That under Section 100A of the Local Government Act 1972 the press and public be excluded from the meeting for the following business on the grounds that it involves the likely disclosure of exempt information as defined in paragraph 3 of Part 1 of Schedule 12A of the Act.

14 Company Governance (Pages 153 - 170)

To receive an exempt report concerning company governance at KCC.

John Lynch,
Head of Democratic Services
03000 410466

Thursday, 7 September 2017

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KENT COUNTY COUNCIL

POLICY AND RESOURCES CABINET COMMITTEE

MINUTES of a meeting of the Policy and Resources Cabinet Committee held in the Darent Room, Sessions House, County Hall, Maidstone on Friday, 16 June 2017

PRESENT: Mr B J Sweetland (Chairman), Mr P V Barrington-King, Mr R H Bird, Mr T Bond, Mrs P T Cole, Ms K Constantine, Mr G Cooke (Substitute for Mrs M E Crabtree), Mr P J Homewood, Mr P W A Lake, Mr R A Marsh, Mr J P McInroy, Miss C Rankin and Mr I Thomas

ALSO PRESENT: Miss S J Carey, Mr E E C Hotson and Mr J D Simmonds, MBE

IN ATTENDANCE: Mrs A Beer (Corporate Director Engagement, Organisation Design & Development), Mr D Cockburn (Corporate Director Strategic & Corporate Services), Ms D Exall (Strategic Relationship Adviser), Ms D Fitch (Democratic Services Manager (Council)), Mr R Fitzgerald (Performance Manager), Mr M Lloyd (Head of Technology Commissioning and Strategy), Ms K Ripley (Facilities Management and Capital Lead), Mr M Scott (BSC Transformation Director), Mrs R Spore (Director of Infrastructure), Miss E West (Democratic Services Officer) and Mr A Wood (Corporate Director of Finance)

UNRESTRICTED ITEMS

2. Introduction/Webcast announcement

(Item 1)

The Chairman advised that he intended to consider the Total Facilities Management item (Item 9 on the agenda) in the exempt part of the meeting as the consideration of this item was likely to involve the disclosure of exempt information.

3. Apologies and Substitutes

(Item 3)

Apologies for absence were received from Mrs Dean, Mr Chard and Mrs Crabtree. Mr Homewood and Mr Cooke attended as substitutes for Mr Chard and Mrs Crabtree respectively.

4. Election of Vice-Chairman

(Item 2)

Mr J McInroy proposed that Mr A Marsh be elected as the Vice-Chairman of the Cabinet Committee, Mr P Barrington-King seconded.

Agreed without a vote

5. Declarations of Interest by Members in items on the Agenda

(Item 4)

There were no Declarations of Interest.

6. Minutes of the meeting held on 8 March 2017 and 25 May 2017

(Item 5)

Resolved that the minutes of the meetings held on 8 March 2017 and 25 May 2017 are correctly recorded and that they be signed by the Chairman.

7. Minutes of the meetings of the Property Sub-Committee held on 21 February 2017

(Item 6)

Resolved that the minutes of the meeting held on 21 February 2017 be noted.

8. Strategic and Corporate Service Directorate Dashboard

(Item 7)

Richard Fitzgerald (Business Intelligence Manager), Rebecca Spore (Director of Infrastructure), Ben Watts (General Counsel) and Amanda Beer (Corporate Director Engagement, Organisation Design & Development, Strategic and Corporate Services) were in attendance for this item.

- (1) Mr Fitzgerald introduced the Strategic and Corporate Services year-end report and the key performance indicators, the indicators and targets discussed were set out at the beginning of the year through the annual business plan and were aligned either to the priorities for the year or as core business. The results in the report summarised the indicators in the dashboard for the last financial year. Although there were areas that could be improved, Mr Fitzgerald commented on the overall excellent result and confirmed that the majority of indicators were on or ahead of target.
- (2) Ms Spore referred to the Capital Receipts target and confirmed that the target for the last financial year was significantly higher than the preceding year. The balancing figure required to fund the capital programme was £50 million and a programme had been introduced to seek potential disposal. £17.8 million of assets had been disposed of during last financial year but there was a financial shortfall. A number of sites had been taken to market and both conditional and unconditional offers received. Conditional offers were taken in consultation with Finance as they represented better value for the County Council. After the discussion with Finance, a bridging mechanism had been agreed to allow the Capital Programme to be funded. There had been issues with planning processes for some sites where appeals had been pursued which caused delays in terms of delivery.
- (3) Mr Hotson undertook to consider the suggestion of a three-year rolling programme for the Property Capital Programme.
- (4) In relation to GL03 Data Protection Act Subject Access requests, Mr Watts confirmed that although the target had not been met for a number of years, the target mark would not change. He explained that Data Protection Act Subject Access requests could include requests by care leavers who may have left care a long time ago and therefore have paper records which were time consuming to provide. He acknowledged that this indicator could be improved if more resources were allocated but it was agreed not to change this. However, there was an

improvement in performance from 80% in the previous year to 82% this year. He emphasised that the team continued to work hard and deal with the difficult circumstances and challenges well.

- a) In response to a question about the Data Protection Act Subject Access requests timescale, Mr Watts confirmed that the requirement was to respond to requests within 40 calendar days.
 - b) A Member suggested that a performance indicator should be included in the Dashboard which set out the compliance with mandatory Data Protection and Information and Governance training for Officers. Mr Hotson also confirmed that the suggestion would be taken on board.
 - c) A Member commented on the unrecorded net receipts for the last financial year and suggested new ways in which performance could be measured; these comments were taken on board.
 - d) In response to a question from a Member, Mr Hotson undertook to provide dates on the pipeline of capital receipts to future meetings.
 - e) A Member requested more information on the activity indicators and the number of visits to the Kent County Council website. Mrs Beer confirmed that there had been over 5 million visits to the website and said that the library and school admissions pages were particularly popular and that these statistics would be included in future reports. Miss Carey suggested that a detailed report on the usage of the website should be added to the Work Programme.
 - f) Mrs Beer confirmed that the KCC website was in the top 50 websites across the country. She informed the Committee that 'web chat' had been introduced which enabled staff in the contact centre to help people with queries at the first point of contact. Mrs Beer confirmed that it was not possible to obtain information of which webpages staff were accessing.
 - g) A Member commented on the increase in staff who felt that communication within the organisation had improved within the last 12 months.
- (5) Resolved that the Strategic and Corporate Service Directorate Dashboard be noted.

9. Revenue & Capital Budget Monitoring Report 2016-17 - Provisional Outturn *(Item 8)*

Andy Wood (Corporate Director of Finance, Strategic and Corporate Services) was in attendance for this item.

- 1) Mr Wood introduced the report and explained that the over-spend of £11 million at October 2016 had decreased to £8 million in December 2016 and that delivering an under-spend had proved to be challenging.

- 2) Mr Simmonds reminded Members that for 17 consecutive years, an under-spend had been delivered and that the budget issues had not prevented the directorates from keeping front line services in place.
 - a) Mr Wood undertook to provide Mr Bird with a full list of the variations on the Financing budget line to the 2016-2017 budget.
 - b) A Member commented on the current street lighting fixtures and asked why the majority of concrete posts still awaiting replacement were in the Thanet area. Mr Wood and Miss Carey explained that this programme was still being rolled out and the works were being prioritised within the whole County Council budget.
- 3) Resolved that the provisional outturn for revenue and capital for 2016-2017 be noted.

10. Annual Report on the Implementation of the Armed Forces Covenant in Kent

(Item 10)

Debra Exall (Strategic Relationships Adviser) was in attendance for this item.

- 1) Mr Long updated the Committee on the successful cross-border bid between Kent and neighbouring counties. The £321,000 awarded would be used across Kent, Surrey, Sussex and Hampshire to train front line staff to meet the needs of armed forces personnel and their families, develop a smart phone app to make it easier for members of the armed forces to find appropriate support and guidance and establish a network of career coaches to help those making the transition to civilian life.
- 2) In response to a question about partnership working with the armed forces champions, Ms Exall stated that she works closely with other districts and borough councils. Every district and borough had a Councillor who was allocated as their armed forces champion. The districts and boroughs also had supporting officers with whom Ms Exall met regularly.
 - a) Members commented on the scheduled closure in 2027 of The Queens Ghurka Engineers based in Maidstone and asked for further clarification and reassurance on this decision. Mr Long and Ms Exall confirmed that they were aware of the issues and that they were currently in conversation with councils in London regarding the placement of homeless families.
 - b) A Member asked whether the cadets for the Army, Navy, Airforce and Royal Marines were part of the Armed Forces covenant programme. Mr Long confirmed that, although the cadets had been specifically excluded from the national Covenant initially, pressure was being brought to bear about this across the country. The Kent & Medway Civilian Military Partnership Board's terms of reference and action plan included the cadets from all four services, as everybody should contribute to promoting and supporting the cadets.
- 3) Resolved that:
 - a) The Covenant work to date be endorsed;

- b) A commitment given to the priorities going forward;
- c) The Covenant be championed by the Committee across the County;
- d) Local Members be invited to engage locally in Covenant efforts.

11. Work Programme

(Item 11)

Resolved that the work programme for 2017-18 be noted subject to the inclusion of Data Protection and the Kent County Council website.

12. Total Facilities Management - Bi-annual Review

(Item 9)

Rebecca Spore (Director of Infrastructure) and Karen Ripley (Property Commissioning Team) were in attendance for this item.

- 1) Ms Spore introduced the report which updated the Committee on the performance of the Total Facilities Management (TFM) Contracts - Mid Kent with Amey, West Kent with Skanska, and East Kent with Kier, as reviewed by the Property Sub Committee in February 2017. The report provided Members with assurance that management and monitoring of the three TFM contracts were in place.
- 2) Mr Hotson, Cabinet Member for Corporate and Democratic Services, Ms Spore and Ms Ripley answered detailed questions from Members in relation to the contract generally and performance specifically.
- 3) Officers undertook to arrange a briefing for Members on the role of GEN2.
- 4) RESOLVED that the current performance of the TFM contractors and assurance from the Property Sub Committee be noted.

13. Motion to Exclude the Press and Public

Resolved that under Section 100A of the Local Government Act 1972 the press and public be excluded from the meeting for the following items of business on the grounds that they involved the likely disclosure of exempt information as defined in paragraph 3 of Part 1 of Schedule 12A of the Act.

14. Business Services Centre Trading Company

(Item 12)

Rebecca Spore (Director of Infrastructure) and Mark Scott (Business Services Centre Transformation Director) were in attendance for this item.

- 1) Ms Spore introduced the report, illustrated by a PowerPoint presentation, on the option to implement a new service delivery model for the Business Services Centre through the creation of an arm's length trading vehicle from which KCC would commission transactional Finance, HR and ICT services.
- 2) Mr Hotson, Ms Spore and Mr Scott answered questions from Members on the presentation and detail of the proposal. It was confirmed that the Committee

would have the opportunity to comment further on the proposal at their next meeting, prior to a final decision being taken.

- 3) It was suggested that Members might find it helpful to visit Commercial Services to show how KCC traded companies operated, in conjunction with the briefing on BSC and GEN2 mentioned in the previous item. Officers were requested to arrange a Member's briefing on KCC's trading companies before the next Committee Meeting in September.
- 4) Resolved that:
 - a) The current progress be noted and the recommendation to proceed in the creation of a trading structure for the Business Services Centre be endorsed.
 - b) The continued development of the implementation plans which include the establishment of shadow governance, contractual and trading arrangements in line with the implementation plan with associated spend as outlined in section 5 and 7.2 in the report be noted.
 - c) It be noted that further updates will be provided to the Policy and Resources Cabinet Committee and the Commissioning Advisory Board with a final decision to be taken in the Autumn to proceed with the launch date in the first financial quarter of 2018/19.

15. ICT Security Update

(Item 13)

Rebecca Spore (Director of Infrastructure) and Michael Lloyd (Head of Technology Commissioning & Strategy) were in attendance for this item.

- 1) Mr Lloyd introduced a report which updated the Committee on the security status, the threats faced by the Authority and how these were being addressed.
- 2) Mr Lloyd answered questions from Members. It was suggested that an item on the integration of ICT platforms be included in the work programme for this Committee.
- 3) The Committee recorded their thanks to ICT for their work in this dynamic environment.
- 4) Resolved that the report be noted.

KENT COUNTY COUNCIL

PROPERTY SUB-COMMITTEE

MINUTES of a meeting of the Property Sub-Committee held in the Council Chamber, Sessions House, County Hall, Maidstone on Tuesday, 21 March 2017.

PRESENT: Mr A J King, MBE (Chairman), Mr N J D Chard, Mrs T Dean, MBE, Mr C P D Hoare, Mr D Smyth and Mrs P A V Stockell

UNRESTRICTED ITEMS

97. Apologies and Substitutions

Apologies were received from Mr Leyland Ridings.

98. Declarations of interest in items on the agenda

Mr Nick Chard and Mrs Paulina Stockell reported that they were members of the Kent County Council Planning Applications Committee and confirmed that although they would take part in the consideration of Item B3 they would not pre-determine the matter in order that they could further consider it on planning grounds should any application be considered by the Planning Applications Committee in the future.

99. Minutes of the meeting held on 21 February 2017

(Item A3)

The minutes of the previous meeting, held on 21 February 2017, were approved as a correct record and signed by the Chairman accordingly.

100. Appropriation of Land at Boughton Mount, Boughton Lane, Maidstone, comprising Boughton Mount Hostel, Boughton Mount Grounds and former Maidstone SEC and Special Care Unit, to override a restrictive covenant.

(Item B1)

The Committee received a report detailing proposals for the appropriation of land at Boughton Mount, Maidstone which comprised Boughton Mount Hostel, Boughton Mount Grounds and the former Maidstone SEC and Special Care Unit to override a restrictive covenant.

Mr Gary Cooke, Cabinet Member for Corporate and Democratic Services introduced the report, in particular he referred to the following:

- That the site had been gifted to KCC in 1948 with a covenant restricting the use of the property to “the education of delicate children” which was subsequently broadened to include use as a residential and training centre.
- KCC had used the site for the prescribed purposes until 2010 since which time it had remained vacant.
- The property was now considered surplus to operational requirements but it would be necessary to release the restrictive covenant in order to realise the potential development and marketability of the site.

- A legal mechanism by which this could be achieved was available and the family were supportive of the proposals so long as the net sale receipt was directed towards special educational needs, thus retaining the original nature of the gift. Mr Cooke confirmed that this was KCC's intention.

The matter was put to the Committee for discussion and the following comments were made and responses from the Cabinet Member and officers to questions put were received:

- That a feasibility exercise had been undertaken in 2013 to assess the suitability of the site for the relocation of Five Acre Wood Special Educational Needs School but owing to the size of the developable area it was not considered to be financially viable.
- That a portion of the funding for the refurbishment work at Five Acre Wood was to be sourced from the Capital Programme and that this element could benefit from the contribution of the receipt from the sale of the site.

It was RESOLVED by a vote of 6:1 that the proposed decision of the Cabinet Member be endorsed.

101. Cross-Party Security Working Group

(Item B2)

The Chairman asked Members if, in discussing this item, they wished to refer to the information contained in the exempt appendix and hence consider the matter in closed session. Members agreed that they wanted to proceed on that basis and the matter was discussed in closed session at the end of the meeting.

102. Priority School Building Programme - Local Delivery

(Item B3)

The Committee received a report setting out the details of a request received from the Education Funding Agency that KCC deliver construction projects within Kent as part of the Priority Schools Building Programme Round 2.

The Cabinet Member for Corporate and Democratic Services, Mr. Cooke, introduced the report and said that Kent County Council would receive the necessary funding for the construction project at each school and a Project Delivery Grant to cover all appropriate costs to manage the project.

Rebecca Spore, Director of Infrastructure, also spoke to the item, in particular she referred to the following:

- i. On 1 May 2014, the Minister of State for Schools had announced that the Government would fund a further phase of the Priority Schools Building Programme (PSBP), with a value of around £2 billion.
- ii. On 9 February 2015, the Secretary of State for Education and the Minister of State for Schools announced that KCC had been successful for 7 bids in addition to 6 further schools across Kent where Academies had bid directly.
- iii. The EfA had offered local authorities the opportunity to deliver schemes locally using local procurement arrangements and local supply chains. These schemes would be funded by the EfA, but the opportunity for local authorities to contribute additional funds for basic need expansion would also be

available. The Cabinet Member was proposing that two schemes proceed through this Local Delivery approach:

- a. Swadelands School, Lenham – replacement of the Science Block
 - b. Benenden C of E Primary School – relocation to and expansion on a new site
- iv. The cost of the Swadelands School, Lenham project was expected to be in the region of £2.5 to £3 million, which would be fully funded by the EfA.
 - v. The cost of the Benenden C of E Primary School project was expected to be in the region of £5.5 million, of which KCC would contribute to the additional Basic Need requirement of 35 pupils. The EfA would fund the majority of the project costs and there was also discussion to be held with the diocese as to who would benefit from the land sale. Any additional capital requirement from KCC would be allocated by agreement of the Cabinet Member for Education and Health Reform.

The matter was put to the Committee for discussion and officers answered questions relating to the financial commitments of the EfA and the potential risk to the Council.

It was RESOLVED that the proposed decision of the Cabinet Member for Corporate and Democratic Services to:

- a) Authorise the Director of Infrastructure, in consultation with the General Counsel, to enter into any necessary contracts/agreements on behalf of the County Council;
- b) Authorise the Director of Infrastructure to ensure the appropriate level of funding was received from the Education Funding Agency to cover the costs of these projects and to ensure that Kent County Council did not incur any unforeseen costs and, in consultation with the Cabinet Member for Education and Health Reform, agree apportionment of costs in excess of the £1million currently budgeted;
- c) Authorise the Director of Infrastructure to be the nominated Authority Representative within the relevant contracts/agreements and to enter into variations as envisaged under the contract terms

be ENDORSED.

MOTION TO EXCLUDE THE PRESS AND PUBLIC

It was RESOLVED that the press and public be excluded for the following business on the grounds that it was likely that exempt information, as defined in paragraph 3 of Part 1 of Schedule 12A of the Local Government Act 1972, would be disclosed.

(OPEN ACCESS TO MINUTES)

103. Cross-Party Security Working Group (Item B2)

The Committee received a report providing an update on the work of the Cross-Party Security Working Group and setting out, for endorsement, a draft strategic statement and the next steps for the further enhancement of security at KCC sites.

Mr Gary Cooke, Cabinet Member for Corporate and Democratic Services, introduced the report. He reported that the Cross-Party Security Group had conducted several site visits and had been impressed with the quality of KCC staff and their awareness of, and adherence to, security measures but acknowledged that KCC had a mixed economy of buildings, some of which presented unique challenges.

Positive comments were received regarding the next steps set out in Appendix 2 of the report and the importance of communicating to staff the role of the individual in maintaining safe and secure buildings was also highlighted.

It was RESOLVED that the work undertaken by the Cross-Party Security Working Group be noted and the draft strategic statement and future works programme be endorsed.

104. Outcomes of Property Disposals - an update report on progress relating to disposals brought to the Property Sub-Committee in 2014, 2015 and 2016
(Item C1)

The Committee received an exempt report providing an update on the outcome and progress of various property disposals that had been presented to the Property Sub-Committee during 2014, 2015 and 2016, and detailing the final terms agreed, where applicable.

The Cabinet Member for Corporate and Democratic Services presented the report and he and the Director of Infrastructure answered questions relating to the twelve property disposals contained within the report.

It was RESOLVED that the information contained within the report be NOTED.

From: Eric Hotson, Cabinet Member for Corporate and Democratic Services
 John Simmonds, Cabinet Member for Finance
 Susan Carey, Cabinet Member for Customers, Communications and Performance
 David Cockburn, Corporate Director for Strategic and Corporate Services

To: Policy and Resources Cabinet Committee – 15 September 2017

Subject: Strategic and Corporate Services Performance Dashboard

Classification: Unrestricted

Summary:

The Strategic and Corporate Services Performance Dashboard shows progress made against targets set for Key Performance Indicators.

Recommendation(s):

The Policy and Resources Cabinet Committee is asked to NOTE the report.

1. Introduction

- 1.1. Part of the role of Cabinet Committees is to review the performance of the functions of the Council that fall within the remit of the Committee.
- 1.2. To support this role Performance Dashboards are regularly reported to each Cabinet Committee throughout the year.

2. Performance Dashboard

- 2.1. The Strategic and Corporate Services Performance Dashboard is attached in Appendix 1.
- 2.2. This is the first Dashboard report for the current financial year and includes performance results up to the end of July 2017.
- 2.3. The Dashboard includes twenty-six (26) Key Performance Indicators (KPIs) detailed in the Strategic and Corporate Services Directorate Business Plan 2017/18.
- 2.4. The Dashboard also includes a range of activity indicators which help give context to the Key Performance Indicators.
- 2.5. Key Performance Indicators are presented with RAG (Red/Amber/Green) alerts to show progress against targets. Details of how the alerts are generated are outlined in the Guidance Notes, included with the Dashboard in Appendix 1.
- 2.6. Latest month performance is reported as Green for 21 indicators, Amber for 4 indicators, with 1 indicator Red.

2.7. Direction of Travel for the latest results shows 14 KPIs improving, 6 stable and 4 indicators showing lower results, with two new indicators where previous results are not available.

3. Recommendation(s):

The Policy and Resources Cabinet Committee is asked to NOTE the performance position for Strategic and Corporate Services

4. Background Documents

The Strategic and Corporate Services Directorate Business Plan

<http://www.kent.gov.uk/about-the-council/strategies-and-policies/corporate-policies/business-plans>

5. Contact details

Report Author: Richard Fitzgerald
Business Intelligence Manager - Performance
Strategic Business Development and Intelligence
03000 416091
Richard.Fitzgerald@kent.gov.uk

Relevant Director: Vincent Godfrey
Director of Strategic Commissioning
03000 421995
Vincent.Godfrey@kent.gov.uk

Strategic and Corporate Services Performance Dashboard

Financial Year 2017/18

Results up to July 2017

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Produced by Strategic Business Development and Intelligence

Publication Date: August 2017



Guidance Notes

Key Performance Indicators

All Key Performance Indicators are provided with RAG (Red/Amber/Green) ratings and Direction of Travel Alerts.

RAG ratings are based on Targets and Floor Standards set out at the start of the year in the Directorate Business Plans.

RAG Ratings

GREEN	Performance has met or exceeded the current target
AMBER	Performance at acceptable levels, below the target but above the floor standard
RED	Performance is below the floor standard

DoT (Direction of Travel) Alerts

↑	Performance has improved in the latest month
↓	Performance has fallen in the latest month
↔	Performance is unchanged this month

Activity Indicators

Activity Indicators representing demand levels are also included in the report. They are not given a RAG rating or Direction of Travel alert. Instead, where appropriate, they are tracked within an expected range represented by Upper and Lower Thresholds. The Alert provided for Activity Indicators is whether results are within the expected range or not. Results can either be in expected range (**Yes**) or they could be **Above** or **Below**. Expected activity Thresholds are based on previous years' trends.

When activity indicators do not have expected levels stated in the Directorate Business Plans, they are shown in the report to provide context for the Key Performance Indicators. In such cases the activity indicators are simply shown with comparison to activity for the previous year.

Key Performance Indicator Summary

Engagement, Organisation Design and Development (EODD)	Month RAG	YTD RAG
Percentage of callers who rate the advisors in Contact Point as good	GREEN	GREEN
Percentage of calls to Contact Point answered	GREEN	AMBER
Percentage of calls to Contact Point answered in 40 seconds	AMBER	RED
Percentage of complaints responded to in timescale	GREEN	GREEN
Delivery of Health & Safety Action Plan against stated outcomes	GREEN	GREEN
Percentage of HR Commissions that deliver stated outcomes	GREEN	GREEN
Percentage of training that delivers commissioned learning outcomes	GREEN	GREEN
Percentage of staff who have completed all 3 mandatory learning events	AMBER	AMBER

Finance	Month RAG	YTD RAG
Pension correspondence processed within 15 working days	GREEN	GREEN
Retirement benefits paid within 20 working days of all paperwork received	GREEN	GREEN
Invoices received by Accounts Payable within 30 days of KCC received date	AMBER	AMBER
Invoices received on time by Accounts Payable processed within 30 days	GREEN	GREEN
Percentage of outstanding total debt over 6 months old	GREEN	N/a
Percentage of outstanding debt over 6 months old which is secured	AMBER	N/a

Finance (continued)	Month RAG	YTD RAG
Percentage of financial assessments fully completed within 15 days of referral	GREEN	RED

Governance and Law	Month RAG	YTD RAG
Council and Committee papers published at least five clear days before meetings	GREEN	RED
Freedom of Information Act requests completed within 20 working days	GREEN	AMBER
Data Protection Act Subject Access requests completed within 40 calendar days	GREEN	RED

Infrastructure	Month RAG	YTD RAG
Calls to ICT Help Desk resolved at the First point of contact	GREEN	AMBER
Positive feedback rating with the ICT help desk	GREEN	GREEN
Working hours where Kent Public Sector Network is available to staff	GREEN	AMBER
Working hours where ICT Service available to staff	GREEN	GREEN
Working hours where Email are available to staff	GREEN	GREEN
Percentage of rent due to KCC outstanding at 60 days above	RED	N/a
Percentage of annual net capital receipts target achieved	GREEN	N/a
Percentage of reactive tasks completed in Service Level Agreement standards	GREEN	GREEN

Service Area	Director	Cabinet Member	Delivery by:
EODD - Customer Services	Amanda Beer	Susan Carey	Agilisys

Key Performance Indicators

Ref	Indicator description	Latest Month	Month RAG	DoT	Year to Date	YTD RAG	Target	Floor Standard	Previous Year
CS01	Percentage of callers who rate the advisors in Contact Point as good	97%	GREEN	↓	98%	GREEN	95%	90%	98%
CS04	Percentage of calls to Contact Point answered	95%	GREEN	↑	94%	AMBER	95%	80%	97%
CS05	Percentage of calls to Contact Point answered in 40 seconds	71%	AMBER	↑	69%	RED	80%	70%	83%

Activity Indicators

Ref	Indicator description	Latest Month	In expected range?	Expected Activity		Prev. Yr Same Month
				Upper	Lower	
CS08	Number of calls answered by Contact Point (000s)	196.3	Yes	196.3	177.6	234.3
CS12	Number of visits to the KCC website, kent.gov (000s)	1,778	Above	1,740	1,480	1,734

CS05 – Increase in call waiting times this year have been due to increased average handling times, staff turnover and one off service campaigns that have generated high call volumes. We have been working with the supplier to address these issues and improvements were delivered for July and further improvement is expected in coming months.

CS08 – Reduced call volumes are a cost saving to KCC and efforts have been successful in achieving this.

CS12 – The County Council election results generated a high number of website visits. Other reasons for peaks in visits included the 'One You' Public Health campaign, and the primary school offer day in April.

Service Area	Director	Cabinet Member	Delivery by:
EODD	Amanda Beer	Eric Hotson	EODD

Results to June

Key Performance Indicators

Ref	Indicator description	Latest Month	Month RAG	DoT	Year to Date	YTD RAG	Target	Floor Standard	Previous Year
CS07	Percentage of complaints responded to in timescale	91%	GREEN	↑	91%	GREEN	85%	80%	86%
HR22	Delivery of Health & Safety Action Plan against stated outcomes	100%	GREEN	New	100%	GREEN	80%	75%	New
HR24	Percentage of HR Commissions that deliver stated outcomes	100%	GREEN	New	100%	GREEN	80%	75%	New

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Activity Indicators

Ref	Indicator description	Latest Month	In expected range?	Expected Activity		Prev. Yr Same Month
				Upper	Lower	
HR12	Number of current change activities being supported	75	Yes	75	60	136
HR16	Number of registered users of Kent Rewards	18,075	Yes	18,875	17,275	17,024
HR21	Number of current people management cases being supported	74	Yes	85	70	87

Service Area	Director	Cabinet Member	Delivery by:
EODD	Amanda Beer	Eric Hotson	Business Service Centre

Results to June

Key Performance Indicators

Ref	Indicator description	Latest Month	Month RAG	DoT	Year to Date	YTD RAG	Target	Floor Standard	Previous Year
HR09	Percentage of training that delivers commissioned learning outcomes	100%	GREEN	↔	100%	GREEN	95%	90%	100%
HR23	Percentage of staff who have completed all 3 mandatory learning events	89%	AMBER	↔	89%	AMBER	90%	85%	N/a

Activity Indicators

Ref	Indicator description	Year to date	In expected range?	Expected Activity		Prev. Yr YTD
				Upper	Lower	
HR13	Total number of E-learning training programmes completed	10,361	Above	8,750	6,250	17,525

HR23 – This has missed the target by 1%. Directorates have been receiving reports of completion levels; however the approach has recently changed and individuals will be notified when mandatory training is due for renewal. It is expected that this will result in an increase in the next quarter.

HR13 – This is influenced by factors such as the launch of new programmes, staff recruitment and the introduction and renewal cycle of mandatory courses. There was a large increase in course completions last year because of the introduction of Prevent training.

Service Area	Director	Cabinet Member	Delivery by:
Finance	Andy Wood	John Simmonds	Finance

Key Performance Indicators

Ref	Indicator description	Latest Month	Month RAG	DoT	Year to Date	YTD RAG	Target	Floor Standard	Previous Year
FN01	Pension correspondence processed within 15 working days	100%	GREEN	↑	99%	GREEN	98%	95%	100%
FN02	Retirement benefits paid within 20 working days of all paperwork received	98%	GREEN	↔	98%	GREEN	90%	85%	95%
FN07	Invoices received by Accounts Payable within 30 days of KCC received date	84%	AMBER	↓	83%	AMBER	85%	80%	84%

Activity Indicators

Ref	Indicator description	Year to date	Prev. yr YTD
FN01b	Pension correspondence processed	1,574	1,728
FN02b	Retirement benefits paid	671	684
FN07b	Number of invoices paid by KCC	39,488	45,340

FN07 – The Head of Finance Operations has recently emailed all Budget Holders to remind them of the importance of processing invoices and submitting them to the Payments Team as quickly as possible.

Service Area	Director	Cabinet Member	Delivery by:
Finance	Andy Wood	John Simmonds	Business Service Centre

Key Performance Indicators

Ref	Indicator description	Latest Month	Month RAG	DoT	Year to Date	YTD RAG	Target	Floor Standard	Previous Year
FN08	Invoices received on time by Accounts Payable processed within 30 days	99%	GREEN	↔	99%	GREEN	96%	93%	99%
FN09	Percentage of outstanding total debt over 6 months old	49%	GREEN	↑	Snapshot data		55%	60%	N/a
FN10	Percentage of outstanding debt over 6 months old which is secured	43%	AMBER	↑	Snapshot data		45%	38%	N/a
FN11	Percentage of financial assessments fully completed within 15 days of referral	95%	GREEN	↑	84%	RED	90%	85%	N/a

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Activity Indicators

Ref	Indicator description	Year to date	Prev. yr YTD
FN09b	Value of debt due to KCC (£000s)	23,445	21,447
FN11b	Number of financial assessments received	2,540	N/a

FN10 – The £650k owed by Canterbury Diocese is still outstanding for payment. The Director – Education, Planning & Access is leading for the negotiations regarding repayment of this debt. The Debt Recovery team have put in place a number of initiatives to reduce debt owed to the authority which includes regular meetings with Invicta Law to review their progress and to explore other avenues of securing debt.

FN11 - The annual reassessment process of 16,000 clients impacted on the Assessments Team ability to meet this KPI in May and June. Delivery is now back to above target and this expected to continue.

Service Area	Director	Cabinet Member	Delivery by:
Governance and Law	Ben Watts	Eric Hotson	Governance and Law

Key Performance Indicators

Ref	Indicator description	Latest Month	Month RAG	DoT	Year to Date	YTD RAG	Target	Floor Standard	Previous Year
GL01	Council and Committee papers published at least five clear days before meetings	100%	GREEN	↑	94%	RED	100%	96%	100%
GL02	Freedom of Information Act requests completed within 20 working days	95%	GREEN	↑	92%	AMBER	95%	90%	95%
GL03	Data Protection Act Subject Access requests completed within 40 calendar	94%	GREEN	↑	81%	RED	90%	85%	82%

Activity Indicators

Ref	Indicator description	Year to date	Prev. yr YTD
GL01b	Committee meetings	35	52
GL02b	Freedom of Information requests	717	704
GL03b	Data Protection Act Subject Access requests	95	108

GL01 - The establishment of the new Council following the May election meant that some information was not available in time for publication of specific reports for the Annual County Council meeting in May and Selection and Member Services Committee in June.

GL02 – Some delays in receiving approvals from Cabinet Members occurred over the election period and during the Cabinet reshuffle.

GL03 – Most delays are due to the operational units not providing information in time and/or quality of information provided is poor. This is due to lack of resources and prioritising of front-line care. Others are due to queries over consent, legal involvement, and requests not recognised by recipient. The Information Resilience & Transparency Team continues to provide advice on the most efficient ways to prepare records to save time and resource. Guidance is also available on KNet and is issued with every referral.

Service Area	Director	Cabinet Member	Delivery by:
Infrastructure - ICT	Rebecca Spore	Eric Hotson	Business Service Centre

Key Performance Indicators

Ref	Indicator description	Latest Month	Month RAG	DoT	Year to Date	YTD RAG	Target	Floor Standard	Previous Year
ICT01	Calls to ICT Help Desk resolved at the First point of contact	70%	GREEN	↑	69%	AMBER	70%	65%	71%
ICT02	Positive feedback rating with the ICT help desk	99%	GREEN	↔	99%	GREEN	95%	90%	99%
ICT03	Working hours where Kent Public Sector Network (KPSN) is available to staff	100%	GREEN	↑	99.5%	AMBER	99.8%	99%	99.9%
ICT04	Working hours where ICT Service available to staff	99.6%	GREEN	↓	99.7%	GREEN	99.0%	98.0%	99.2%
ICT05	Working hours where Email are available to staff	100%	GREEN	↔	100%	GREEN	99%	98%	100%

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Activity Indicators

Ref	Indicator description	Year to date	Prev. yr YTD
ICT01b	Calls to ICT Help Desk	20,536	23,094
ICT02b	Feedback responses provided for ICT Help Desk	2,679	3,282

ICT01 – There have been some technical issues with user profiles which were not possible to resolve at first point of contact, and a number of new analysts have been recruited to 1st line support who are still training and gaining the required experience.

ICT03 – In June, KPSN was unavailable for 14 out of 720 hours. This was as due to an outage at the Ramsgate exchange which was attributed to the failure of hardware when the power to the exchange was lost until rectified by the contractor. Further out of hours power outage in Maidstone had no major impact on users and has been attributed to faulty UPS (Uninterrupted Power Supply) batteries which have subsequently been replaced.

Service Area	Director	Cabinet Member	Delivery by:
Infrastructure - Property	Rebecca Spore	Eric Hotson	Infrastructure

Key Performance Indicators

Ref	Indicator description	Latest Month	Month RAG	DoT	Year to Date	YTD RAG	Target	Floor Standard	Previous Year
PI01	Percentage of rent due to KCC outstanding at 60 days	24%	RED	↓	Snapshot data		5%	15%	9%
PI03	Percentage of annual net capital receipts target forecast to be achieved (£28.285m)	100%	GREEN	↑	N/a		100%	90%	34%

Activity Indicator

Ref	Indicator description	Year to date	Prev. yr YTD
PI01b	Total rent outstanding (£'000s)	1,259	645

PI01 – A large portion of this overdue debt relates to the Sussex Partnership NHS Trust. There are discussions between GEN2 and the trust to resolve this issue as the trust finance department declined the invoice due to a technicality and this invoice has now being re-issued. In addition to this, £91,105 has been passed to debt recovery to obtain a resolution and an amount of £31,678 is being pursued by a GEN2 surveyor for resolution.

Service Area	Director	Cabinet Member	Delivery by:
Infrastructure - Property	Rebecca Spore	Eric Hotson	Kier, Amey, and Skanska

Results to June

Key Performance Indicators

Ref	Indicator description	Latest Month	Month RAG	DoT	Year to Date	YTD RAG	Target	Floor Standard	Previous Year
PI04	Percentage of reactive tasks completed within Service Level Agreement standards	93%	GREEN	↑	92%	GREEN	90%	80%	89%

Activity Indicator

Ref	Indicator description	Year to date	Prev. yr YTD
PI04b	Number of reactive tasks responded to	4,802	5,000

From: **John Simmonds, Cabinet Member for Finance**
Peter Oakford, Deputy Leader & Cabinet Member for Strategic Commissioning & Public Health
Eric Hotson, Cabinet Member for Corporate & Democratic Services
Susan Carey, Cabinet Member for Customers, Communications and Performance
David Cockburn, Corporate Director for Strategic & Corporate Services

To: **Policy & Resources Cabinet Committee – 15 September 2017**

Subject: **Financial Monitoring 2017-18**

Classification: **Unrestricted**

Summary:

The Policy & Resources Cabinet Committee is asked to note the July 2017-18 budget monitoring position which will be dispatched to Cabinet on 15 September 2017.

Recommendation(s):

The Policy & Resources Cabinet Committee is asked to note the revenue and capital forecast variances from the budget for 2017-18 that are in the remit of this Cabinet Committee, based on the July monitoring to Cabinet.

1. Introduction:

1.1 This is a regular report to this Committee on the forecast outturn.

2. Background:

2.1 This report presented to the Policy and Resources Cabinet Committee shows extracts from the detailed monitoring report that is presented to Cabinet monthly. A draft final outturn report is also presented to Cabinet after the financial year end. The full reports outline the financial position for each directorate together with key activity indicators.

2.2 Table 1 shows the position specifically for the Strategic & Corporate Services Directorate for July 2017.

Table 1

Budget Book Heading	Net Budget	Net Forecast Variance	Corporate Director adjustment	Revised Net Variance
	£'000s	£'000s	£'000s	£'000s
Strategic & Corporate Services Directorate				
Contact Centre, Digital Web Services & Gateways	4,544.2	205.8	0.0	205.8
Local Democracy	4,083.6	3.9	0.0	3.9
Finance	7,814.6	-153.0	0.0	-153.0
Engagement, Organisation Design & Development (HR, Comms & Engagement)	8,254.6	-193.0	0.0	-193.0
Other Support to Front Line Services	4,024.6	-63.6	0.0	-63.6
Strategic Commissioning	9,258.2	-133.8	0.0	-133.8
S&CS Management & Directorate Support Services	-2,385.2	20.5	0.0	20.5
Infrastructure (ICT & Property Services) & Business Services Centre	34,602.9	535.8	0.0	535.8
Total S&CS	70,197.5	222.5	0.0	222.5

2.3 The Strategic & Corporate Services figures in Table 1 contain both the forecast for the Directorate itself and the Corporate aspirational savings target for the Asset Utilisation programme, held against the Corporate Landlord budgets within the Infrastructure Division. The Directorate forecast (excluding the Asset Utilisation target) is an underspend of -£0.082m, the position on Asset Utilisation is +£0.305m, giving an overall overspend of +£0.223m as shown above.

2.4 The corporate aspirational savings target for Asset Utilisation is held within the Corporate Landlord budgets, its delivery depends on operational service requirements and Member decisions regarding the exiting of buildings. It should be noted that this in-year overspend is due to the delayed implementation of some plans, resulting in the £0.305m delivery slipping to 2018-19. Work is now on going on the 2018-19 savings target of an additional -£0.65m saving which, to be deliverable from 1st April 2018, requires early identification of plans.

- 2.5 The directorate underspend primarily includes variances of +£0.206m for the Contact Centre & Digital Web Services budget set in 2015 using a transformation plan suggested by Agilisys, predicting that the number of calls and average call duration would fall significantly. Although the call volumes and times have reduced, this is not in line with the original budgeted plan, hence resulting in a budget pressure. The commissioners of this service, together with Agilisys, are working with directorate services to get these figures reduced further; -£0.193m on Engagement, Organisation Design & Development relating primarily to staffing vacancies; -£0.153m for Finance arising from lower salaries and higher income than budgeted; -£0.134m for Strategic Commissioning due to staffing vacancies being held vacant pending restructure; +£0.2m Infrastructure controllable budgets, arising mostly from backdated Kier costs and minor variances across all areas of Property and ICT commissioning budgets.
- 2.6 The Strategic & Corporate Services capital budget is £21.446m. The real variances over £0.100m and rephasing variances over £1.000m are as follows:
- New Ways of Working (NWoW): +£2.127m real variance in 2017-18. This is due to increased construction costs and additional works associated with incorporation of Case Conference facilities at hub locations across the County, and in order to complete the planned upgrade works, particularly in the East Kent Area. This is proposed to be funded from Modernisation of Assets (£0.483m), capital receipts (£1.5m), external funding (£0.084m) and Salix funding (£0.060m). There is also a pressure forecast in future years of £0.510m which is requested to be funded from Modernisation of Assets.
 - Modernisation of Assets: -£0.483m real variance in 2017-18. In 2018-19 and 2019-20 there is an additional -£0.510m real variance. This and the -£0.483m in 2017-18 has been requested to be used for the pressure on NWOW.
 - Property Investment & Acquisition Fund (PIF): +£0.215m real variance. This is due to the balance of the sale of a property to be recycled into PIF.
 - Dover Discovery Centre: -£4.006m rephasing. There will only be design and procurement in this financial year, construction is due to commence in April 2018.
- 3.1 As the Policy & Resources Cabinet Committee has overview of the whole Authority, Members of the Committee are asked to note the overall revenue position for the Authority.
- 3.2 Overall the net projected revenue variance for the Council as reported by budget managers is a pressure of £18.885m. Corporate Directors have adjusted this position by -£7.892m, leaving a residual pressure of £10.993m. This forecast position represents a movement of -£0.280m (excluding Schools) from the May position. In 2017-18, we have £73m of savings to deliver and to achieve this we need to urgently identify options to eliminate the residual £11m forecast pressure. At this stage of the financial

year there have been no requests for roll forwards. The position by directorate, together with the movement from the last report, is shown in table 2.

Table 2

Directorate	Budget £m	Net Forecast Variance £m	Corporate Director adjustment £m	Revised Net Variance £m	Last Reported position £m	Movement £m
Children, Young People & Education - Education & Young People	58.792	3.319	-0.873	2.446	1.002	1.443
Children, Young People & Education - Specialist Children's Services	112.732	2.362	-0.755	1.607	0.891	0.716
Children, Young People & Education - Asylum	0.550	3.908		3.908	4.220	-0.312
<i>Sub Total Children, Young People & Education</i>	<i>172.074</i>	<i>9.589</i>	<i>-1.628</i>	<i>7.961</i>	<i>6.113</i>	<i>1.848</i>
Adult Social Care & Health - Disabled Children Services	20.754	1.092	-0.464	0.628	0.518	0.110
Adult Social Care & Health - Adults	396.298	7.835	-5.300	2.535	4.483	-1.947
Adult Social Care & Health - Public Health	-0.011	0.000		0.000	0.000	0.000
<i>Sub Total Adult Social Care & Health</i>	<i>417.041</i>	<i>8.928</i>	<i>-5.764</i>	<i>3.164</i>	<i>5.001</i>	<i>-1.837</i>
Growth, Environment & Transport	166.756	1.602	-0.500	1.102	0.520	0.581
Strategic & Corporate Services	70.198	0.223		0.223	0.652	-0.429
Financing Items	111.986	-1.455		-1.455	-1.013	-0.443
TOTAL (excl Schools)	938.054	18.885	-7.892	10.993	11.273	-0.280
<i>Schools (CYP&E Directorate)</i>	<i>0.000</i>	<i>0.625</i>	<i>1.483</i>	<i>2.108</i>	<i>1.291</i>	<i>0.817</i>
TOTAL	938.054	19.511	-6.409	13.102	12.564	0.537
Variance from above (excl schools)				10.993	11.273	-0.280
Roll forwards - committed				0.000		0.000
- re-phased				0.000		0.000
- bids				0.000		0.000
Total roll forward requirements				0.000	0.000	0.000
(-ve Uncommitted balance / (+ve) Deficit				10.993	11.273	-0.280

3.3 It is not unusual at this point in the financial year for the revenue position to show an overspend. Considering the magnitude of the forecast pressure, especially in the Children, Young People & Education and Adult Social Care directorate, Corporate Directors are considering a range of potential mitigations in order to reduce and then eliminate this forecast pressure. We cannot, under any circumstances, afford to enter 2018-19 with an underlying problem.

4. Recommendation(s):

The Policy & Resources Cabinet Committee is asked to note the revenue and capital forecast variances from the budget for 2017-18 that are in the remit of this Cabinet Committee, based on the July monitoring to Cabinet.

5. Contact details

Report Author

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Relevant Director

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From: Peter Oakford, Deputy Leader and Cabinet Member for Strategic Commissioning & Public Health
 John Simmonds, Cabinet Member for Finance
 David Cockburn, Corporate Director for Strategic and Corporate Services

To: Policy and Resources Cabinet Committee – 15 September 2017

Subject: Contract Management

Classification: Unrestricted

Summary:

A sub-group of the Budget and Programme Delivery Board chaired by the Cabinet Member for Finance started a programme of contract management reviews in the 2016/17 financial year. The programme of reviews will resume in September for the 2017/18 financial year. This report sets out how the programme is conducted along with some high level findings.

Recommendation(s):

Policy and Resources Cabinet Committee is asked to NOTE the report and that a further progress report will be submitted in six months.

1. Introduction

- 1.1 The Policy and Resources Cabinet Committee (PRCC) meeting of September 2016 considered and endorsed next steps to developing the Council's commercial approach through effective contract management practice. Contract management is a key component of the commissioning cycle and enables the effective delivery of our strategic outcomes in line with the County Council's Strategic Statement "Increasing Opportunities, Improving Outcomes". It is arguable that contract management has historically received less attention than other phases of the commissioning cycle such as procurement whilst being equally important.
- 1.2 A sub-group of the Budget and Programme Delivery Board (BPDB) was subsequently convened and chaired by the Cabinet Member for Finance to undertake a series of contract management reviews. The objective of the sub group is to promulgate better practice that in turn improves value for money and management of risk. Membership of the sub group includes those listed below and recognises the critical role of members in providing oversight and governance around the commissioning cycle.
- Deputy Cabinet Member for Finance
 - Deputy Cabinet Member for Strategic Commissioning and Public Health*
 - Corporate Director of Finance
 - Strategic Commissioner*
 - Director, Strategic Business Development and Intelligence

- Head of Procurement

** attendees added in the 2017/18 financial year*

2 Approach

2.1 The sub group adopted the National Audit Office (NAO) good practice contract management framework as the reference standard for its reviews. This framework identifies eight key contract management activities as follows.

- Planning and governance (preparing for contract management and providing oversight)
- People (ensuring the right people are in place to carry out the contract management activities)
- Administration (managing the physical contract and the timetable for making decisions)
- Managing relationships (developing strong internal and external relationships that facilitate delivery)
- Managing performance (ensuring the service is provided in line with the contract)
- Payments, incentives and remedies (ensuring payments are made to the supplier in line with the contract and that appropriate incentive and remedy mechanisms including liquidated damages are in place and well managed)
- Risk (understanding and managing contractual and supplier risk)
- Contract development (effective handling of changes to the contract)

2.2 The sub group used the framework to develop a contract management maturity assessment template for its reviews (Appendix 1 refers). Each contract owner completes the template and provides supporting evidence for submission prior to meeting the sub group. The expectation is that contract owners should have the information required to complete the template readily available in some form or another as part of a day-to-day good practice approach to contract management.

2.3 Unlike an audit the review process relies on self-assessment by the contract owner and the sub group does not itself verify evidence and check source material. Contract owners do though sign to attest that the information provided to the sub group is accurate and that they are accountable for it. The sub group would refer a matter to internal audit should the need arise.

3 Progress

3.1 The sub group has so far considered seventeen contracts. Contracts have been chosen from across the range of services delivered by the Council.

4 Findings

4.1 Overall the engagement between the sub group and the contract managers has been very positive and successful in promulgating good contract management practice. It is not appropriate to make a sweeping generalisation about the standard of contract management in the Council other than to say that it is inconsistent; some contracts were stronger and weaker in areas relative to others.

4.2 The positives to come from the contract reviews are several and varied. In one particular instance for example, a contract, circa £1.1m (8.5%) per annum saving has been achieved further to the review by the sub group*. Another positive is that the majority of contract managers have now attended the two day contract management training and the Council is also now sponsoring a contract manager to undertake training to achieve membership of the International Association for Commercial and Contract Management (IACCM) with more expected to follow.

** depending on prescribing patterns*

4.3 It should be noted that some contract management issues are a legacy from long standing contracts let before the transition to being a commissioning authority. Some good work has been done to renegotiate contracts but realistically some of the issues will only be addressed through the next commissioning cycle. Bespoke forms of contract have been used when well established forms should have been used instead to avoid drafting errors, oversights and ambiguities for example.

4.4 Particular strengths of the Council's approach to contract management are as follows.

- Contract management teams have strong in depth operational knowledge.
- Application of the Council's governance requirements e.g. contract change control. There is a good level of procedural awareness.
- Contractual remedies are generally being applied where available.

4.5 Issues to address in improving the Council's approach to contract management include the following.

- Contract management teams would find it helpful to seek out comparison with other organisations and sectors more regularly (especially outside of Local Government) to better understand good contract management practice and just what can be achieved.
- Lack of formal commercial and contract management expertise and training in some areas that puts the Council at a distinct disadvantage relative to some of its providers.

5 Next steps

5.1 The programme of contract reviews will resume in September 2017 using the same approach described previously. Some contracts that have already been reviewed will be revisited to determine what progress has been made (paragraph 2.1 refers). The sub group will in future be giving formal written feedback to appropriate Corporate Directors and Cabinet Members for them to consider as appropriate. A further progress report will be submitted to PRCC in six months.

5.2 The recent appointment of the Strategic Commissioner and pending implementation of the new commissioning organisation will lead to improvements in commercial leadership and judgement regarding contract management, working in partnership with directorates and providers. An initial focus is on addressing the inconsistency mentioned in paragraph 4.1. This work will be covered in the progress report.

6 Recommendation(s):

Policy and Resources Cabinet Committee is asked to NOTE the report and that a further progress report will be submitted in six months.

7 Background Documents

7.1 National Audit Office good practice contract management framework

<https://www.nao.org.uk/report/good-practice-contract-management-framework-2-2/>

8 Contact details

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Contract management maturity report

[Insert name of contract and name of contractor]

[Insert meeting date of Budget Programme Delivery Board sub-group]

Section 1 – Contract details

- Name of contractor incl. trading name and details of contractor construct
- Date of contract award
- Date of expiry
- Anticipated whole life cost (nominal and net present cost)
- Anticipated value in current financial year
- Contract scope (description of what the contract covers including but not limited to key deliverables, geographic coverage etc.

Section 2 - Maturity assessment

A description of maturity for each activity at every level is attached

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Activity	Maturity Level*		Comments/rationale
	Current	Target	
Planning and governance (preparing for contract management and providing oversight)			
People (ensuring the right people are in place to carry out the contract management activities)			
Administration (managing the physical contract and the timetable for making key decisions)			
Managing relationships (developing strong internal and external relationships that facilitate delivery)			
Managing performance (ensuring the service is provided in line with the contract)			
Payment and incentives (ensuring payments are made to the supplier in line with the contract and that appropriate incentive mechanisms are in place and well managed)			
Risk (understanding and managing contractual and supplier risk)			
Contract development (effective handling of changes to the contract)			
Overall			

***Level** 1 - Ad-hoc 2 – Informal 3 – Standardised 4 – Monitored 5 - Optimised

Section 3 – Attestation by the Contract Owner

The Contract Owner is the person that has overall day-to-day accountability for the contract i.e. is answerable for the performance the eight key activities in the maturity assessment set out in Section 1.

As the Contract Owner I understand that I am being held to account to the Budget and Programme Delivery Board for the management of the contract(s) and attest to the accuracy of the statements set out herein.

[Name, position, and date]

I have been the Contract Owner of the contract(s) since [insert date] and confirm the following.

- I [have/have not]* read and understood the main provisions of the most up-to-date version of the contract(s)
- The contract(s) [are/are not]* concurrent with the business requirements
- The contract(s) [have/have not]* been extended and/or amended solely in writing and with the appropriate authority
- KCC's rights under the contract(s) [have/have not]* been waived by the conduct of the people managing the contract(s)
- Performance [is/is not]* being reported accurately in accordance with the contract(s)
- The main/material provisions of the contract(s) [have/have not]* been breached
- Payments [have/have not]* been made to reflect actual performance and the provisions of the contract(s) using tri-lateral governance viz., operational, commercial and financial sign-off

** Delete as appropriate; do not amend*

Section 4 – Organisation

- Organogram for contract management clearly showing contractors/interims
- Total annual cost of contract management is [£xxk] which represents [x%] of annual contract value
- People in post and working on contract(s) longer than 3-years
- Measures taken to mitigate risk of long tenure staff
- People profile
 - Details of contract management people including but not limited to their: experience of contract management; commercial experience; and relevant professional qualifications e.g. IACCM, RICS etc.
- Training and development
 - Details of training and development planned and/or underway to address experience and skill gaps

Section 5 – Operational performance

- Contract Delivery Indicators (CDIs) and Key Performance Indicators (KPIs)
 - Table showing all CDIs and KPIs, the performance level required by the contract(s), and actual performance for the past 12-months
- Milestones
 - Insert details of key contractual milestones and progress against them
- Breach
 - Details of any breach of the main/material provisions of the contracts
- Incentives/remedies
 - Details of the contractual incentives/remedies and/or escalation applied to: breach; failure to achieve CDIs and KPIs; and failure to achieve milestones
 - Details of any relief granted to the contractor

Section 6 – Financial performance

- Payments
 - Table or graph showing the expected monthly payment profile at the time of contract award for both the previous 12-months and the next 12-months set against the actual payments made and forecast (a comparison to original business case)
- Variance
 - Details of the variance between the contracted and actual spend e.g. caused by volume changes, contract variations, claims etc.

Section 7 – Fulfilment of KCC's obligations

- Details of the contractual obligations and dependencies on KCC that could cause delay and/or disruption along with the consequences
- Approach to managing KCC's obligations and dependencies including accountability and responsibility within KCC

Section 8 – Commercial performance

- Claims/disputes
 - Details of any claims and/or disputes setting out the current status and actual or projected outcome
- Legislative/policy
 - Impact of any recent/pending regulatory/policy changes e.g. National Living Wage
 - Performance against main supply chain requirements e.g. ethical trading, prompt payment of sub-contractors etc.
- Change control
 - Details of extensions and amendments to the contracts including value and approvals

Section 9 – Risk and mitigation

- Details of the main risks and the mitigation measures in place to deal with them
- Approach to risk and mitigation review being applied including but not limited to the frequency of reviews

Section 10 – Data assurance

- Information Level and arrangements in place
- Audit of data handling (audits/reviews undertaken)

Section 11 – Governance

- Meetings
 - Details of the formal meeting structure in place to review the contract(s) setting out frequency, scope, and required attendees)
 - Details of whether or not the formal meeting structure has been implemented
- Audit
 - Details of any audits undertaken or planned by Internal Audit along with any findings and actions taken
 - Details of any audits undertaken or planned by an external party along with any findings and actions taken

Section 12 – Forward look

- Details of contract extension options and breakpoints
- Approach to continuous improvement
- Learning and plans for next generation contract(s)
- Support required from Budget Programme Delivery Board

Annexes *(Attach the documents set out below to this report)*

- Contract management plan (sets out in detail how the management team responsible will manage the contract to ensure that the contractor operates according to the provisions of the contract(s))
- Contract handbook (the practical guide for anyone in KCC involved in managing or administering the contract(s))

Contract management maturity

Description of activities and maturity levels

September 2016

Good practice

- National Audit Office (NAO) good practice contract management framework identifies the key activities that fall into eight areas
 - Planning and governance (preparing for contract management and providing oversight)
 - People (ensuring the right people are in place to carry out the contract management activities)
 - Administration (managing the physical contract and the timetable for making key decisions)
 - Managing relationships (developing strong internal and external relationships that facilitate delivery)
 - Managing performance (ensuring the service is provided in line with the contract)
 - Payment and incentives (ensuring payments are made to the supplier in line with the contract and that appropriate incentive mechanisms are in place and well managed)
 - Risk (understanding and managing contractual and supplier risk)
 - Contract development (effective handling of changes to the contract)
- Current and target maturity can be determined for each key activity by contract and/or groups of contracts (commensurate with value, risk and complexity)

Planning and governance

1 Ad-hoc	2 Informal	3 Standardised	4 Monitored	5 Optimised
<ul style="list-style-type: none"> • No governance processes or systems • Contract managers operate with complete autonomy • No management visibility or control • No clear ownership of contract management • No planned transition between CM phases 	<ul style="list-style-type: none"> • Governance processes or systems in place on some contracts. Unlikely to be standard, consistent or aligned with KCC governance • Some contracts have a contract management plan but this is mostly absent • Limited reporting of issues to senior management • Some knowledge is transferred between CM phases but this is not well planned 	<ul style="list-style-type: none"> • There are standardised CM governance processes in place and used across all contracts. These align in parts to wider KCC governance • Contract management plans are used on all contracts with standardised content • Issues and risks are visible at all levels of KCC management • Improvements in the governance process are identified • A standardised process is in place for transfer of knowledge between CM phases 	<ul style="list-style-type: none"> • Governance processes generate clear, useful and standardised management information assisting in KCC decision making • The governance processes are automated, with systems available for reporting and monitoring of issues and risk • Regular and planned assurance activities take place, driven by the requirements of CM governance structures 	<ul style="list-style-type: none"> • Contract management guidance and framework meets best in class standards and is easily accessible by all contract managers • Knowledge management is embedded and key data and lessons learnt are captured within contract management and across KCC more widely • Regular improvements are made to governance processes to ensure they remain leading class

People

1 Ad-hoc	2 Informal	3 Standardised	4 Monitored	5 Optimised
<ul style="list-style-type: none"> • No continuity between contract management roles • Resource issues present • Contract manager has no knowledge of the contract or has not read it • The contract manager does not have the necessary skills or experience • Central job descriptions are not available and objectives are not set • There is no training available 	<ul style="list-style-type: none"> • Some contracts involve the contract manager and business users in the tendering phases but this is not common • Contract managers have a basic knowledge of key parts of the contract • Contract managers have documented job and role descriptions but these are not standard across KCC • Contract managers have variable capability • Training is available but is not standardised or mandated 	<ul style="list-style-type: none"> • Contract management is adequately resourced • A standardised KCC wide process ensures contract managers and business users are fully integrated into tender teams • Contract managers are fully conversant with the contract • Role and job descriptions are standardised across KCC • Standardised training is available with mandatory requirements • Staff are regularly assessed for competence 	<ul style="list-style-type: none"> • Regular reporting and metrics are available to management on the performance and competence of CM staff • People inputs are rigorously planned across the whole contract life-cycle • Capability assessments and people performance monitoring are automated on standard KCC systems • Competence assessments form part of a wider assurance framework 	<ul style="list-style-type: none"> • Contract managers are all experts in their field with subject matter experts employed for management of bespoke contracts • A formalised contract management “community” has been set up and facilitated by KCC for staff to share knowledge and experience

Administration

1 Ad-hoc	2 Informal	3 Standardised	4 Monitored	5 Optimised
<ul style="list-style-type: none"> • Hard copy contracts are not stored or logged • No contract management software or systems are available • Administrative mechanisms are not defined or planned • No management information produced or reported 	<ul style="list-style-type: none"> • Hard copy documents are retained but the process is driven at contract level and not standardised • Software is available but not used • Administrative mechanisms are present but not planned or standardised • Management reporting is informal and does not use standard templates or metrics 	<ul style="list-style-type: none"> • There are standardised policies and processes for hard copy document management • Plain English contract guides/summaries are produced • Software use is standardised across KCC for contract management • Administrative mechanisms form part of standard KCC processes • Management reporting is formalised but may not be aggregated across KCC 	<ul style="list-style-type: none"> • Management information is standardised and in a form which makes it possible to manipulate and aggregate across KCC • Automated system links are present between functions involved with administration 	<ul style="list-style-type: none"> • Administrative process are fully automated, linked and integrated across KCC functions and business units • Systems enable ad-hoc interrogation by management for production of bespoke reports

Managing relationships

1 Ad-hoc	2 Informal	3 Standardised	4 Monitored	5 Optimised
<ul style="list-style-type: none"> • Supplier roles and responsibilities are not defined • Stakeholders and communication routes are not defined and communication is limited • Problem resolution is ad hoc with no defined process 	<ul style="list-style-type: none"> • Roles and responsibilities are defined on some contracts but the quality of this varies • Contracts have both structured and informal communication routes with stakeholders but these are unlikely to be documented and their application will vary • Problem resolution processes may be in place but do not follow KCC standards 	<ul style="list-style-type: none"> • Roles and responsibilities clearly defined for all contracts using KCC standard formats • Structured and informal communication processes are in place, documented and follow standard KCC processes • Users have a clear expectation and understanding of the contract • Problem resolution processes are standardised across KCC 	<ul style="list-style-type: none"> • Relationship management and communication processes are monitored as part of a KCC wide assurance regime • Communication takes a variety of forms which are optimised depending on purpose • Joint statements of intent are formalised between contract managers and suppliers • Customer and supplier staff are co-located where necessary 	<ul style="list-style-type: none"> • Communication routes are fully aligned and integrated with KCC communication systems and processes • Productive and collaborative relationships exist with all suppliers and across all contracts maximising value and innovation

Managing performance

1 Ad-hoc	2 Informal	3 Standardised	4 Monitored	5 Optimised
<ul style="list-style-type: none"> • Service baselines are not used or set • Parties do not understand what is being delivered • Performance management frameworks are simplistic or do not contain adequate mechanisms for monitoring • Supplier performance is not assessed or metrics are not in place for adequate assessment • No performance reporting takes place • User compliance with the contract is not monitored • Feedback and performance review processes for suppliers are not in place 	<ul style="list-style-type: none"> • Service baselines are set for most contracts but the process is not standard • Performance management frameworks exist but mechanisms are not standard or have some deficiencies • Supplier performance is assessed but metrics may not be optimal and the processes employed non standard • Reporting takes place on an informal basis • User compliance is considered but compliance processes do not exist • Feedback and performance reviews are informal 	<ul style="list-style-type: none"> • A standardised service management process is in place and applied to all contracts • A performance management framework is used on all contracts and follows KCC standards • Performance metrics have been set according to KCC standards and are optimised for specific contracts • Reporting takes place per a standard KCC process • User compliance is checked and enforced via a standard process • Feedback and performance reviews take place in line with KCC guidance and process 	<ul style="list-style-type: none"> • Service management and performance metrics are compiled, aggregated and reported across KCC enabling regular monitoring • Performance risks are regularly assessed and monitored by KCC management • Performance monitoring forms part of a comprehensive risk based assurance plan • Supplier feedback drives innovation and cost savings 	<ul style="list-style-type: none"> • Performance metrics align and are integrated with KCC wide performance frameworks and objectives • Systems allow management to interrogate data and produce reports on demand to facilitate decision making

Payment and incentives

1 Ad-hoc	2 Informal	3 Standardised	4 Monitored	5 Optimised
<ul style="list-style-type: none"> • Payment mechanisms are not understood by the contract managers and are not documented • Payment processes are not defined, inefficient and include limited checks and authorisations • Costs are not monitored • Financial incentives are not in place 	<ul style="list-style-type: none"> • Payment mechanisms are understood but may not be documented or follow KCC standards • Payment processes are defined but will vary across contracts • Teams involved in processing payments may not understand each others roles and tasks may be duplication or missed • Limited checking of invoices takes place but it is unlikely to follow a KCC standard process • Costs may be monitored but variance against forecasts does not take place • Limited financial incentivisation takes place 	<ul style="list-style-type: none"> • Standardised processes ensure payment mechanisms are fully understood by all parties • Payments follow standardised KCC processes and are customised where necessary • Those involved in payments fully understand each others roles and these are documented • Standardised invoice checking processes are used on all contracts and are flexible enough for application across all contracts • Monitoring of costs takes place and variance against forecasts is measured and reported • A basic assurance regime is in place to ensure compliance with standard processes • Financial incentives are in place and used on all contracts 	<ul style="list-style-type: none"> • Payment processes are automated where possible with system based controls designed and implemented where possible • KCC management receive regular monitoring reports highlighting payment exceptions and supplier errors • A risk based assurance plan is developed and in place for all contracts, scheduling comprehensive payment assurance activities 	<ul style="list-style-type: none"> • Payment processes align and fully integrate with KCC wide systems and processes • Lessons are learnt from previous issues and with learning disseminated and applied across KCC • Payment issues rarely arise as a result of class leading integration between contract management and suppliers

Risk

1 Ad-hoc	2 Informal	3 Standardised	4 Monitored	5 Optimised
<ul style="list-style-type: none"> • No risk management process are in place • Risks are not identified, monitored or managed • No escalation of risks take place • Contractual terms are not understood or monitored 	<ul style="list-style-type: none"> • Risk management processes are in place on contracts but these do not follow a KCC standard and so may be deficient • Risks are identified but not actively managed or monitored • Risks may be escalated but not through formal reporting process • Contractual terms are understood but not actively monitored 	<ul style="list-style-type: none"> • Risk management processes for contracts are standardised across KCC • Standard processes are used to identify, monitor and actively manage risks • Risks are escalated in line with standard KCC process • Risks are reported to defined governance bodies • High risk contractual terms are understood and actively monitored 	<ul style="list-style-type: none"> • Contract risk management processes form part of the wider KCC governance system • Standardised management information on risks is used at all levels within KCC • Class leading risk management and assessment processes form the basis of a comprehensive assurance plan for all contracts 	<ul style="list-style-type: none"> • A culture of risk management is embedded across KCC and contract management is fully integrated within this culture

Contract development

1 Ad-hoc	2 Informal	3 Standardised	4 Monitored	5 Optimised
<ul style="list-style-type: none"> • Contracts are not regularly reviewed to ensure they still meet business needs • Formalised change processes are not used • Changes are implemented operationally without contractual variations • Value for money testing does not take place • Dispute processes are not well defined or understood 	<ul style="list-style-type: none"> • Contracts are reviewed to ensure they meet business needs but not as part of a formal process or on a regular basis • Change processes are used but are not documented and are not standardised across KCC • Value for money testing takes place on an informal basis • Dispute processes are defined but not standardised across KCC 	<ul style="list-style-type: none"> • A standardised KCC process exists for assessment and review of contracts to ensure they meet business needs • Standardised change processes are in place which involve all KCC stakeholders and are used on all contracts • All changes are fully impacted and contractually agreed before being operationally implemented • Value for money testing takes place in line with a standardised process • Dispute processes are standardised and understood by all parties 	<ul style="list-style-type: none"> • Contract changes and variations are actively monitored and reported as part of KCC governance processes • Non compliance with KCC change procedure is actively monitored and managed • Change processes use KCC systems for contractual updates and document control 	<ul style="list-style-type: none"> • A culture of continuous improvement is embedded within KCC contract management • Contract development and innovation regularly drives performance improvements and value for money

From: Eric Hotson, Cabinet Member for Corporate and Democratic Services
David Cockburn, Corporate Director, Strategic and Corporate Services and Head of Paid Service

To: Policy & Resources Cabinet Committee, 15th September 2017

Subject: Corporate Assurance Analysis Bi-Annual Report

Classification: Unrestricted

Summary: This report outlines the key findings from Corporate Assurance on major change projects and programmes in the period March 2017 to August 2017.

Recommendations:

The Committee is asked to:

- (1) **Note** the Corporate Assurance analysis bi-annual report.
- (2) **Consider** the frequency and type of report required for future updates.

1. INTRODUCTION

- 1.1 The Policy & Resources Cabinet Committee receives regular Corporate Assurance reports to keep Elected Members informed on developments within major change projects and programmes.
- 1.2 This report provides an overview of change activity within KCC’s change portfolios, in addition to analysis on variances to costs, benefits and milestones for major ‘Tier 1’ (business critical) projects and potential project activity.

2. BACKGROUND

- 2.1 In September 2013, KCC published “*Facing the Challenge: Delivering Better Outcomes*” which introduced four change portfolios to help manage an unprecedented level of complex change across the organisation.



- 2.2 The Corporate Assurance function was established in May 2015 to provide oversight, transparency and assurance of major change activity, providing confidence we are 'doing the right thing', as well as delivering things well. The Authority operates a devolved model for its major change activity, with the Corporate Assurance function situated in the Strategic & Corporate Services directorate working in partnership with Portfolio Delivery Managers / Portfolio Management Officers in each change portfolio.
- 2.3 Corporate Assurance uses a collaborative, constructive and relationship based approach. It liaises with colleagues who also offer advice, support and assurance for major change activity e.g. Internal Audit and the Strategic Business Development and Intelligence function.
- 2.4 As part of the effort to improve project / programme management skills and knowledge across the Authority, the Corporate Assurance Team and Portfolio Delivery Managers from the four change portfolios have established a Project and Programme Manager (PPM) Network with colleagues in the Engagement, Organisation Design & Development (EODD) Division. This is a bi-monthly forum, covering core competences such as scheduling, business case development (including options appraisals), cost/benefit articulation and stakeholder management. Portfolio Delivery Managers have been facilitating workshops with project managers in each portfolio to complement the broader agenda covered at the PPM network.
- 2.5 The PPM Forum is one part of a wider Project and Programme Management workforce development strategy, from which new initiatives are being developed such as a tailored competency framework for project and programme managers, as well as work to ensure a consistent understanding of the Senior Responsible Owner and Project Sponsor roles across the Authority.
- 2.6 Previously the projects in change portfolios were 'tiered' according to the significance of expected costs and benefits in order to aid objective prioritisation, which has proved useful. However, an alternative method has been implemented based on a National Audit Office tool (Delivery Environment Complexity Analytics) that takes a range of other factors into consideration such as stakeholders; clarity of objectives; range of disciplines and skills required to deliver; to give a more holistic picture of the level of complexity and risk associated with a project or programme while in its early stages. This then guides the level of assurance attributed to each one to ensure a proportionate approach.

To date, all but four projects / programmes in portfolios have been put through this process and this has led to a reduction in the number of 'Tier 1' projects where the Corporate Assurance function is the assurance lead.

- 2.7 The projects and programmes previously featured in the Business Capability Portfolio are being built in to an overarching Business Change Programme that aims to integrate infrastructure programmes for ICT and New Ways of Working; further develop connections with service change and transformation programmes such as those running in Adult Social Care and Children's Services; and to clarify the 'must do' elements of change across the organisation. This new programme will be reflected in future reports.

3. KEY FINDINGS – MARCH 2017 TO AUGUST 2017

- 3.1 The key findings are taken from the analysis within the Corporate Assurance report (**Appendix 1**):
- a. There are currently 50 projects / programmes within the four change portfolios, which is 16 less than March 2017. Nine of these are designated as Tier 1 projects (this means high risk-based, complex projects), compared to 20 Tier 1 reported in March 2017.
 - b. There have been several significant variations to costs, benefits and end dates to Tier 1 projects during this reporting period (outlined in section F). The reduction in number of Tier 1 projects will enable greater focus on these areas and consequent improvement of quality and consistency.
 - c. As we explore opportunities to use new technology, a third of projects and programmes still relate to major infrastructure and systems. They currently account for 33% of Tier 1 projects.
 - d. The majority of portfolio activity continues to be projects and programmes predominantly involving service redesign (e.g. the "Your Life Your Wellbeing" programme, embedding improved outcomes and providing a stable platform for further change, improvement and integration, which account for 56% of current Tier 1 projects, 34% of all current projects within portfolios (Tiers 1 to 3) and 27% of potential projects.

- e. The overall volume of current portfolio projects has reduced slightly during this period, with potential projects emerging remaining stable as we head into the next reporting period (16 identified as at February 2017 compared with 15 identified in August 2017).
- 3.2 Since February 2017 the Corporate Assurance function has conducted assurance activity on several Tier 1 projects / programmes, including the Business Services Centre project; Education Services Company; Javelin Way Development and Turner Contemporary. Feedback has been given to relevant members of the project / programme teams and / or Strategic Commissioning Board as appropriate.
- 3.3 There are some key points emerging from assurance activity and oversight of major projects over the past six months, including:
- There is evidence of wider adoption of the ‘Better Business Cases’ approach, based on the HM Treasury Green Book: appraisal and evaluation. This uses a ‘five-case’ model covering the following areas:
 - The Strategic Case: why are we doing this and what do we want to achieve?
 - The Economic Case: does this provide value for money?
 - The Commercial Case: Are there any procurement implications?
 - The Financial Case: is it affordable and do we have the resources we need?
 - The Management case: Is the project deliverable – how will we manage change?
 - To reinforce the approach Corporate Assurance ‘checkpoint’ reviews cover these areas in their feedback, while Portfolio Delivery Managers promote it when working directly with project and programme managers.
 - Corporate Assurance advice is seen as timely, supportive and pragmatic, particularly where there has been the opportunity to build direct, trusted relationships with project managers.
 - Project and programme management maturity is improving, with Portfolio Management Office / Portfolio Delivery Managers providing advice and guidance to project managers and helping to embed project and programme management approaches.
 - Several projects have been stopped where they are no longer deemed to be meeting strategic needs or where there is insufficient evidence to

demonstrate achievability of planned benefits. This shows a disciplined and mature approach.

- There has been an improvement in numbers of project closure reports being completed, which include lessons learnt. This will now enable the development of a lessons learnt library that can be accessed by the project management community across KCC.
- The strategic case for change in business cases is well made, with good alignment to KCC's Strategic Outcomes, strategies and objectives.
- There has been an improvement in the evidencing of equality analysis in the early project stages.
- Risks, assumptions and dependencies are being defined at a high level, but require further detail in some cases to give assurance that they are / will be managed effectively.
- As part of the costing and benefit articulation process, there is still a need in some cases to provide a more explicit view of total cost versus total benefit (taking into consideration the challenges of quantifying non-financial benefits).

3.4 A follow-up audit of Corporate Assurance and Programme and Project Management is in progress and key findings will be fed back to this Committee as part of the next update. Early indications are that the findings will be similar to those highlighted above.

4. NEXT STEPS

4.1 Elected Members are welcome to provide feedback to ensure the reports add value.

4.2 We will regularly reflect and review the most appropriate future arrangements for the Corporate Assurance function, to support the Council's governance arrangements and ensure it stays relevant to the organisation.

5. RECOMMENDATIONS

5.1 The Committee is asked to:

- (1) **Note** the Corporate Assurance bi-annual report.
- (2) **Consider** the frequency and type of report required for future updates.

Appendices:

[Appendix 1: Corporate Assurance Bi-annual Report](#)

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Overview of major projects and programmes in change portfolios

Corporate Assurance Bi-annual Report:

March 2017 to August 2017

A: Key facts

9

Tier I projects/ programmes (August 2017)

50

Total Number of current projects/ programmes across the four Portfolios (August 2017)

48%

Projects scheduled to complete within 2017-18 financial year.

5

Tier I projects added to the portfolios during this period.

2

Tier I projects have completed during this period

31

Projects in total have stopped, completed or transferred to 'business as usual' this period.

15

Potential projects in August 2017 (have either not yet been formally approved or started yet, and may or may not progress into the Portfolios).

67%

Current Tier I Activity that is in the 'Analyse' or 'Plan' stages (i.e. pre-implementation).

33%

Current Tier I Activity that is in the 'Do' stage.

0%

Current Tier I Activity is in 'Review' stage as at 09/08/17.

B: Key findings

Achievements this period

- The current 'tiering' system was reviewed and consequently changed in June 2017 to incorporate a more risk-based approach to oversight, focusing on the complexity of projects and their delivery environment, as opposed to based entirely on cost/benefit values. This has resulted in some projects changing tiers and a transitional period whereby several projects are classified as 'Tier to Be Confirmed' whilst waiting for the assessment to be carried out.
- Portfolios continue to prioritise the most critical projects that will help to achieve our strategic outcomes. Under the new 'tiering' system the number of Tier I (business critical) projects has reduced.
- Early engagement and a more informal style of corporate assurance continue to give project managers the opportunity to respond to feedback and helped to enhance the quality of business case development. For example:
 - Education Services Company – Regular assurance of the business case was carried out working with the Project Manager to aid the development of the business case in order to inform decision making.
 - Business Services Centre – Assurance carried out on full business case, feedback was provided to the Project Manager who shared the findings with all commissioners and used to strengthen the business case.
 - Turner Contemporary - Assurance carried out on the feasibility study and outline business case. Feedback and findings presented to the Portfolio Delivery Manager and Project Manager to aid the development of the full business case.
 - Javelin Way Development – Assurance carried out on outline business case to strengthen it prior to being presented at SCB.
- Corporate Assurance and the Portfolio Delivery Managers have taken over the responsibility for running the Project & Programme Managers Network where continuous professional development (CPD) is offered. Recent sessions have focused on: Business Case - Better Behaviours; the new Project tiering system and Stakeholder Engagement.
- Equality analysis for projects is being captured and evidenced more promptly to ensure that projects are considering the potential impacts of equalities as the earliest stages in the project life cycle.
- There is evidence of wider adoption of 'Better Business Cases' guidance across the change portfolios.

Areas for development

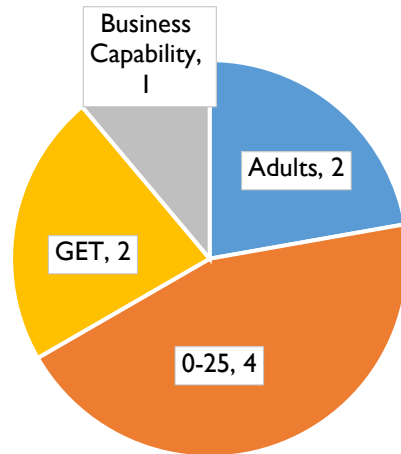
- The quality and consistency of financial information for projects still remains a priority for development, although there has been some recent improvement.
- Indicative cost/benefits including any non-financial benefits still need to be defined earlier, making the case for change clearer in the 'Analyse' stage, to ensure that we are starting the right projects that will help to achieve better outcomes, but are also affordable and represent value for money.
- Perhaps due to an eagerness to get on and deliver, business cases are still sometimes perceived as a burden or additional product, rather than a necessary process to bring together evidence to support informed decision making and help aid successful implementation.

Areas for consideration

- The capacity and capability to support both the current and future volume of project activity needs to be considered and monitored carefully. The volume has reduced but there is still more to do.
- In particular demand and capacity for corporate services to support a wide range of substantial change activity could be a potential issue.
- While interdependencies between project activities are monitored, further work to analyse broader impacts and relationships between projects would help to identify risks and issues.

C: Portfolios Summary – August 2017

Number of Tier I Projects/Programmes



Tier1

Adults	2
0-25	4
BC	1
GET	2
TOTAL	9

Adults 15 Total

2	Tier 1
1	Tier 2
8	Tier 3
4	TBC
2	Potential
3	Stopped/ Completed

0-25 14 Total

4	Tier 1
4	Tier 2
6	Tier 3
0	TBC
1	Potential
1	Stopped/ Completed

BC 6 Total

1	Tier 1
2	Tier 2
3	Tier 3
0	TBC
1	Potential
1	Stopped/ Completed

GET 15 Total

2	Tier 1
9	Tier 2
4	Tier 3
0	TBC
11	Potential
0	Stopped/ Completed

D: Overall volumes by month

Month	Total Activity	Total Tier I Activity	Potential	Stopped/ Completed	Current change activity identified within Portfolios			
					Adults	0-25	BC	GET
SEPT 16	77	28	18	4	43	13	7	14
OCT	73	27	23	7	41	13	6	13
NOV	73	29	21	5	40	15	6	12
DEC	64	17	21	14	31	15	5	13
JAN 17	62	16	21	4	28	16	5	13
FEB	66	20	16	5	30	16	5	15
MAR	62	20	20	7	28	14	7	13
APR	57	20	18	6	25	12	7	13
MAY	51	20	16	8	19	13	7	12
JUN	52	7	15	4	16	15	7	14
JUL	54	9	14	1	18	15	7	14
AUG	50	9	15	5	15	14	6	15

The overall trend

The trend has been that the numbers of projects have decreased slightly as portfolios have prioritised business critical projects. 62 projects being reported in March 2017 compared with 50 projects reported during the last period.

The volume of projects in each portfolio has continued to be stable and consistent, across all portfolios. Tier I projects reduced in June 2017 due to the change in 'tiering' system to incorporate a more risk-based approach to oversight, focusing on the complexity of projects and their delivery environment, regardless of how they are funded.

The number of potential projects has decreased from 20 in March 2017 to 15 in August 2017.

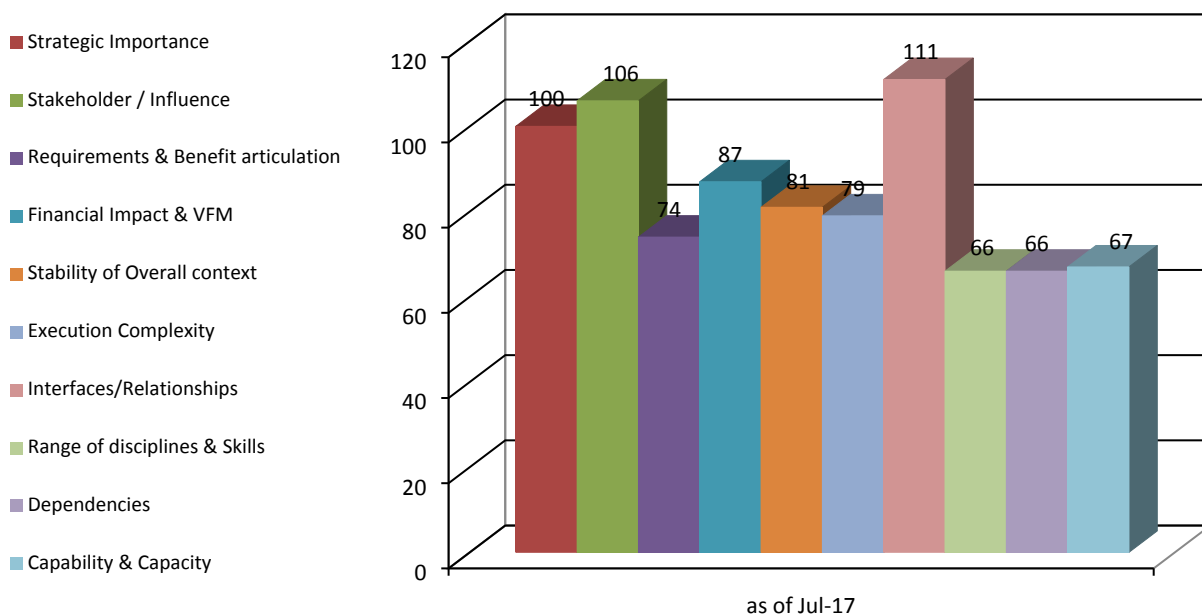
The number of stopped/completed projects (paused, stopped prematurely, transferred to divisional management or fully completed) has decreased this period, from 39 reported in February 2017 to 31 in August 2017 of which 77% are projects completed.

E: Project Complexity and Risk

This then guides the level of assurance attributed to each one to ensure a proportionate approach. To date, all but four projects / programmes in portfolios have been put through this process and this has led to a reduction in the number of 'Tier 1' projects where the Corporate Assurance function is the assurance lead.

The diagram below shows the main areas of complexity for projects / programmes currently within the portfolios from assessments completed so far. Further work is being undertaken to understand these areas of complexity, but it demonstrates how important it is for project teams to engage and manage stakeholders as well as interfaces and relationships across the Organisation and beyond. Interestingly, for the majority of projects it is felt that there is appropriate capacity and capability to deliver, although this is dependent on external project / programme resource being available.

All Tiers - Portfolio Projects and Programmes



F: 'Snapshot' summary of Major Tier I Projects & Programmes (as at August 2017)

TI Projects by Portfolio	Stage	Forecast Project Cost	Financial Project Benefit	Variation to Costs/Benefits/End Dates (Mar 17 – Aug 17)	Next Key Milestones	End Date
Adults TEC Systems Replacement Project	Plan	£2.43m	£0 – Benefits are non-financial	<ul style="list-style-type: none"> Costs have increased by £1.18m due to the resource plan being updated following the appointment of a Programme Manager. 	Design complete – Nov 17	Jan 19
Your Life Your Wellbeing Transformation Programme	Plan	£2.166m	£8.4m		Full Business Case consideration – Nov 17	Sept 18
0-25 Children and Young People's Service Integrated Programme	Analyse	£642K*	TBC	<ul style="list-style-type: none"> Costs reduced by £107k in July (from £624k to £517k) as project was paused. Costs increased in Aug (from £517k to £642k) as the project was extended by 1 month for due diligence. Cost figure amended by £2m to take in to account KCC resources which are covered by base budget. Benefit of £4m added as per approved business case. End date slipped by 4 months during this period. 	Development of options	Apr 18
Education Services Company	Do	£2.5m	£4m		Company set up – ongoing Go Live – Apr 18	May 18
HeadStart Phase 3	Do	£11m (£10m external funding)	£0 – Benefits are non-financial		Commissioning completed – Aug 17	Aug 21
Front Door Integration	Do	£174k	£1.3m (cost avoidance)		Costs increased by £40k as end date has been extended in total by 7 months in part due to Ofsted inspection.	New structure in place – Dec 17

*NE and Programme Manager costs to end of Analyse phase.

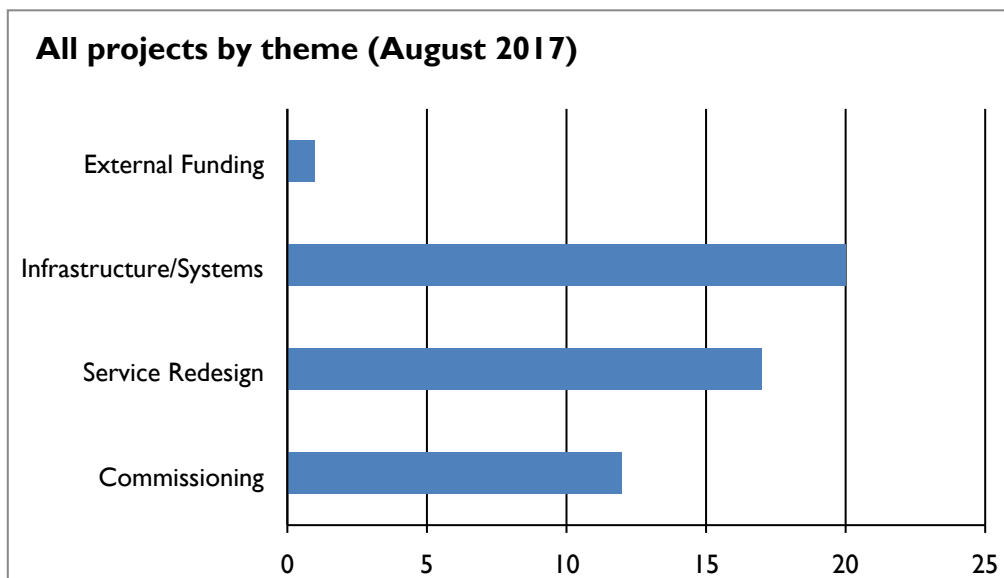
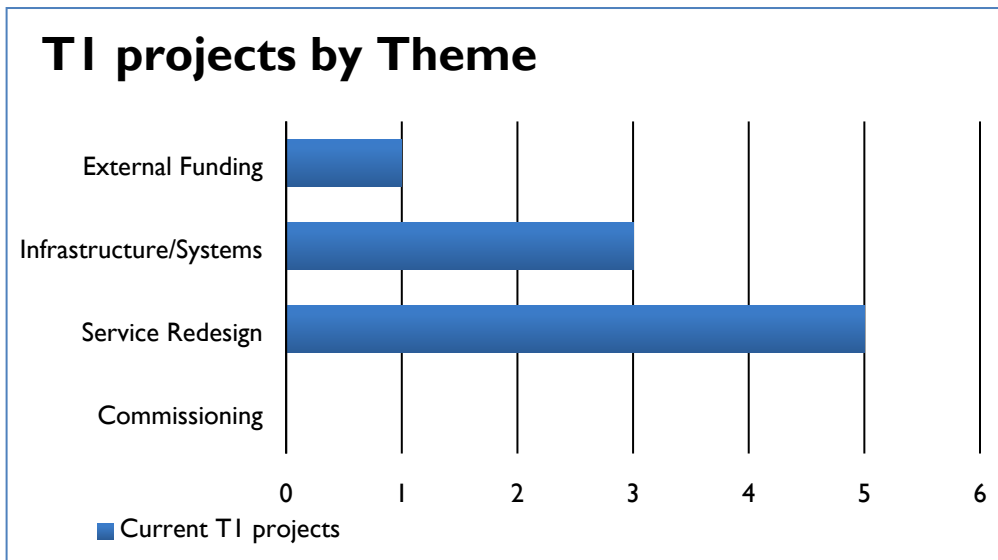
TI Projects by Portfolio	Stage	Forecast Project Costs	Financial Project Benefit	Variation to Costs/Benefits/End Dates (Sept 16 – Feb 17)	Next key Milestones	End Date
Business Capability Asset Utilisation	Analyse	Various mini projects	£1.123m (Target)	<ul style="list-style-type: none"> Project benefit has reduced by £565k due to re-phasing of actual benefit that will be realised in the MTFP. 	Projects ongoing	Mar 18
GET						
Turner Contemporary	Analyse	£5.3m (£2.65m is external funding)	TBC		Strategic Commissioning Board Update - Sep 17	Apr 21
Jaylin Way Development	Plan	£6m (£3m is external funding)	TBC		Milestones being defined following consideration and approval of full business case.	Mar 19

G: Tier I by Theme

Change activity is now being analysed by both portfolio and by theme.

56% of current Tier I projects (5 of 9 projects) are predominantly Service Redesign activity, an increase of 16% since February 2017.

During July 2017, an analysis of all 50 projects within the portfolios at that time indicated that 34% (17 of 50) of projects were predominantly Service Redesign activity. However, a number of projects will fit more than one category.



H: Tier I by Project Stage

Activity within the Analyse and Plan stages has remained stable meaning the opportunity for same level of corporate assurance activity can be undertaken during the next period.

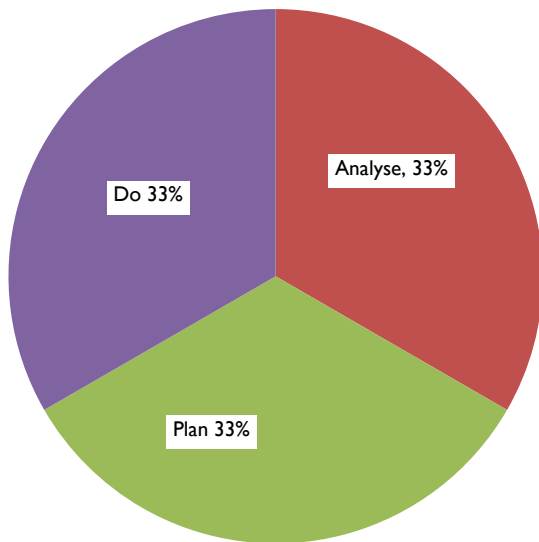
For information, all Tier I projects this period are summarised in Section M.

33% of Tier I projects are within the 'Do' stage, an increase of 3% from February 2017. Of these, 2 projects will be completed this financial year (2017-18). 34% all of projects (17 out of 50) will complete in 2018-19 financial year.

Closure/Lessons Learned Reports for projects in the Review stage are collated, to analyse key learning points and opportunities to share with other project managers and incorporated into future reports.



Tier I Activity by Project Stage - August 2017



Analyse	33%
Plan	33%
Do	33%
Review	0%

I: Corporate Assurance activity this period

Business Services Centre

Checkpoint review carried out on the full business case. Feedback and findings presented to the Project Manager and Transformation Director. Feedback was shared with all commissioners and used to strengthen the business case prior to presentation at Strategic Commissioning Board and Policy & Resources Cabinet Committee.

Education Services Company

Regular assurance has been carried out on the draft business case. Feedback provided was incorporated into the full business case.

Informal Assurance

Corporate Assurance representation at the Children and Young People's Service Integrated Programme 0-25 Delivery Group meetings to gather context ahead of any checkpoint review.

Spend and Costs Analytics Project

Corporate Assurance provided independent assistance in structuring and writing of the full business case which has been approved and the project now in implementation.

Project and Programme Managers Forum:

Corporate Assurance has taken over the responsibility for running the Project and Programme Managers Forum where continuous professional development (CPD) is offered.

Adults Your Life, Your Wellbeing Transformation Programme

Feedback has been provided on the structure and process for the development of the programme business case and subsequent project business cases.

Project Management Support

Weekly project management support has continued to being provided to the Kent Graduate Project Management strand to ensure best practice and delivery is achieved.

Project Prioritisation Tool

Alternative methods to the current 'tiering' system have been investigated. A National Audit Office tool that takes a risk-based approach to oversight, focussing on the complexity of projects and their delivery environment, regardless of how they are funded was implemented in June and is being applied to all projects across all portfolios.

Javelin Way Development Project Turner Contemporary Project

Checkpoint assurance carried out on each of the projects and feedback provided to the Project Manager and/or the Portfolio Delivery Manager, to inform the development of the full business case.

Other

Assurance is being scheduled for the 'Design' Phase of the Adults Your Life, Your Wellbeing Transformation programme.

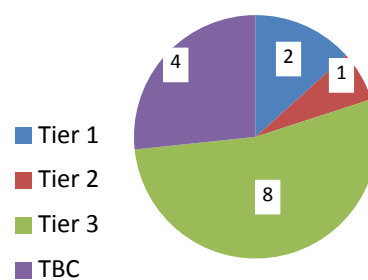
J: Portfolio by Portfolio: August 2017

Adults Portfolio

Since February 2017, 14 projects have completed and 6 projects have been stopped. Out of the 14 completed no projects were a Tier 1 project.

Six projects have been stopped due to either insufficient evidence to back up the savings, no longer meets strategic needs or to be re-scoped and to re-enter the portfolio in due course.

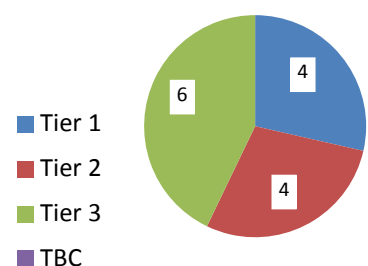
Of the 36 projects stopped, completed or transferred across all four portfolios the majority of this activity has been within the Adults portfolio totalling 56% (20 out of 36).



0-25 Portfolio

The 0-25 Portfolio has continued to be stable with a slight increase in projects of 14 being reported in March 2017 to 16 in August 2017. No new Tier 1 projects have entered the portfolio during this period.

Five projects have completed during this period – Controcc (a contract and financial management system for Kent foster carers and fostering agencies), Early Help Commissioning Intentions Programme, KCC All Age Neuro Development Pathway Project, Integrated Children's Commissioning and Review of Children in Care & Care Leavers Accommodation. No projects have been stopped during this period.



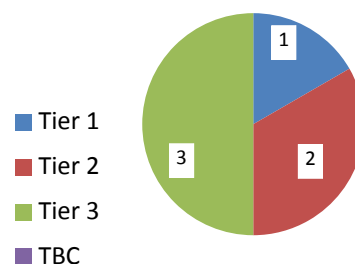
J: Portfolio by Portfolio: August 2017

Business Capability Portfolio

In March the Business Services Centre project entered the portfolio as a Tier 1 project, however after being assessed under the new 'tiering' system this has moved to a Tier 2 project. Due to the nature of this project it will remain under Corporate Assurance oversight.

Legal Services Transformation project completed and exited the portfolio in August 2017, with Invicta Law now trading.

As of August 2017 the projects and programmes in the Business Capability portfolio have been replaced by one overarching business change programme.



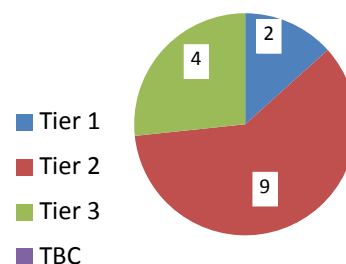
GET Portfolio

Activity within the portfolio has been consistent over this reporting period.

The Tier 1 project Coroners Service and Medical Examiners Modernisation was split in to two projects in August, Coroners Service now a Tier 3 project and Medical Examiners and Courts now a Tier 2 project.

Three projects have completed during this reporting period – Customer Service Programme Phase I; Libraries, Registration & Archives(LRA) Transformation Programme (now broadened in scope with the LRA Improvement and Development Programme currently in the portfolio); and Waste Strategy project. Grosvenor Bridge has been transferred out of the portfolio; with oversight for this project going forward is being managed by the Divisional Management Team.

Of the 15 potential projects across all four portfolios the majority of this activity is within the GET portfolio totalling 73% (11 out of 15).



K: Potential Project Activity

Corporate Assurance tracks potential projects which are not yet formally approved or started yet, and may or may not progress into the Portfolios.

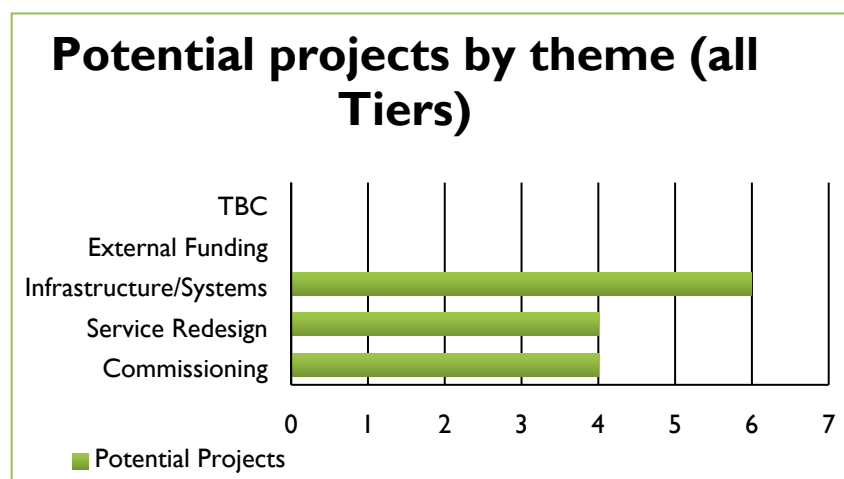
It is an important indication of change activity 'coming over the hill' which may have an impact on demand for corporate support, or need to be considered in the new governance arrangements.

15

Potential projects
reported August 2017

The understanding of forthcoming project activity has continued to improve and remained stable during this period with 16 being reported in February 2017 to 15 in March 2017.

The majority of potential projects this period have changed from Service Redesign to Infrastructure/Systems 40% (6 out of 15).



L: Corporate assurance activity next period

ICT Transformation Programme

Projects within the programme will be selected for checkpoints which will be planned collaboratively with the PDM and ICT Assurance. Findings and recommendations will be reported to the Director of Infrastructure and ICT Board.

Adults Your Life, Your Wellbeing Transformation Programme

Assurance 'checkpoint' reviews to be carried out on the programme business case and the most material individual project business cases.

Education Services Company

The main assurance activity took place pre-decision to form a company. However, some oversight activity will still be provided as this project progresses through implementation.

Childrens and Young People's Service Integration Programme

Assurance will be provided once findings from initial research has been analysed and a business case for change developed.

Turner Contemporary phase 2

Further checkpoint reviews will be carried out as the full business case develops.

Javelin Way Development

Further checkpoint reviews will be carried out as the full business case develops.

Business Services Centre

Assurance oversight will remain as this project moves into implementation.

Highways Term Maintenance Programme

Assurance review of outline business case in progress.

M: Current Tier I projects

Asset Utilisation Programme

Portfolio: Business Capability	End Date: March 2018	Start Date: January 2016	Stage: Analyse
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What will the project deliver?

The project will provide:

- Improved preventative services.
- Opportunities to reshape and reconfigure provision to support the council's transformation ambitions and save money in the longer term.
- Options appraisal with a cost benefit analysis and associated risks to assist decision making.

Background

As part of the medium term financial plan £1.68 million of savings have been allocated against rationalisation of the non-office operational estate (now amended to £1.123m). In July 2015 a review was commissioned of the asset base, and the Infrastructure Team started working with services to review assets and to identify opportunity to use our assets in a more efficient way. This Programme is an integral part of the Asset Management Plan and is now being managed by GEN² who continue to work with the services to review assets. Some elements of the Programme are in delivery, with the implementation of the Gateway Services review in progress.

Where do we want to be?

KCC want to ensure that any reviews explore opportunities that can be presented through One Public Estate (integration with other public sector partners) as well as exploring multi-service buildings and creating opportunity for co-location of services. The outcome of the review and the implementation of its associated projects will result in an estate that is fit for purpose, continues to meet the needs of our residents and value for money.

How will we get there?

The project will provide:

- A number of projects to deliver the outcomes identified in the review.
- An efficient use of our assets, maximizing opportunities where possible (e.g. property running costs savings, income generation, sharing accommodation).

M: Current Tier 1 projects

Children and Young People's Service Integrated Programme

Portfolio:
0-25

End Date:
TBC

Start Date:
October 2016

Stage:
Analyse

What will the programme deliver?

This programme will improve outcomes for children and young people and value for money by exploring and exploiting opportunities for improvements to:

- working practices
- supporting architecture (technology and governance)
- service delivery models
- culture across services and partners

Background

This programme builds on the foundations laid in the 0-25 Unified programme and will draw on Newton Europe's expertise (as and when their specific skillset/additional capacity is required) as well as KCC expertise, to analyse opportunities for integration.

Where do we want to be?

KCC aspires to deliver the best Children and Young People's Services in the country in order to help children and young people to grow up, be educated, supported and safeguarded so all can flourish and achieve their full potential. KCC intends to define and implement a new way of delivering services that will build on effective partnership across teams and partners.

How will we get there?

Following the development of a vision, Newton Europe and KCC staff have been carrying out assessment activity to inform the analysis phase. This work is due to be completed in August. The findings will then be checked and validated.

Opportunities which are identified within the assessment will be considered and a programme of activity worked up in more detail. These will ultimately be the projects that make up the programme. Timescales will be confirmed once implementation options have been agreed.

More detail will be shared in the next report.

M: Current Tier 1 projects

HeadStart

Portfolio:
0-25

End Date:
August 2021

Start Date:
June 2014

Stage:
Do

What will the project deliver?

The project will:

- Enable young people to have the skills and confidence to better manage adversity and be able to access and negotiate support should they need it.
- Promote the importance of resilience in young people, and providing early support to prevent problems getting worse;
- Develop and test approaches that ensure timely and accessible support, including direct access in appropriate settings;
- Transform the skills and understanding of the wider workforce so they better engage and respond to young people's emotional and health needs;

Background

In Kent, 18,795 young people aged 10 to 16 will have mild to moderate emotional wellbeing and mental illness that would benefit from additional interventions alongside their parents and carers. HeadStart will ensure these young people are well supported in their journey and helped to prevent the onset of mental illness.

Kent has been successful in securing £9.89m Big Lottery funding and will be focusing on setting up a countywide 'resilience hub' which will provide resources and expertise for schools and communities to tap into; transforming and improving all services to support young people in the priority groupings; providing bespoke support to young people to build their resilience, recover from trauma or adversity and improve their emotional health and wellbeing.

Where do we want to be?

By 2020 Kent young people and their families will have improved resilience, by developing their knowledge and lifelong skills to maximise their own and their peers' emotional health and wellbeing; so to navigate their way to support when needed in ways which work for them.

How will we get there?

Young people have equal status within the governance in HeadStart. There will be 3 levels of approach and each intervention has completed a TIDieR sheet which contributes to an overarching Theory of Change.

- Universal: development of a resilience hub, with a setting resilience toolkit, menu of support and expert guidance that will be available across Kent during year 1.
- Universal Plus: a geographically phased approach to offering settings resources to ensure they implement specific emotional health and resilience into settings, including online counselling
- Additional support: a geographically phased approach to offer young people support who have experienced domestic abuse.
- Co-production, digital and social marketing will be at the core of the work of all the approaches.

M: Current Tier I projects

Education Services Company (ESC)

Portfolio:
0-25

End Date:
April 2018

Start Date:
January 2016

Stage:
Do

What will the project deliver?

The intended outcomes are a more sustainable model for education services, more capacity to trade and generate income for educational purposes, and a stronger partnership model with schools that will continue to drive improvement and collaboration. This work follows on from the decision by Cabinet in March 2017 to proceed with the business case.

Background

In an environment of changing national policy and budget pressures it is clear that KCC will need to continue to change the way it delivers and funds its services, as well as adapting the way it works with the education sector. Our aim is to continue to have a coherent and sustainable approach to working in close partnership with schools and to delivering services that are fundamental to supporting schools, children, young people and families.

Where do we want to be?

- The council is looking through this potential alternative delivery vehicle to work in partnership with schools, and strengthen the relationship further with the local authority in a changing landscape where the local authority's role is changing and more schools become academies;
- Ensure that schools continue to have access to quality cost effective services from KCC that are both statutory core and traded, to support improving educational attainment and standards and a support network which allows our schools to focus on continued school improvement;
- To maintain and maximise the opportunities to grow the income from traded services by expanding the offer within Kent and beyond the county to other local authority areas and their schools, to reinvest in supporting KCC service delivery. As part of this the Council also wishes to ensure that the operating model provides a sustainable approach to income from traded services which is resilient should there be changes in the educational sector.

How will we get there?

A full business case has been agreed and work has been initiated to set up an ESC legal entity, start recruitment of board members and engage further with stakeholders. Detailed plans are being drawn up which will include all activities to enable the company to launch early 2018.

M: Current Tier 1 projects

Front Door Integration Project

Portfolio:
0-25

End Date:
March 2018

Start Date:
July 2016

Stage:
Do

What will the project deliver?

The project's aim is to integrate the Specialist Children's Services Central Duty Team and the Early Help and Preventative Services Triage Team into a single Integrated Front Door team, with shared processes and forms.

Background

There are currently two access points into 0-25 services. A single front door will better enable the teams to manage demand into 0-25 services and has the opportunity to improve the way that social care and early help teams support families.

Where do we want to be?

- An integrated front door team
- A clear and consistently applied thresholds document
- Clear and effective processes to support the work of the team

How will we get there?

Analysis has been undertaken and current processes mapped. Proposed structures have been agreed and work is planned to consult with the aim of structuring staff into the new front door team in the coming months. Revised processes will be implemented, with the aim of having embedded new ways of working by April 18.

M: Current Tier 1 projects

Your Life Your Wellbeing Programme – Phase 3 Adults Transformation

Portfolio:	End Date:	Start Date:	Stage:
Adults	April 2018	March 2017	Plan

What will the programme deliver?

A practical translation of the vision for Adult Social Care as outlined in the Your Life Your Wellbeing Strategy 2016 -2021.

Background

The Your Life, Your Wellbeing Transformation Programme was established to support the implementation of the new adult social care strategy.

Where do we want to be?

The intention is to deliver a practical translation of the adult social care vision; embedding improved outcomes achieved over previous phases of transformation and providing a sustainable platform for further change, improvement and integration, including delivery of Local Care within the Sustainability and Transformation Plan for Kent and Medway (STP).

The strategy breaks down our approach to adult social care into three themes that cover the whole range of services provided for people with social care and support needs and their carers:

- promoting wellbeing – supporting and encouraging people to look after their health and well-being to avoid or delay them needing adult social care
- promoting independence – providing short-term support so that people are then able to carry on with their lives as independently as possible
- supporting independence – for people who need ongoing social care support, helping them to live the life they want to live, in their own homes where possible, and do as much for themselves as they can.

The strategy also details what Kent County Council must have in place in order to achieve the vision. To achieve this vision, we must put in place; effective protection (safeguarding), a flexible workforce, smarter commissioning and improved partnership working.

How will we get there?

The programme has been designed to identify opportunities for improved outcomes and efficiency which could be tested during a Service Design stage and then lead to implementation across the County. The Analyse (Assessment) Phase ran from August to November 2016 and Plan (Design) was agreed to begin in March 2017.

M: Current Tier 1 projects

Adult Social Care Technology Enabled Change (TEC) Programme (previously Adult Systems Replacement)

Portfolio:	End Date:	Start Date:	Stage:
Adults	January 2019	January 2017	Plan

What will the programme deliver?

An updated client system for Adult Social Care - More efficient data input and reporting process; which will save them time and confusion. Better oversight of business, more sophisticated reporting, integration with health and meeting information governance and IT requirements.

Background

Kent County Council (KCC) originally procured SWIFT as its Children's and Adults Social Care System in 2004. The system was implemented in August 2006 although Children's social care migrated off SWIFT in January 2008. As part of the last SWIFT contract extension to April 2018 with the option for two further six month extensions to April 2019, an outline timescale for a re-procurement and implementation project was developed.

Where do we want to be?

The way social care is delivered is changing rapidly. The Care Act 2014 redefined the agenda for Adult social care. Adult Social Care has just initiated a major transformation programme which will have a major impact on its use of systems and technology to deliver efficiencies.

There is a greater focus on prevention and re-enablement and commissioners wish to incentivise providers based on delivery of outcomes for clients rather than rigidly defined tasks delivered at prescribed times. The drive to work in a more integrated way with colleagues in health is increasing with the development of a Sustainable Transformation Plan (STP) for Health and Care in Kent and phase 3 of the Adults Transformation Programme; this will require greater data sharing across organisations.

The boundary between Children's and Adults Social Care is less rigid with disabled young people being looked after to aged 25. The programme will design what we need from a new system and how we want the system to work for our staff and interact with our partners and providers.

How will we get there?

A Systems Programme Board has been established to oversee all phases of the programme. Procurement activity is currently taking place with an aim to be complete by October 2017. Work will then take place with the chosen supplier to implement the new system.

M: Current Tier 1 projects

Javelin Way Development

Portfolio:
GET

End Date:
March 2019

Start Date:
February 2017

Stage:
Plan

What will the project deliver?

This project is a new build to commercial specification on one third of a two acre site on Javelin Way, Henwood Industrial Estate, Ashford, to be fitted out with the appropriate level of technical equipment to service the needs of the Jasmin Vardimon Company (JVC).

This will enable planned business growth to be achieved through a new business plan, the core of which will see the production of a large scale touring show every two years and expand the number of students enrolling on their education programmes.

The proposed development will look to incorporate an enabling development to deliver part of the funding for the capital costs of the project. A financial business case for this element of the project will be worked up for KCC to consider and it will cover off how the KCC's investment will be protected both during and after the development.

Background

Jasmin Vardimon Company is an international dance organisation which tours nationally and internationally performing at high profile theatres throughout the UK, across Europe, Asia, the Middle East and the USA. The Company moved into Ashford in 2012 and has now developed a successful business model to the extent that it has outgrown its current home in the Stour Centre. Demand for JVC's offer is outstripping resources and their facilities are working at full capacity.

Having pursued a number of options to relocate them with Ashford Borough Council, vacant land has now been identified adjacent to the KHS Highway depot off Javelin Way which is owned by KCC and could be used to provide a larger, purpose built space to enable them to develop further and grow their sustainable business model.

Where do we want to be?

This project seeks to deliver a viable purpose built facility for JVC that will secure their presence in Ashford and deliver on one of Ashford Borough Council's eight main priorities.

This outcome will be achieved by securing a £3M grant from the Arts Council England and bringing forward the adjacent enabling development to secure sufficient funding to build the facility.

The final outcome for KCC will seek to secure an improved capital and or revenue position to the council and a self-financing development going forward.

How will we get there?

The project is currently putting in place the relevant governance and delivery vehicles needed to progress the development. As part of this, a number of options will be brought forward in terms of maximising the enabling development and working with JVC and the necessary consultants, KCC will seek to drive forward a cost effective solution that is viable to all parties both in terms of capital and revenue. A bid to the Arts Council England seeking a £3M grant has been approved and an outline business case signed off to take this option forward to the next stage. The procurement process for the Design stage has therefore started.

M: Current Tier 1 projects

Turner Contemporary Phase 2 - Consolidation and Expansion

Portfolio:	End Date:	Start Date:	Stage:
GET	April 2021	September 2016	Analyse

What will the project deliver?

Turner Contemporary Phase 2 consolidation and expansion will undertake a combination of new build, reconfiguration and refurbishment to bring the Turner Contemporary building up to a standard where it will be able to maintain its position as a leading national gallery and catalyst for regeneration. With its reputation for access and quality and its visibility as a world class visitor attraction generating an extraordinarily high number of visits, Turner Contemporary has outgrown the space in its current building.

Working with Live Margate, the project will identify how a wider scheme with possibly several phases could be brought forward in which Turner would be the main catalyst. The outcome would be a mixed use development that would deliver outcomes against Live Margate funds.

Background

Turner Contemporary has outgrown the space in its current building and over the last five years of operations, staff have been able to highlight the strengths and weaknesses of the current facility which is based in Margate facing the North Sea.

KCC currently subsidises the facility along with the Arts Council England (ACE) both of whom are looking to cut their ongoing revenue subsidy. In order to achieve this, a bid for £3M capital has been approved by ACE which once combined with KCC's contribution, together with funds from other sources, see a c£6M project being proposed. The project seeks to bring forward new build and refurbishment options for the Turner Contemporary while at the same time potentially exploring the opportunities for the adjacent Rendezvous site.

Where do we want to be?

The outcome will be to cut running costs on the facility and increase income generating capacity for the Trust in order to allow ACE and KCC to cut current subsidy levels to more manageable levels.

How will we get there?

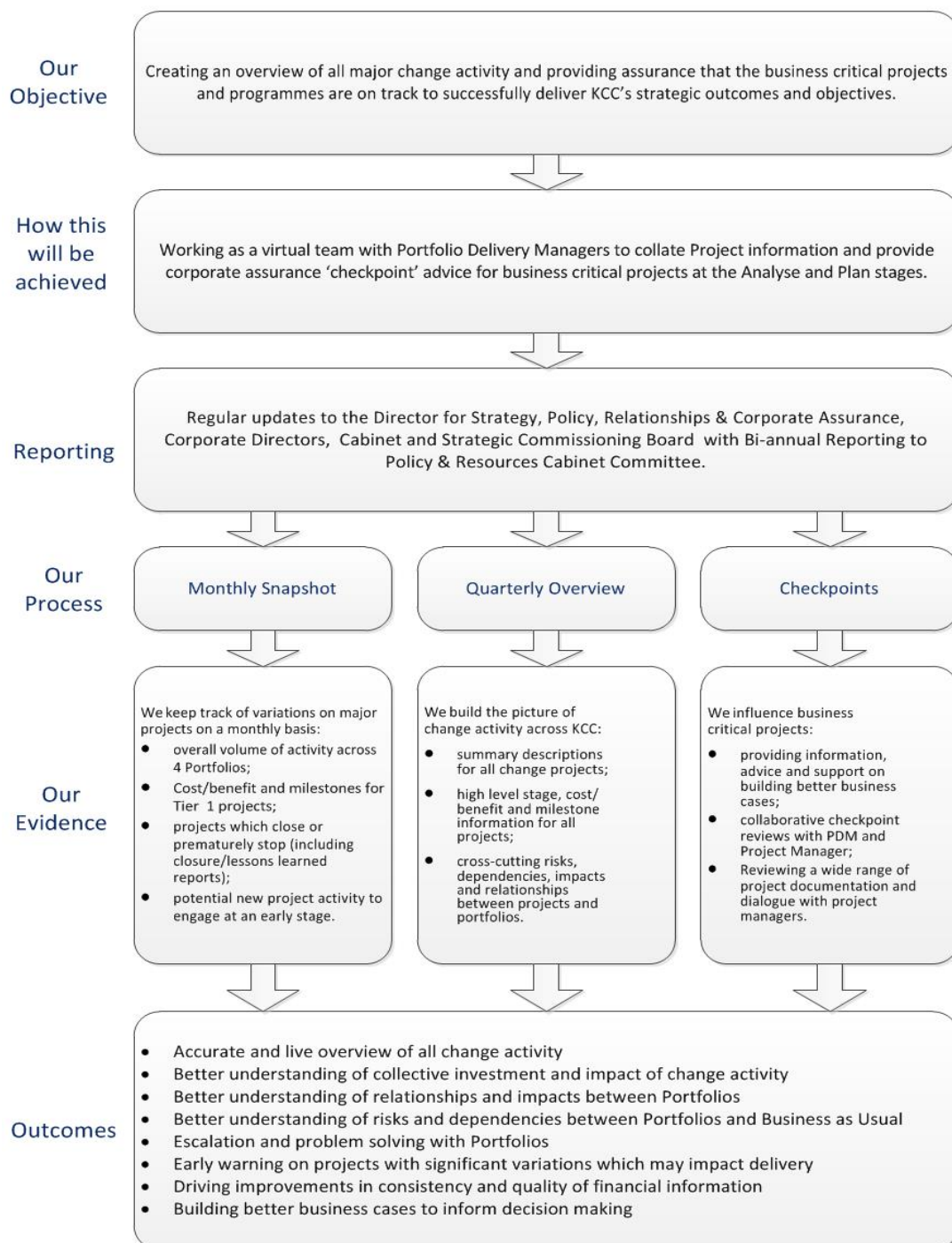
Project will seek to look at options for driving revenue income and cutting revenue costs in the building. This will include detailed work on income projections from food and beverage, retail, car parking, membership, venue hire and donations.

The project is currently putting in place the relevant governance and delivery vehicles needed to progress the development. As part of this, a number of options will be brought forward in terms of refurbishment and new build and the adjacent Rendezvous site will also be considered.

KCC will seek to drive forward a cost effective solution that is viable to all parties both in terms of capital and revenue. The project will also work closely with ACE and the Turner Trust given the latter's ability to leverage additional capital funds from other grant funding organisations.

N: Corporate Assurance – Our Approach

Corporate Assurance Approach



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From: Eric Hotson, Cabinet Member for Corporate and Democratic Services
David Cockburn, Corporate Director Strategic and Corporate Services and Head of Paid Service

To: Policy and Resources Cabinet Committee, 15 September 2017

Subject: Policy Framework – Strategies and policies for close down

Classification: Unrestricted

Past Pathway: Corporate Management Team, 27 June 2017

Future Pathway: Policy and Resources Cabinet Committee – regular updates TBC

Summary: Following approval of a new approach for managing the Policy Framework, a number of appropriate KCC strategies and policies have been agreed for close down by Cabinet Members.

Recommendation(s):

Policy and Resources Cabinet Committee is asked to:

- (1) **Endorse** the strategies and policies that have been agreed for close down as set out in Tables 1 and 2;
- (2) **Agree** how frequently the Committee will receive an update on the Strategy and Policy Register, with a suggested initial frequency of six months.

1. INTRODUCTION

- 1.1 Following discussion with Cabinet Members and Corporate Directors, KCC has approved a new approach to managing the Policy Framework in order to provide clearer oversight and control and to effectively manage risk.
- 1.2 The new approach introduces a Control Framework for strategy and high-level policy, with a set of simple principles for the management of the organisation’s strategic documents. The Control Framework is attached (Appendix B) for reference.
- 1.3 One of the benefits of the new Control Framework will be to support a consistent approach across the organisation’s strategic documents. Recent national developments around proposed changes to libraries have indicated enhanced corporate risk through misalignment of different corporate strategies and policies, so the new Control Framework will help to more effectively mitigate potential risk.
- 1.4 The forthcoming plan to modernise and reform the Constitution presents an opportunity to formalise the new Control Framework in the Constitution. This will be undertaken as part of the planned updates by the General Counsel to Selection and Member Services Committee and County Council later this year.
- 1.5 The Control Framework sits alongside a Strategy and Policy Register which lists the strategy and policy documents owned by KCC and with our strategic partners that set out the future vision and internal controls for services. It does not include the organisation’s operational policies and procedures, which guide day-to-day

work. The Control Framework and Strategy and Policy Register, along with a one-page summary front-sheet for each document on the Register, will be published on KNet in September. Communication to staff about the new approach has already begun and will continue over the coming months.

- 1.6 As part of the new approach, a stock-take of the existing documents on the Strategy and Policy Register was undertaken. As a result, CMT identified a number of strategies and policies that have been found to be out of date or have already been replaced by a newer version. The documents identified as potentially ready to close down were discussed with Cabinet Members who agreed which strategies and policies will be closed down, as set out in Tables 1 and 2 of this paper.
- 1.7 This paper presents Policy and Resources Cabinet Committee with the strategies and policies that have been agreed for close down and asks the Cabinet Committee to endorse this. The Cabinet Committee is also asked to agree how frequently to receive an update on the Policy Framework process, including an overview of the Strategy and Policy Register.

2. STOCK-TAKE OF STRATEGIES AND POLICIES

- 2.1 During the summer, the Strategy, Policy, Relationships and Corporate Assurance (SPRCA) Division has undertaken a stock-take of the 136 strategies and policies that fall into the scope of the Strategy and Policy Register. An additional 36 potential or forthcoming documents have also been identified. The purpose of this stock-take has been to:
 - Produce a final Strategy and Policy Register that can be published on KNet in September, ensuring that all documents in scope have been included;
 - Produce the one-page summary front-sheets for each of the documents that will be included on the Register, so that these can be published alongside the Register to summarise all essential information in one place;
 - 'Clear the decks' by identifying documents that are out of date or have been replaced, to inform the decision on which should now be closed down;
 - Identify the strategies and policies that are under review or due to be reviewed shortly, to gain an understanding of forthcoming changes to strategies and policies on the Register.
- 2.2 The first step was to test the draft Strategy and Policy Register with CMT who have provided feedback on whether any documents were missing, and identified documents that are ready to close down.
- 2.3 Summary front-sheets have been produced by SPRCA with input and approval from the accountable owner of each strategy/policy. For the strategies and policies that were identified for close down, the reasons for this and any potential implications were discussed with the accountable owner. This has informed the final list of documents for close down as set out in section 3.
- 2.4 A revised Strategy and Policy Register has also been produced as a result of this exercise (Appendix A).

3. STRATEGIES AND POLICIES PROPOSED FOR CLOSE DOWN

- 3.1 The strategies and policies that have been agreed in discussion with Cabinet Members for close down are set out in the tables below. Most of the strategies and policies identified could be closed down immediately and these are set out in Table 1. There are 29 documents in this table.

- 3.2 A number of other strategies and policies have been agreed for close down later in 2017/18. In all cases this is because the strategy/policy is being replaced by a newer version but the replacement document has not yet been published. These are set out in Table 2. There are 16 documents in this table.
- 3.3 The reasons why each strategy/policy is being closed down is explained in the tables. The most common reasons are because the document has been replaced with a subsequent version or another document, or because it is now out of date as it was developed some years ago and the context has changed. The summary front-sheet for each strategy/policy listed in the tables is available if required. This sets out overview information including the purpose of the document, how and when it was approved and by whom.

Table 1: Strategies and policies for close down immediately

Name	Reason for close down
Bold Steps for Kent (2010-2015)	Has been replaced - by Increasing Opportunities, Improving Outcomes (2015-2020)
Bold Steps for Kent: Progress to Date and Next Steps	Out of date
Facing the Challenge: Whole Council Transformation	Out of date
Facing the Challenge: Delivering Better Outcomes	Out of date
Kent and Medway Domestic Abuse Strategy (2013-16)	Has been replaced - by an updated version (2016-2020)
Customer Service Strategy (2012)	Has been replaced - by the Customer Service Policy (2015-2018)
Bribery Act Policy (2011)	Has been replaced - by the Bribery Policy (2017)
Every Day Matters (Multi-Agency Version)	Out of date - This strategy has been replaced by Working Together to Improve Outcomes: Children and Young People's Framework.
Child Poverty Strategy (2013)	Out of date
Strategy for Children with Special Educational Needs and Disabilities (2013-2016)	Has been replaced – by an updated version (2017-19).
Kent Approach to Literacy and Reading (2011-2021)	Out of date
Kent's Approach to Helping Troubled Families	Out of date
Kent and Medway CSE Strategy	Has been replaced - by an updated version (2016-18)
Kent Looked After Children Strategy (2011-2013)	Has been replaced - by Kent Looked After Children and Care Leaver Strategy (2015-16).
Kent Young Carers Strategy (2007-2010)	Out of date
Unlocking Kent's Potential: Regeneration Framework	Out of date
21st Century Kent (spatial vision) (2010)	Out of date
Growth Without Gridlock: A Transport Delivery Plan for Kent (2010)	Has been replaced - is now incorporated into Local Transport Plan 4
Kent County Council and the Delivery of the Olympic and	Out of date

Paralympic Legacy (2013)	
The Anti-Social Behaviour Strategy	Out of date
Inspiring and Supporting the People of Kent: Libraries, Registration and Archives, (2014-2015)	Out of date
Living Later Life to Full (2009)	Out of date
Employment Strategy for People with a Learning Disability in Kent (2001-04)	Out of date
Better Care Fund Plan (2014-16)	Has been replaced - by an updated version (2016-17)
Kent Alcohol Strategy (2014-16)	Has been replaced - by the Kent Drug and Alcohol Strategy (2017-2022)
Kent Hidden Harm Strategy (2010-13)	Has been replaced - by the Kent Drug and Alcohol Strategy (2017-2022)
Kent Healthy Weight Strategy (2010)	Has been replaced - by an updated version (2015-2020)
Living Life to the Full – A Strategy for Public Health in Kent (2007/08)	Out of date
Tobacco Control Strategy (2010-14)	Out of date

Table 2: Strategies and policies for close down during 2017/18

Name	Reason for close down
Commissioning Framework for Kent County Council (2014)	Will be replaced - by <i>Commissioning Success</i> in Sept 2017
Asset Management Strategy (2013-2017)	Will be replaced - by a new version by Dec 2017
Business Continuity Policy (2015)	Will be replaced - by new version in Sept 2017
Brand and Communication Policy (2013)	Will be replaced - by new version in Sept 2017
Comments, Complaints and Compliments Policy (2015)	Will be replaced - by new version in Sept 2017
Data Quality Policy (2013)	Will be replaced - by a new version in Oct 2017
Kent Looked After Children and Care Leaver Strategy (2015-16)	Will be replaced - by a new version which is currently in development
Kent and Medway Growth and Infrastructure Framework (2016-2031)	Will be replaced – by a new version by end of 2017
Kent Country Parks Service Strategy (2014-2017)	Will be replaced - by a new version in 2018
Kent Local Flood Risk Management Strategy (2013)	Will be replaced - by a new version in Nov 2017
Road Casualty Reduction Strategy (2014-2020)	Will be replaced - by a new version in Oct 2017
Kent Joint Municipal Waste Management Strategy, (2012/13 - 2020/21)	Will be replaced - by a new version in Mar 2018
Kent Community Safety Agreement (2014-2017)	Will be replaced - by a new version in Sept 2017
Better Care Fund Plan (2016-17)	Will be replaced - by a new version in 2017/18
Children’s Centres Strategy (2013-16)	Will be replaced - by the Kent Open Access Strategy (2017-2019) in Autumn 2017.
NEET Strategy (2015-2016)	Will be replaced - by a new version in 2017/18

3.4 Policy and Resources Cabinet Committee is asked to **endorse the strategies and policies that have been agreed for close down.**

3.5 A further set of strategies and policies have been identified as under review or due for review shortly, which might result in the document being proposed for close down at a later date. There are 21 such documents, listed below for information:

- Crime and Disorder Reduction Strategy: Community Safety Framework (2012-2015)
- Customer Service Policy (2015-2018)
- Information Governance Policy (2016)
- Data Protection Policy (2017)
- Environmental Information Regulations Policy (2017)
- Freedom of Information Policy (2017)
- Information Security Policy (2016)
- Information Sharing Policy (2016)
- Protective Marking Policy (2016)
- Records Management Policy (2016)
- Kent Partners' Compact (2012)
- Every Day Matters (KCC version) (2013)
- Early Help Strategy (2015-2018)
- Social Work Contract
- Cultural Competency in Kent - Policy and Guidance
- Countryside and Coastal Access Improvement Plan, 2013-2017
- Kent Design Guide
- Development and Infrastructure: Creating Quality Places
- Better Homes: Localism, Aspiration and Choice - Housing Strategy for Kent and Medway (2011)
- Adult Learning, Skills and Employment Strategy (2015-2018)
- Kent Adult Carers Strategy (2009)

4. NEXT STEPS

4.1 The strategies and policies agreed for close down will now be removed from KNet, Kent.gov and any other websites they are on, with archived versions kept by SPRCA for future reference.

4.2 The development, refresh and close down of strategies and policies is a constant cycle, meaning that the Strategy and Policy Register will continue to change. SPRCA will maintain the Register on KNet to ensure it is always up to date.
Policy and Resources Cabinet Committee are asked to agree how frequently the Committee will receive updates on the Strategy and Policy Register, with a suggested initial frequency of six months.

4.4 The Control Framework for Strategy and Policy, final Strategy and Policy Register and summary front-sheets will be published on KNet in September. This will involve some streamlining and improvements to the current KNet pages about KCC's strategies and policies.

4.5 Communication to staff about the Control Framework and Register has already started through KMail to Managers, a Memo to Directors and individual meetings and correspondence with accountable owners of strategies and policies. This will continue with a series of planned messages for staff in KMail, KMail for Managers and the KNet home page. Items on the new approach will also be

taken to Extended CMT, T200 and other manager forums during Autumn/Winter 2017.

- 4.6 Subject to advice from the General Counsel, the Control Framework and any required updates to the formal Policy Framework will be included as part of the planned updates to the Constitution later this year. Work will be undertaken to ensure that staff are clear on new roles and responsibilities following any updates to the Constitution.

5. RECOMMENDATIONS

- 5.1 The recommendations are as follows:

Policy and Resources Cabinet Committee is asked to:

- (1) **Endorse** the strategies and policies that have been agreed for close down as set out in Tables 1 and 2;
- (2) **Agree** how frequently the Committee will receive an update on the Strategy and Policy Register, with a suggested initial frequency of six months.

Appendices:

- Appendix A: Strategy and Policy Register
- Appendix B: Control Framework for Strategy and Policy

Background Documents:

- Strategy/Policy Front Sheets

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Appendix A: Strategy and Policy Register

Documents which appear in italics are proposed for close down or replacement.

Corporate and Strategic Relationships

1. Increasing Opportunities, Improving Outcomes: Strategic Statement, 2015-2020
2. Vision for Kent: Community Strategy, 2011-2022
3. *Commissioning Framework for Kent County Council, 2014*
4. *Bold Steps for Kent (2010-2015)*
5. *Bold Steps for Kent: Progress to Date and Next Steps*
6. *Facing the Challenge: Whole Council Transformation*
7. *Facing the Challenge: Delivering Better Outcomes*
8. Towards a Strategic Commissioning Authority (series of County Council papers)
9. Treasury Management Strategy (2017-20) - part of the MTFP
10. Capital Strategy (2017-20) - part of the MTFP
11. Revenue Strategy (2017-20) - part of the MTFP
12. Equality and Diversity Strategy and Policy Statement
13. Equality and Human Rights Policy and Objectives (2016-2020)
14. Equality Impact Assessments Policy and Guidance (2014)
15. *Kent and Medway Domestic Abuse Strategy (2013-16)*
16. Risk Management Policy and Strategy (2016-2019)
17. Pay Policy Statement (2017/18)
18. Organisation Development Strategy and Plan (2017-2020)
19. *Customer Service Strategy (2012)*
20. Customer Service Policy (2015-2018)
21. Our KCC, Working Together, Shaping Our Future: Staff Engagement Strategy
22. *Asset Management Strategy (2013-2017)*
23. ICT Strategy (2016-2020)
24. ICT Acceptable Use Policy (2016)
25. *Business Continuity Policy (2015)*
26. Information Governance Policy (2016)
27. Data Protection Policy (2017)
28. Environmental Information Regulations Policy (2017)
29. Freedom of Information Policy (2017)
30. Information Security Policy (2016)
31. Information Sharing Policy (2016)
32. Protective Marking Policy (2016)
33. Records Management Policy (2016)
34. *Brand and Communication Policy (2013)*
35. *Comments, Complaints and Compliments Policy (2015)*
36. Volunteering Policy (2014)
37. Social Media Guidance (2017)
38. Workforce Planning Strategy (2015-2020)
39. People Strategy (2017-2022)
40. Anti-Fraud and Corruption Strategy (2016)
41. *Bribery Act Policy (2011)*
42. Bribery Policy (2017)
43. Spending the Council's Money
44. *Data Quality Policy (2013)*
45. Voluntary and Community Sector Policy (2015)
46. Kent Partners' Compact (2012)
47. Armed Forces Covenant
48. Kent & Medway Domestic Abuse Strategy (2016-2020)
49. Workforce Health and Wellbeing Strategy (2017)

Adult Social Care and Health

50. Kent and Medway Joint Health and Wellbeing Strategy (2014-2017)

51. Draft Transforming Health and Social Care in Kent and Medway, Sustainability and Transformation Plan (2016)
52. *Better Care Fund Plan (2014-16)*
53. *Better Care Fund Plan (2016/17)*
54. Your Life, Your Wellbeing Strategy (2016-2021)
55. Kent and Medway Transforming Care Partnership Plans
56. *Employment Strategy for People with Learning Disability in Kent*
57. Kent Social Care Accommodation Strategy (2014)
58. Social Care, Health and Wellbeing - Community Support Market Position Statement (2016)
59. The Kent and Medway Safeguarding Adults Board Strategic Plan (2015-2018)
60. Adult Learning, Skills and Employment Strategy (2015-2018)
61. Kent Adult Carers Strategy (2009)
62. *Living Later Life to the Full (2009)*

Public Health

63. Live it Well Principles (2016)
64. Kent's Teenage Pregnancy Strategy (2015-2020)
65. Kent Drug and Alcohol Strategy (2017-2022)
66. *Kent Hidden Harm Strategy (2010-2013)*
67. Suicide Prevention Strategy (2015-2020)
68. *Living Life to the Full – A Strategy for Public Health in Kent (2007/08)*
69. *Kent Healthy Weight Strategy*
70. *Tobacco Control Strategy (2011-2014)*
71. The Way Ahead: Kent's Emotional Health and Wellbeing Strategy for Children, Young People and Young Adults (2015)
72. *Kent Alcohol Strategy (2014-16)*

Children, Young People and Education

73. EYPS Vision and Priorities for Improvement (2017-2020)
74. Kent Children and Young People's Framework: Working Together to Improve Outcomes (2016-2019)
75. *Every Day Matters (Multi-Agency Version)*
76. Every Day Matters (KCC version) (2013)
77. *Child Poverty Strategy (2013)*
78. Commissioning Plan for Education Provision in Kent (2017-2021)
79. Elective home education policy (2015)
80. *Strategy for Children with Special Educational Needs and Disabilities (2013-2016)*
81. Strategy for Children with Special Educational Needs and Disabilities (2017-19)
82. Dyslexia Policy (2015)
83. 14-24 Learning, Employment and Skills Strategy (2015-2018)
84. *Kent Approach to Literacy and Reading (2011-2021)*
85. Kent Strategy for School Improvement – Inspiring Excellence (2016)
86. Kent's Strategy for Vulnerable Learners (2016-2019)
87. *NEET Strategy (2015-2016)*
88. Early Years and Childcare Strategy (2016-2019)
89. Early Help Strategy (2015-2018)
90. *Kent's Approach to Helping Troubled Families*
91. *Children's Centres Strategy (2013-2016)*
92. Kent Safeguarding Children's Board Strategic Plan
93. *Kent Looked After Children Strategy (2011-2013)*
94. *Kent Looked After Children and Care Leaver Strategy (2015-16)*
95. Kent Sufficiency, Placement and Commissioning Strategy (2015-2018)
96. Social Work Contract
97. Workforce Strategy
98. *Kent and Medway CSE Strategy*

99. Kent and Medway CSE Strategy (2016-2018)
100. Cultural Competency in Kent - Policy and Guidance
101. Kent's Pledge to Children in Care
102. Kent Specialist Children's Services Participation Strategy
103. KSCB Online Safety Strategy
104. SCS Workforce Strategy
105. *Kent Young Carers Strategy*

Growth, Environment and Transport

106. Crime and Disorder Reduction Strategy: Community Safety Framework, 2012-2015
107. Local Transport Plan 4: Delivering Growth Without Gridlock, 2016-2031
108. Kent Minerals and Waste Development Framework, 2013-2030 (also known as the Kent Minerals and Waste Local Plan, 2013-2030)
109. Waste Management Site Allocations, 2014
110. Kent and Medway Growth and Infrastructure Framework (2011-2031)
111. Better Homes: Localism, Aspiration and Choice - Housing Strategy for Kent and Medway (2011)
112. Inspirational Creativity – Our Cultural Ambition for Kent (2017)
113. *Unlocking Kent's Potential: Regeneration Framework*
114. *21st Century Kent (spatial vision) (2010)*
115. Kent Design Guide
116. *Kent Joint Municipal Waste Management Strategy (2012/13-2020/21)*
117. The Kent Waste Disposal Strategy (2017-2035)
118. 16+ Transport Policy (2016-17)
119. *Growth Without Gridlock: A Transport Delivery Plan for Kent (2010)*
120. *Road Casualty Reduction Strategy (2014-2020)*
121. Kent Winter Service Policy (2016-17)
122. Inclusive Mobility Action Plan (2017)
123. Kent Environment Strategy (2016)
124. KCC's Environment Policy (2017)
125. *Kent Local Flood Risk Management Strategy (2013)*
126. A Strategic Framework for Sport and Physical Activity (2017-2021)
127. *Kent County Council and the Delivery of the Olympic and Paralympic Legacy (2013)*
128. Countryside and Coastal Access Improvement Plan (2013-2017)
129. *Kent County Parks Service Strategy (2014-2017)*
130. Development and Infrastructure: Creating Quality Places
131. *Kent Community Safety Agreement (2014-2017)*
132. *The Anti-Social Behaviour Strategy*
133. *Inspiring and Supporting the People of Kent: Libraries, Registration and Archives (2014-2015)*
134. Rail Action Plan for Kent (2011)
135. Freight Action Plan for Kent (2017)
136. Kent Active Travel Strategy (2017)

Forthcoming/Potential New Documents:

Replacements for existing documents

- Commissioning Success (2017)
- Mind the Gap refresh
- Countryside Access and Coastal Improvement Plan
- Kent County Parks Service Strategy
- Kent Health and Wellbeing Strategy
- Final Sustainability and Transformation Plan for Kent & Medway
- Growth and Infrastructure Framework for Kent and Medway (2017-2037)
- Kent Housing Strategy

- Asset Strategy (2017)
- Kent Minerals Sites Plan
- Branding and Communications Guidelines/Policy (2017)
- Business Continuity Policy (2017)
- Data Quality Policy (2017)
- Comments, Complaints and Compliments Policy (2017)
- Community Safety Agreement (2017)
- Tobacco Control Strategy (2017)
- NEETs Strategy (2017)
- Kent's Looked After Children and Care Leavers Strategy (2017/18)

New documents

- Sensory Strategy (2016-2019)
- Kent Multi-Agency Neglect Strategy
- KCC Safeguarding Policy
- Modern Slavery in Kent Strategy
- Kent Gangs Strategy
- Gangs Strategy (Peer Review Learning)
- Libraries, Registration and Archives ambition/strategy
- Economic Development Strategy (Also called Enterprise and Productivity Strategy)
- Low Emissions Strategy
- Faith Covenant
- Strategic Partnerships Framework
- Approach to Highway Asset Management
- New Strategy for KCC's new Lead Local Flood Authority role
- Kent Open Access Strategy (2017-2019)
- Engagement Strategy (2017/18)
- Recruitment Strategy (2017)
- Resourcing Strategy (2017)
- Leadership and Management Strategy (2017)

Appendix B: Draft Control Framework for Strategy and Policy

The following statement is to be agreed by CMT and CMM, to be included as an addition to the Constitution, at an appropriate time by the General Counsel.

A Control Framework for Strategy and Policy in KCC

The authority's Policy Framework is set out in Appendix 3 of the Constitution, subject to the procedures and rules set out in the Constitution in Appendix 4 (Parts 6-7). The Policy Framework is an important part of Kent County Council's wider strategy and policy approach, which sets out our strategic direction and guides the work of the authority.

The control framework for strategy and policy is owned by the Director for Strategy, Policy, Relationships and Corporate Assurance. It sets out core principles that all strategic documents within scope of a single Strategy and Policy Register must comply with.

The Control Framework acts as an important part of the authority's internal controls to maintain clear oversight and accountability for strategy and policy development. The Register is owned and maintained by the Strategy, Policy, Relationships and Corporate Assurance Division and is published on KNet.

What is in scope of the Control Framework for Strategy and Policy?

The strategic documents in scope of the control framework include:

- *The Policy Framework in the Constitution:* whole organisation strategy and statutory documents which require approval by the full County Council (Appendix 3 of the Constitution).
- *The Strategy and Policy Register:* A list of all strategic documents which set out the future service vision and approach.

Strategy and Policy Register Scope	
<i>Included</i>	<i>Excluded</i>
<ul style="list-style-type: none"> • Strategy • Policy • Principles • Vision • Strategic Plans • Strategic Frameworks • Covenants • Compacts • Market Position Statements 	<ul style="list-style-type: none"> • Operational Policy: detailed guidance on operational practice and procedures • Discussion Documents: including politically led think-pieces • Annual Reports and Local Accounts: outline short term progress on delivering strategy • Action and Implementation Plans: detail how strategy will be delivered • Business Plans: set out management/commercial goals and resources to deliver strategy • Financial Management Documents: e.g. Budget Book • Analytical and Performance Products: act as evidence base for strategy/policy including JSNA, Assessment/Analysis Reports, Research, Performance Reports, Workforce/Customer Profiles • Information about service delivery: including prospectus and service 'offers' • Commissioning Documents: guide how we commission services, informed by strategy/policy, including Service Specifications, Service Level Agreements, Commissioning Strategies/Plans and Contracts

Operational policy is **excluded** from the Strategy and Policy Register. There are hundreds of operational policies which include technical policies and procedures that guide everyday practice. These are an important part of how we manage services, both within KCC and through our providers (e.g. detailed property and health and safety policies guide the work of our contractors). Ownership and accountability for operational policy controls remains with the relevant Director, who can delegate to Heads of Service or other accountable officers as appropriate.

Examples of operational policies include:

Type of Operational Policy	Example
HR	Disciplinary Policy
Health and Safety	Fire Safety Policy
ICT	Software Update & Patch Management Policy
Property	Asbestos Policy and Guidance
Information Governance	Information Security Incident Protocol
Adult Social Care	Care and Support Planning Policy
Specialist Children's	Care Leaver Policy
CYPE	Pupil Premium Guidance
Public Protection	Managing Chalara Ash Dieback in Kent Plan
Strategic Planning	Draining and Planning Policy Statement
Transportation	Area-based cycling strategies

Control Framework Principles

All strategic documents within scope of the Strategy and Policy Register must comply with the following principles. Support is available from the Strategy, Policy, Relationships and Corporate Assurance Division to assist you.

1. There will be a single Strategy and Policy Register.

This register is owned by the Director of Strategy, Policy, Relationships and Corporate Assurance (SPRCA) and is published on KNet. All officers should work with the SPRCA division to ensure the Register creates a comprehensive and up to date oversight of all KCC's strategic documents.

2. There will be clear and simple definitions of all documents within scope of the Register.

The following definitions will help assist officers in identifying what strategic documents fall in scope of the Register. If you are unsure whether a document should be included, please contact the SPRCA Division for advice.

Document	Key Words	Timeframe	Level of Detail	What is it designed to do?
Included on the Register				
Strategy	Vision; Outcomes; Priorities; Direction; Approach	Medium to Long	High Level	<i>"What we want to achieve and why"</i>
Policy	Principles; Rules; Controls; Decisions;	Short to Medium	Specific	<i>"How we intend to deliver"</i>
Excluded from the Register				
Operational Policy	Practice; Procedures; Guidelines; Rules; Protocols	Short to Medium	Detailed	<i>"How we do things every day"</i>

3. Every strategy/policy on the Register must have a Named Accountable Officer.

This is important to ensure clear ownership and accountability, with a named point of contact. If the named accountable officer changes, they are required to inform the SPRCA division, so an accurate record can be maintained.

4. The Named Accountable Officer must inform the SPRCA division if creating, modifying or closing down a strategy/policy within scope of the Register.

Please contact the SPRCA division at the earliest opportunity if you are planning a change to strategy/policy which falls in scope of the control framework.

5. All documents on the Register must have a one-page standard front-sheet.

This will help to develop a consistent record of key information about all KCC's strategic documents. It is the responsibility of the Named Accountable Officer to complete and approve this, with support from the SPRCA Division, who will maintain the records and publish these on KNet. A standard template for the front sheets will be available on KNet.

The front sheet must include:

- Name of Strategy/Policy
- Purpose
- Statutory Basis (stating if direct or vicarious statutory responsibility)
- Start Date (approval date)
- Named Decision Maker (including stating if a key decision and specifying if it is a KCC or partnership owned document)
- Dependencies with other strategies and policies
- Whether the document should be published on external or internal web pages
- End Date (sunset clause, including any planned review date)
- Named Accountable Officer

6. Ownership and accountability for strategy/policy sits with the client side/commissioning function within KCC.

Ownership and accountability for any strategy or policy which guides the work of Alternative Service Delivery Models (e.g. trading companies) sits with the client side/commissioning function within KCC, not the delivery side.

7. All out of date strategic documents on the Register should be formally closed down.

All strategic documents on the Register which the Named Accountable Officer identifies as out of date, no longer actively used or not fit for purpose should be formally closed down. At this point they should be removed from internal and external web pages to an archive. This will help to ensure only the most relevant and up to date documents are accessible to our staff, partners and providers.

8. It is best practice for all strategic documents on the Register to include an Executive Summary.

It is considered best practice for all strategic documents to include a brief Executive Summary to provide a clear explanation of the purpose and audience of the document. This also provides a helpful summary 'landing page' for strategic documents online.

The control framework for strategy and policy will be reviewed by the Director for Strategy, Policy, Relationships and Corporate Assurance on a regular basis to ensure it remains relevant and fit for purpose.

June 2017

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By: Susan Carey – Cabinet Member for Customers, Communications and Performance
 Amanda Beer – Corporate Director for Engagement Organisation Design and Development

To: Policy and Resources Committee

Date: 15th September 2017

Subject: Customer Feedback Policy

Classification: Unrestricted

Summary: This report accompanies the proposed updated Customer Feedback Policy. The updated Policy takes into account new ways in which the public chooses to contact us and includes exceptions to the corporate procedure.

Recommendation(s): The committee is asked to consider and endorse the revised version of the Policy and support its implementation within KCC.

1. Introduction & Background

- 1.1 Following the launch of the Customer Service Policy in September 2015, a number of promises were made to the public including the commitment to revisit the Customer Feedback Policy.
- 1.2 The council is committed to enabling our customers to give us feedback about where we have got things wrong and also where we have got them right. By making it easier for our customers to offer feedback we are able to learn from that feedback to improve our services for the better.
- 1.3 The purpose of revising the policy is to:
- clarify how the public may make a complaint about us
 - define the standards the public can expect when they make a complaint
 - recognise the importance of customer feedback in providing insight into how customers feel about council services and its performance
 - set out how the Council will monitor customer feedback and use that information to improve services and identify training needs
- 1.4 The updated policy also seeks to provide a clear process for those School Governors who have a complaint against the Council but previously had no clear escalation process. This was a commitment that was made to the Governance and Audit committee in 2015.

- 1.5 Members of the Customer Feedback forum which includes representation from all Directorates fed into the amended version of the policy and surrounding guidance.
- 1.6 The Policy has also been presented for comments at each of the Directorates' Divisional Management Team meetings. Updates have been included to the policy following these discussions.

2. Consultation

- 2.1 The policy itself does not make any substantial changes to the way in which people will feedback to us and the timescales in which we will respond will remain the same. Due to this it was felt that consultation directly with the public was not necessary at this time. However, if during internal consultation of this policy, substantial changes are proposed then we will need to go out to consultation.

3. Recommendation

The Policy and Resources Committee is asked to consider and endorse the revised version of the Policy and support its implementation by staff and Members within KCC.

4. Appendices

Appendix A – Revised Customer Feedback Policy
Appendix B – Equalities Impact Assessment

5. Background Documents

Customer Service Policy – September 2015 – Policy and Resources Committee

6. Contact Details

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KCC

**CUSTOMER FEEDBACK POLICY
(COMPLAINTS, COMMENTS
AND COMPLIMENTS)**

Contents

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Introduction

This policy sets out KCC's position on complaints, comments and compliments management.

KCC has a genuine desire to learn from what our customers tell us and use it to improve:

- the services we provide
- the policies we develop
- how we behave as an organisation.

We are committed to operating an effective customer feedback system, that demonstrates to the public that we:

- are putting customers at the heart of everything we do
- listen to what residents have to say
- are open, honest and transparent
- are responsive and fair.

KCC has a devolved approach to complaints, comments and compliments management. Individual Directorates and business units are responsible for developing, operating and monitoring their own procedures and processes, but they must comply with the KCC Customer Feedback Policy and provide regular monitoring statistics. Services are also accountable to Governance and Audit Committee where they may be asked to report to the committee to outline the nature of their feedback and improvements made as a result.

Aim of policy

The purpose of this policy is to:

- clarify how the public may make a complaint about us
- define the standards the public can expect when they make a complaint
- recognise the importance of customer feedback in providing feedback about council services and performance
- set out how the Council will monitor customer feedback and use that information to improve services and identify training needs.

KCC Complaints Standard

We will acknowledge receipt of your complaint within 3 working days.

We will use plain English

We will give you a contact name and telephone number.

We will answer all complaints within 20 working days or explain why a reply may take longer.

What is a complaint, comment or compliment?

COMPLAINT

A complaint is an expression of dissatisfaction, however made (whether that service is provided directly by the council or by a contractor or partner), about the standard of / or the delivery of service, the actions or lack of action by the Council or its staff which affects an individual service user or group of users.

Some examples of what might be complained about:

- An unwelcome or disputed decision

- Concern about the quality or appropriateness of a service
- Delay in decision making or provision of services
- Delivery or non-delivery of services
- Quantity, frequency or change of a service
- Attitude or behaviour of staff
- Refusal to answer reasonable questions
- Giving misleading or unsuitable advice
- How a policy decision has directly affected them negatively

This definition is in line with those complaints that are considered by the Local Government Ombudsman.

Examples:

- a customer complains that the Council has failed to follow its own procedures and that the member of staff dealing with them was rude and unhelpful
- a customer requested several months ago that a pothole outside their house needed sorting out, the agreed timescale for fixing the pothole has passed and the pothole still hasn't been repaired
- a customer is unhappy with the delay in carrying out a social care assessment
- a customer who attends an Adult Education Class complains that when they turned up for their class it had been cancelled and no one had let them know.

COMMENT

A comment is a general statement about policies, practices or a service as a whole, which have an impact on everyone and not just one individual. A comment can be positive or negative in nature. Comments may question policies and practices, make suggestions for new services or for improving existing services.

Examples:

Positive Comment

- I am very happy that the Council has added book reservations to the online system for the Library Service

Negative Comments

- I am unhappy with the Council's decision to introduce parking charges at its country parks
- The website has information that is out of date.

COMPLIMENT

A compliment is an expression of satisfaction, thanks, praise or congratulations. (Internal compliments are excluded from this process)

Examples:

- I would like to thank the Customer Service Advisor for the prompt and efficient way in which they answered the phone and dealt with my query. They were most helpful and friendly
- I was very grateful when I needed to see someone about the difficulties I was having that the Council Officer was able and willing to meet with me in the evening.

Who can make a complaint, comment or compliment?

Any individual or organisation that uses or receives a Council service can make a complaint if they are dissatisfied with the service. Complaints can also be made by a relative, a Member or MP, carer, friend or advocate on your behalf. We may have to seek your consent if someone raises a complaint on your behalf. This definition includes:

- statutory or non-statutory services provided to individual customers
- services provided to schools.
- services commissioned and delivered through other providers on behalf of the Council

The Customer Feedback Policy does not cover complaints from members of staff, trainees, apprentices or persons on work placements, involving working conditions, pay or other internal grievances.

How a complaint can be made

A complaint can be accepted in any form (including face to face, via social media or by phone). However, for the sake of clarity, any complaint and the steps taken to deal with it should be recorded in writing. We must take account of the complainant's individual circumstances and specific needs when communicating during the complaint process, bearing in mind such issues as disability and first language.

Stages of the complaints procedure

The KCC complaint process follows three steps;

Stage 1: Local Resolution

Members of the public should firstly take up their complaint directly with the service concerned. Staff should aim to sort out the problem as quickly and as easily as possible.

Our standard is to acknowledge the complaint within **three working days**, and to provide a full reply within **20 working days**. Where this is not possible, customers will be informed at the earliest opportunity before the completion of 20 working days when they can expect to receive a full reply.

Stage 2: Complaint Escalation

If a complainant remains dissatisfied, they can have their complaint investigated by writing to the Corporate Director of the service involved.

The timescale for a formal response is **20 working days**. For more complex cases it will be a maximum of 65 working days.

At the conclusion of stage 2, customers must be informed of their right to escalate their complaint to the Local Government Ombudsman.

Stage 3: Local Government Ombudsman

If a complainant is still not happy with the outcome of an investigation, they can take their complaint to the [Local Government Ombudsman](#)

Exceptions to the KCC complaints procedure

There are separate procedures for complaints relating to the following services. This is to take into account the statutory requirements Kent County Council is required to meet.

Adult Social Care

Stage 1

We will acknowledge your complaint to confirm we have received it and a member of the complaints team will contact you to discuss a plan of action to deal with your concerns. This initial communication will normally take three working days. We aim to respond to most complaints within 20 working days, but additional time is required to investigate more complex complaints. We will keep you informed of any delays in the process. You can expect your complaints to be listened to, to be investigated fairly and responded to.

Stage 2

If we have not been able to resolve your complaint, please contact the complaints team using the contact methods above to see if anything further can be done. However, if you are not happy with the response, you can ask the [Local Government Ombudsman](#) to review the way we have dealt with your complaint.

Children's Social Services

Stage 1 – Local Resolution

Most complaints can be settled quite simply by discussing your problem with a member of staff on hand or at your local Children's Services office. You may prefer to write to us, we can help you put your complaint in writing. We will aim to settle your complaint as quickly as possible, usually between 10 and 20 working days. If your complaint will take longer we will keep you informed of the progress.

Stage 2 - Investigation

If it is not possible to settle your complaint locally, or you remain dissatisfied with the answer you receive, you may want to take your complaint to the next stage of the procedure. You can request for it to be considered at Stage 2 with an Investigating Officer and Independent Person appointed to examine your complaint in detail.

If we investigate your complaint:

- an investigating officer who is new to your case will look into the issues raised
- an independent person from The Young Lives Foundation, the children's charity, will also be appointed to consider your complaint
- the investigating officer and the independent person will contact you to make sure they fully understand the complaint.

When the investigation is complete, we will send you a full response with the findings of the investigation, as well as the Council's response to those findings. We aim to do this within 25 working days of the investigation starting, but it can take longer. We will keep you informed of progress. Where it is not possible to complete the investigation within 25 working days, it may be extended to a maximum of 65 working days.

Stage 3 – Review Panel

If you are not happy with the explanation or solution offered to you at Stage 2, you have a right to ask for your complaint to be considered again, this time by an Independent Review Panel. A Review Panel will be held within 30 working days of your request being accepted.

Local Government Ombudsman

If you are still not happy with the decision about your complaint once the complaint procedure has been completed, or you feel we have not answered within a reasonable timescale, you can complain to the [Local Government Ombudsman](#) by writing to:

The Local Government Ombudsman
PO Box 4771
Coventry
CV04 0EH
Telephone: 0300 061 0614

Complaints by Governors

If the Local Government Ombudsman refuses to consider a complaint brought by a governor then the local authority will arrange for the complaint and/or the investigation to be independently reviewed. This process only applies where a governor makes a complaint in relation to:

- a. Their personal treatment by the local authority or the conduct of officers acting on behalf of the local authority, and
- b. Relating to their role as a governor of a local authority controlled or maintained school, and
- c. Where the actions complained of do not relate to the management of the school,
- d. Where the LGO has refused to consider, accept or investigate the complaint and
- e. Where the incidents complained of took place within the last six calendar months

A copy of any report will be provided to the complainant and the Cabinet Member for Children, Young People and Education.

Complaints about Schools

If you are worried about your child's learning or welfare at school, speak to your child's class teacher or head of year first. If you are not satisfied with the teacher's response, arrange to speak to the head teacher. If this isn't practical, you can ask for a copy of the school's complaints procedure to help you decide whether you wish to make a formal complaint

Local Authority Schools

The School Information Regulations (England) requires local authority maintained schools to have a procedure published online for dealing with all complaints relating to their school and to any community facilities or services that the school provides. The procedure should be available to anybody who wishes to make a complaint against the school.

Each school can decide on how many stages the procedure will include, usually two or three.

If you remain dissatisfied after completing the school's complaints procedure, then you have a right to refer your complaint to the Secretary of State for Education.

Further information can be obtained by calling the National Helpline on 0370 000 2288 or going online at: www.education.gov.uk/help/contactus or by writing to:

Department for Education School Complaints Unit 2nd Floor, Piccadilly Gate Store Street Manchester M1 2WD

Ofsted

In certain circumstances, Ofsted will investigate complaints by parents about their child's school, they will then decide whether to use their inspection powers to facilitate an investigation. Further information about what complaints Ofsted will investigate can be found online at:

<https://www.gov.uk/complain-about-school/state-schools>

Academy and Free Schools

The Education (Independent School Standards) Regulations 2010 requires Academy and Free Schools to have a procedure for dealing with complaints from parents of pupils. The procedure must comply with part 7 of [The Education \(Independent Schools Standards\) Regulations 2014](#).

The ESFA (Education and Skills Funding Agency) handles complaints about Academies and Free Schools and if you remain dissatisfied following the Academies complaints procedure you have a right to defer to the ESFA by going [online](#) or by post to: Ministerial and Public Communications Division, Department for Education, Piccadilly Gate, Store Street, Manchester, M1 2WD.

Complaints relating to Schools Admissions or Home to School Transport

Primary and Secondary Schools

You can appeal if you were refused a place at one of your preferred schools.

To appeal for a primary school place please read our [guide](#).

To appeal for a secondary place please read our [guide](#).

Appeal hearing

The hearing lets you explain to an independent appeal panel why you think your child should be given a place at the school and lets the school explain why it could not offer your child a place.

Decision – Primary

There is a legal maximum class size for reception, year 1 and year 2. This is 30 children per teacher. Your appeal can be turned down if all the classes have already reached their legal limit, unless:

- the admission arrangements were unlawful
- the admission arrangements weren't correctly and impartially applied
- the decision to refuse admission wasn't reasonable.

We will write to tell you the panel's decision as soon as possible. We cannot tell you the decision by telephone.

Decision – Secondary

We will write to tell you the panel's decision as soon as possible. We cannot tell you the decision by telephone.

School Transport Appeals

If you are unhappy with our decision to turn down your application for free school transport you can call us on 03000 41 21 21 to discuss the reasons why. If you are still unhappy then you have the right to make [an appeal](#).

You can attend the hearing to put your case to the panel.

The decision will be sent to you in writing within 5 working days of the appeal hearing.

Complain about the appeals process

You can complain about the way the appeal was carried out, but you cannot complain about the decision itself. To complain about the way in which the appeal was carried out you can refer your complaint to the [Local Government Ombudsman](#).

Complaints about a County Councillor

Our county councillors all adhere to the Kent Code of Conduct for Members.

Stage 1

Read:

- [our guide on how to make a complaint](#)
- [the Kent Code of Conduct for Members](#)

Complaints alleging that councillors have breached the code of conduct are reviewed by a Monitoring Officer and an Independent Person. They decide if any action should be taken and if the matter should be investigated and referred to a Hearing Panel.

They will not deal with complaints about things that are not covered by the Kent Code of Conduct for Members. Your complaint must state why you think the councillor has not followed the Kent Code of Conduct for Members.

Stage 2

To send your complaint:

- fill in the [online councillor complaints form](#)
- email democratic.services@kent.gov.uk
- print and post the councillor complaints form to the Head of Democratic Services, Kent County Council, Sessions House, County Hall, Maidstone, Kent ME14 1XQ.

Requests for Information

To complain about our response to a request for information under the Freedom of Information Act or other related legislation:

Stage 1

Send full details of your complaint asking for an internal review to the Head of Paid Service

- email headofpayservice@kent.gov.uk
- write to Head of Paid Service, room 1.70, Sessions House, County Hall, Maidstone, Kent ME14 1XQ.

Or to complaint about a request for access to personal information (subject access requests) or report a suspected Data Protection breach:-

- email dataprotection@kent.gov.uk
- write to Information Resilience & Transparency Team, room 2.71, Sessions House, County Road, Maidstone, Kent. ME14 1XQ

Stage 2

If you are still unhappy, you can raise the matter with the Information Commissioner:

- call 0303 123 1113
- email casework@ico.org.uk
- go to the [Information Commissioner's website](#)

Complaints relating to the Fluency Duty (Part 7 of the Immigration Act 2016)

Customers wishing to make a complaint under the Fluency Duty Code of Conduct (Part 7 of the Immigration Act 2016) should do so under the normal KCC complaints procedure.

Public authorities are subject to the fluency duty in relation to all of their staff who work in customer-facing roles.

The fluency duty does not extend to workers employed directly by a private or voluntary sector provider of a public service.

For the purposes of the fluency duty, a legitimate complaint is one about the standard of spoken English of a public sector member of staff in a customer-facing role. It will be made by a member of the public or someone acting on his or her behalf complaining that the authority has not met the fluency duty.

A complaint about a member of staff's accent, dialect, manner or tone of communication, origin or nationality would not be considered a legitimate complaint about the fluency duty.

For more information on the Fluency Duty Code of Conduct please visit https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/467731/Draft_Code_of_Practice_on_the_English_Language_Requirement_for_Public_Sector_Workers_.pdf

Confidentiality

Any complaint processed through the procedure will be dealt with in accordance with the requirements of the Data Protection Act 1998 and Freedom of Information Act

Vexatious and Unreasonably Persistent Complainants

The Council is committed to dealing with all complaints equitably, comprehensively and in a timely manner. It does not normally limit the contact which complainants have with Council staff and offices. The Council does not expect staff to tolerate behaviour which is abusive, offensive or threatening and will take action to protect staff from such situations.

The County Council's guidance on handling unreasonably persistent and vexatious complainants is set out in separate guidelines.

Complaints, Comments and Compliments Monitoring

All customer feedback should be logged, including those that are resolved at first point of contact.

We will collaborate and share learning from customer feedback across the organisation. This will help us to improve our services for our customers. This insight should be used within the business planning process. We are committed to reducing the number of upheld Ombudsman complaints through the thorough investigation of complaints at stages one and two.

All services are required to submit a quarterly return which outlines their performance in relation to Customer Feedback handling. This will be used to report on the Corporate Key Performance Indicators and to compile the Annual Customer Feedback report. This report is presented to the Governance and Audit Committee which is webcast on Kent.gov.uk, the report will then be made available on the website.

Governance and Audit Committee will receive an annual report on customer feedback activity. The report will contain high level information relating to:

- the number of complaints, comments and compliments received by each Directorate.
- how complaints are received; phone, letter, e-mail
- % answered within standards, % of those upheld
- performance relating to Local Government Ombudsman complaints
- examples of complaints received and investigated by the Ombudsman
- identified improvements to service delivery introduced in response to complaints
- recommended action to minimise or avoid similar complaints in future
- recommended procedural improvements for handling and resolving complaints
- identified training and information needs
- compensation paid

Services will be responsible for, and accountable for, reporting to Governance and Audit the nature of their complaints received at stages one and two, when requested.

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**KENT COUNTY COUNCIL
EQUALITY ANALYSIS / IMPACT ASSESSMENT (EqIA)**

**This document is available in other formats, Please contact
Pascale.blackburn-clarke@Kent.gov.uk or
telephone on 03000 417025**

You need to start your Equality Analysis and data collection when you start to create or change any policy, procedure project or service

When developing high-level strategies under which other policies will sit, if those policies are jointly owned by KCC and partner organisations, they will need to take the partnership approach to EqIAs,

Directorate: Strategic and Corporate Services

Name of policy, procedure, project or service – Customer Feedback Policy

What is being assessed? Policy

Responsible Owner/ Senior Officer

- Amanda Beer

Date of Initial Screening – 23rd May 2016

Date of Full EqIA :

Update each revised version below and in the saved document name.

Version	Author	Date	Comment
			This is an update on the previous Customer Feedback Policy
V.0.1	Pascale Blackburn-Clarke (PBC)	23/05/16	Initial Screening
V0.2	Akua Agyepong	13/06/2016	Comments for review
V0.3	PBC	23/06/2016	Additional amendments
V.0.4	PBC	25/07/2016	Additional amendments following feedback from Akua Agyepong

July 2015

Screening Grid

Characteristic	Could this policy, procedure, project or service, or any proposed changes to it, affect this group less favourably than others in Kent? YES/NO If yes how?	Assessment of potential impact HIGH/MEDIUM LOW/NONE UNKNOWN		Provide details: a) Is internal action required? If yes what? b) Is further assessment required? If yes, why?	Could this policy, procedure, project or service promote equal opportunities for this group? YES/NO - Explain how good practice can promote equal opportunities
		Positive	Negative	Internal action must be included in Action Plan	If yes you must provide detail
Age Page 129	No		None	<p>A range of communication channels are available which should ensure access across a broad range of ages. This includes;</p> <ul style="list-style-type: none"> • Phone • Online • Post • Face to face • Email • Comment cards • Text Messaging (Children Social Care) • Fax • Through an advocate such as a relative, friend, carer, MP, Member or charitable organisation <p>The policy has also been amended to reflect that we will also accept feedback left on our social media pages such as KCC's Facebook pages and Twitter feeds.</p>	<p>The Customer Feedback process is available to all customers and their representatives. It is designed to be open and impartial and the process does not discriminate in terms of age.</p> <p>We recognise that some customers may find it harder to make a complaint for example young people who may wish to text Children Social Services or use an advocacy. KCC offers a variety of ways to give feedback to ensure that customers can approach us in the way in which they are able or want to.</p>

<p>Disability</p>	<p>No</p>		<p>None</p>	<p>A range of communication channels are available which should ensure access across a broad range of ages. This includes;</p> <ul style="list-style-type: none"> • Phone • Online • Post • Face to face • Email • Comment cards • Text Messaging (Children Social Care) • Fax • Through an advocate such as a relative, friend, carer, MP, Member or charitable organisation <p>The policy has also been amended to reflect that we will also accept feedback left on our social media pages such as KCC's Facebook pages and Twitter feeds.</p>	<p>The policy will be universally applied and is not expected to have any impact on those customers with disabilities. The Policy takes into account those statutory obligations the Council has for Adult and Children Social Services and Special Educational Needs. The acceptance of feedback through a variety of methods also means that customers can give us feedback through the communication medium they are most comfortable with. For example customers can call KCC using Textrelay which enables customer who are deaf or hard of hearing to talk to officers in the Council.</p> <p>The online form is accessible to those who use screen readers and other access technology. The online form meets section 508/WAA standards. The procurement of a new system has included accessibility standards to ensure both staff and customers with disabilities can access the form.</p> <p>Customers can request alternative formats (for example Braille).</p> <p>We recognise that some customers may find it harder to make a complaint for example those customers who have learning difficulties. KCC offers a variety of ways to give feedback to ensure that customers can approach us in the way in which they are</p>
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Gender	No		None		The Customer Feedback process is available to all customers and their representatives. It is designed to be open and impartial and the process does not discriminate in terms of gender.
Gender identity	No		None	Risk that customers may target staff on Social Media. Guidance on what to do if comments of this nature are made against a staff member will be added to internal guidance	The Customer Feedback process is available to all customers and their representatives. It is designed to be open and impartial and the process does not discriminate in terms of gender identity. Customers are able to give feedback anonymously; the Council will consider and investigate all complaints it receives regardless of whether the complainant makes themselves known.

<p>Race</p> <p style="text-align: center;">Page 132</p>	<p>No</p>		<p>None</p>	<p>Contract for language line is in place within the Contact Centre enabling customers whose first language is not English to be able to speak to an agent via an interpreter.</p>	<p>The Customer Feedback process is available to all service users and their representatives. It is designed to be open and impartial and the process does not discriminate in terms of a person's race.</p> <p>We have our own language translation and interpreting service called Connect 2 Staff.</p> <p>The contact centre has use of translation services for those customers whose first language is not English. Other communication methods are used by local teams but this may need to be addressed corporately.</p>
<p>Religion or belief</p>	<p>No</p>		<p>None</p>		<p>The Customer Feedback process is available to all customers and their representatives. It is designed to be open and impartial and the process does not discriminate in terms of religion or belief.</p>

Sexual orientation	No		None	Risk that customers may target staff on Social Media. Guidance on what to do if comments of this nature are made against a staff member will be added to internal guidance	The Customer Feedback process is available to all customers and their representatives. It is designed to be open and impartial and the process does not discriminate in terms of sexual orientation. Customers are also able to give feedback anonymously; the Council will consider and investigate all complaints it receives regardless of whether the complainant makes themselves known.
Pregnancy and maternity Page 133	No		None		As this is an employment related characteristic any complaints relating to employment within the Council will be referred to KCC's internal grievance processes.
Marriage and Civil Partnerships	No		None		As this is an employment related characteristic any complaints relating to employment within the Council will be referred to KCC's internal grievance processes.
Carer's responsibilities	No		None		The policy allows carers to raise feedback on behalf of someone who they provide care for and for themselves as a carer.

Part 1: INITIAL SCREENING

Proportionality - Based on the answers in the above screening grid what RISK weighting would you ascribe to this function – see Risk Matrix

Low	Medium	High
Low relevance or Insufficient information/evidence to make a judgment.	Medium relevance or Insufficient information/evidence to make a Judgment.	High relevance to equality, /likely to have adverse impact on protected groups

State rating & reasons

Low – This policy is an update of an existing policy to include new methods of communication and to establish a clear route for School Governors to make complaints. It is judged that there will be minimal adverse impact to customers following the implementation of the updated Policy as customers will experience no change in the timelines or response rate to their complaint.

The policy does not seek to reduce the ways in which customers can offer feedback, it will put in place mechanisms to ensure that these are actually increased and will increase access, for example formalising that complaints can be received via Social Media platforms.

Context – What we do now and what we are planning to do

The Customer Feedback Policy is an updated version of the Council’s Complaints, Comments and Compliment Policy. This new version intends to take into account feedback that is left by customers on our social media pages such as KCC’s Twitter feeds and Facebook pages. The addition of social media to the policy is to highlight to staff that customers who directly contact or leave feedback via this medium should be responded to in line with KCC’s procedures. The policy will also implement learning from a complaint received in relation to School Governors and their rights in raising complaints about the Council to the Council.

Currently the policy sets out the expected timeframes in which customers should receive a response; this will not change in the updated version of the policy. These timescales are similar to other authorities.

Aims and Objectives

The council is committed to enabling our customers to give us feedback about where we have got things wrong and also where we have got them right. By making it easier for our customers to offer feedback we are able to learn from that feedback to improve our services for the better.

July 2015

The purpose of this policy is to:

- clarify how the public may make a complaint about us
- define the standards the public can expect when they make a complaint
- recognise the importance of customer feedback in providing feedback about council services and performance
- set out how the Council will monitor customer feedback and use that information to improve services and identify training needs

The updated policy also seeks to provide a clear process for those School Governors who have a complaint against the Council but previously had no clear escalation process.

Beneficiaries

Customers should be clearer about their rights and how the Council will consider their feedback as the policy will be made available to customers.

The policy is clear about how complaints will be considered and how customers should be updated during the course of KCC's investigations.

Staff will also have a clearer understanding of KCC's definitions of customer feedback received and the expectations on them as staff in responding to customer feedback.

Information and Data used to carry out your assessment

The following table gives an overview of the feedback received by KCC as a whole compared with the previous year.

Year	Complaints	Comments	Compliments	Local Government Ombudsman complaints
2014/2015	2,944	1,561	2,358	205
2015/2016	3,070	1,490	2,079	185

The breakdown below indicates by percentage which channel customers have chosen to communicate feedback (Compliments, comments & complaints) during 2015/16.

	Phone	Letter	Email	Comment/ Face to Face	Online	Other

July 2015

Complaint	35%	15%	38%	3%	9%	Negligible
Compliment	12%	18%	50%	2%	5%	3%
Comment	10%	20%	54%	13%	2%	2%

The above table shows that email is currently the preferred method of communication for our customers wishing to give us feedback across the board, however when making a complaint customers also show preference for telephone. This may be due the immediacy of being able to speak to someone directly and receive reassurance it will be looked into.

Although individual equalities data is not collected from customer, staff are expected to report on complaints in which customers have raised an equalities issue. In 2015/16 of the 3,070 complaints received 18 complaints specifically raised an equalities issue.

The following table gives an overview of the type of complaints received

Protected Characteristic	Complaint
Age/Disability	Relating to vulnerable children travelling to school
Age	Falls as a result of broken pavements
Gender	Inappropriate behaviour
Disability	Dropped curbs
Age/Disability	Night lighting policy
Disability	Clearing of vegetation from a tree owned by Council
Disability	Removal of bollards that are needed by a disabled resident
Disability/Age	Lack of phone number for the Floating Support service
Race	Racial discrimination
Race	Allegation that staff refused to interact with a customer due to their ethnic background.
Disability	Right of access for disabled customer

In light of the gaps highlighted in an early version of this EQiA, we have amended the reporting to ask services what was the outcome of those complaints which have raised an equalities issue, to help us understand how the feedback received has informed service changes.

We are currently working on implementing a county wide feedback system which will make it easier to identify these types of complaints and ensure that any lessons learned are applied to all services where possible.

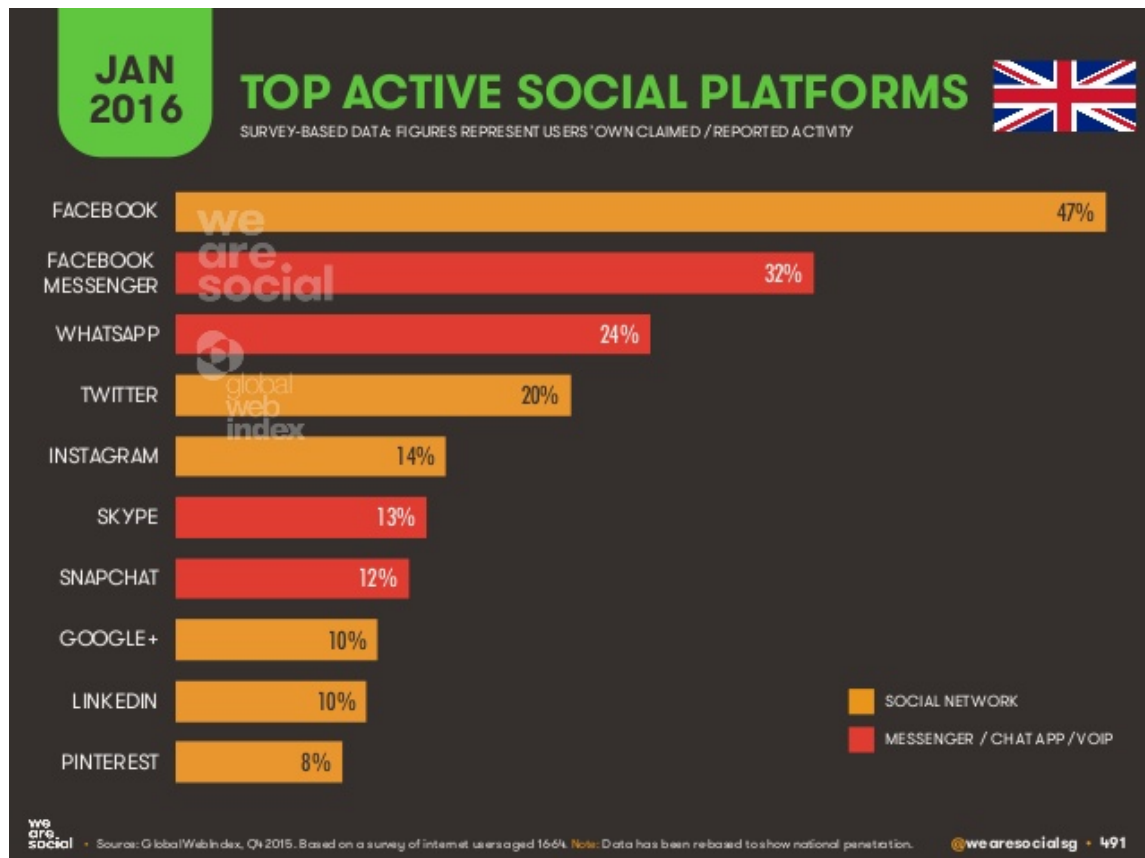
Every effort is made to ensure that a variety of feedback methods are available to our customers ensuring that they have choice and are able to use a communication method which suits their needs. This includes giving feedback directly through our staff, via our Members, by post, by phone, by text relay, by text, comment cards and via the internet either through an online form or by Social Media.

Customers are not expected to formalise their complaints in writing.

July 2015

To date we have not formalised that feedback given via social media, customers are already choosing to communicate with us using this channel through our corporate and service pages and feeds.

The following¹ demonstrates the type of social media platforms that are most used by residents in the UK. KCC has corporate pages on Facebook and Twitter. Other services use social media that is appropriate for their customer's demographics.



Mosaic data shows that 59.5% of the KCC population are likely to access Facebook every or most days compared to 61% of England's population, whilst 55.3% of KCC's population are likely to access Twitter every or most days compared to 59.8% of England's population.

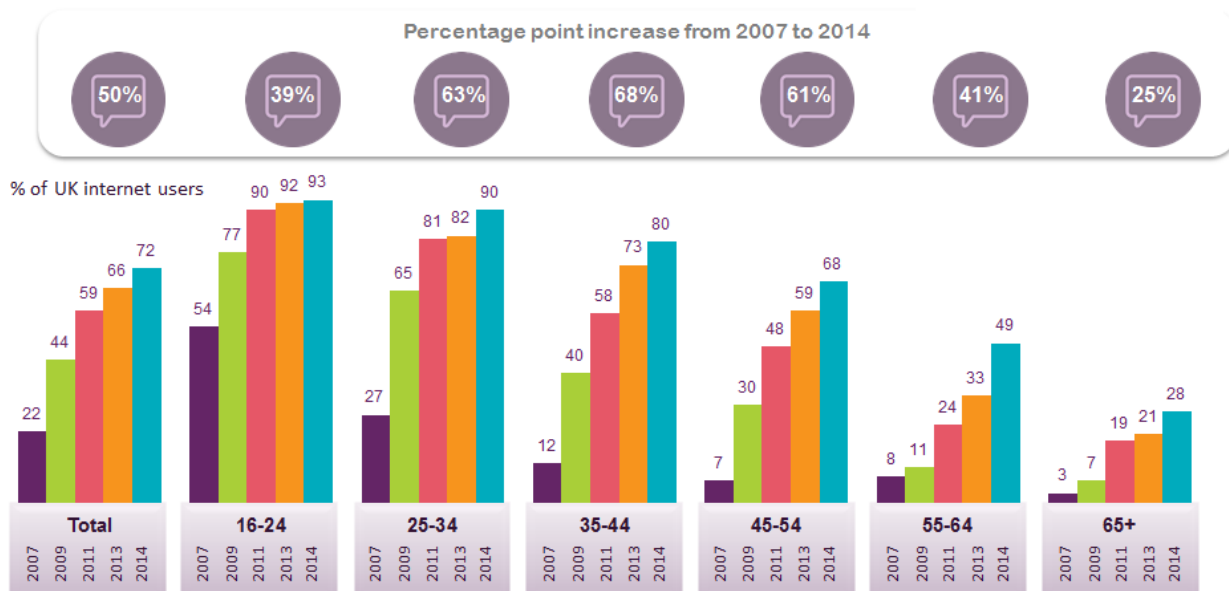
The below breaks down social media users who have an online profile, by age for the United Kingdom. Social Media is used by 59% of the UK population and is a significant channel used by those in the 16-44 year old brackets.

There has been uptake of internet users who have a social media profile between 2007–2014².

Those who were 65+ and had a social media profile increased to 28% of their demographic who had access to the internet.

¹ Source Globalwebindex, Q4 2015 <http://www.smartinsights.com/social-media-marketing/social-media-strategy/new-global-social-media-research/>

² http://stakeholders.ofcom.org.uk/binaries/research/media-literacy/media-lit-10years/2015_Adults_media_use_and_attitudes_report.pdf



The Legal department worked alongside a School Governor following their complaint to KCC. The complaint revealed that there was a gap in process for those who needed to escalate their complaint but were unable to. Their views were captured when formulating a process on how complaints from School Governors could be considered and escalated.

The following guidance was used to inform the updated policy;

- Local Government Ombudsman Guidance – Guidance on running a complaints system and Guidance on Managing Unreasonable complaint behaviour
- Information Commissioner Guidance – Dealing with Vexatious Complaints
- Department of Education - Schools Complaints Toolkit 2016

Who have you involved and engaged with

Customer Feedback Forum (Internal KCC) which includes complaints officers from across the different services were asked for their input and feedback on the revised policy and internal guidance.

Governance and Audit Committee will also be given an opportunity to feedback on the updated policy before it goes to Policy and Resources Committee for final scrutiny.

Due to the minimal changes to the policy the decision was made not to consult with customers formally.

July 2015

Potential Impact

The policy and its implementation should not have an adverse impact on KCC customers or residents. However it is recognised that there are some customers who may find it harder to make a complaint for example those customers who have learning difficulties or younger people who may wish to appoint an advocate to speak on their behalf.

To mitigate any risks that customers may not be confident or able to approach us directly we have enabled others to raise feedback on their behalf. Customers are also able to give feedback anonymously; the Council will consider and investigate all complaints it receives regardless of whether the complainant makes themselves known.

In addition we do not ask customers to put their complaints in writing, we will accept complaints verbally either face to face or by phone.

KCC will continue to offer a variety of ways to give feedback to ensure that customers can approach us in the way in which they are able or want to. This includes giving feedback directly through our staff, via our Members, by post, by phone, by text relay, by text, comment cards and via the internet either through an online form or by Social Media.

Adverse Impact and how can these adverse impacts be mitigated, (capture this in the action plan)

As above, there are risks that some customers with protected characteristics who may be reluctant to give feedback to the council. The council has tried to mitigate this by offering multiple channels for customers to give their feedback through, as well as enabling them to give feedback anonymously and through an advocate.

Positive Impact

This new version intends to take into account new methods of communications for example accepting feedback left via our Social Media pages/feeds and to implement learning from a complaint received in relation to School Governors and their rights in raising complaints about the Council to the Council. This will formalise avenues for customers who leave us feedback via Social Media.

The positive impact is increasing the avenues available for our customers by formalising these routes through our policy.

Set out below the implications you have found from your assessment for the relevant diversity groups. If any negative impacts can be justified please clearly explain why.

Option 1 – Screening Sufficient YES/NO

Following this initial screening our judgement is that no further action is required.

Justification:

Option 2 – Internal Action Required YES/

There is potential for adverse impact on particular groups and we have found scope to improve the proposal

(Complete the Action Plan at the end of this document)

This is an amendment to an existing policy. This Policy will be published and made available to our customers and staff. The policy intends to enable all customers regardless of protected characteristics to have the ability and the right to raise complaints/compliments/comments by any method they need or want to.

However it is recognised there is further work that could be undertaken, for example greater analysis of those complaints received which raise an equalities issue and whether there is scope for learning from them across all services.

Option 3 – Full Impact Assessment YES/NO

Monitoring and Review

Sign Off

I have noted the content of the equality impact assessment and agree the actions to mitigate the adverse impact(s) that have been identified.

Senior Officer

Signed:

Name:

Job Title:

Date:

July 2015
DMT Member

Signed:

Name

July 2015

Job Title:

Date:

Please forward a final signed electronic copy to the Equality Team by emailing

diversityinfo@kent.gov.uk

The original signed hard copy and electronic copy should be kept with your team for audit purposes.

Equality Impact Assessment Action Plan

Protected Characteristic	Issues identified	Action to be taken	Expected outcomes	Owner	Timescale	Cost implications
Gender Identity, Sexual orientation	Risk that staff members will be targeted on social media	Guidance for staff will cover what to do in this eventuality.	Clear guidelines on what to do if a member of staff is targeted online	Pascale Blackburn-Clarke	Alongside launch of Policy	None
All	No corporate overview in real time of complaints that raise equalities issues	Include capture of complaints raising equalities issues in new system	Equalities issues raised in complaints are flagged early and lessons learned will be applied across the organisation if appropriate	Pascale Blackburn-Clarke	April 2017 (launch of new system)	None included as part of the specification for the system
All	Gap in knowledge across the Council as to what has been done as a result of a customer raising an equalities issue.	Include new reporting line to capture what is done as a result of customer raising equalities issue	Overview of what has been done as a result of feedback received relating to equalities issues	Pascale Blackburn-Clarke	For Quarter One reporting 2016 (July)	None
Disability/Race	Potential language barrier for customers	Ensure all content for customers is written in plain English and is accessible if online.	Clarity for customers in how to complain to the council	Pascale Blackburn-Clarke Service owners	Ongoing September 2016	None

Disability	Customers with Learning difficulties may find our process complicated to understand. Although an easy read version of the Social Care procedure is available, there is not one available for customers who may wish to complain about other KCC services	Explore production of easy read version of the Complaints KCC procedure	Clarity for customers in how to complain to the council about non-social care issues	Pascale Blackburn-Clarke	April 2017	Printing materials
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By: Eric Hotson, Cabinet Member for Corporate and Democratic Services
Ben Watts, General Counsel (Senior Information Risk Owner)

To: Policy and Resources Cabinet Committee – 15th September 2017

Subject: **SENIOR INFORMATION RISK OWNER UPDATE**

Classification: Unrestricted

Summary: This report provides an update regarding the implementation of forthcoming Data Protection legislation and an update on information governance training generally.

Introduction

1. The Senior Information Risk Owner (SIRO) is the officer responsible across the whole Council for Information Governance. The SIRO is responsible for the strategy, acts as an advocate for good practice in Information Governance at CMT and is required to provide a statement of assurance as part of the Council's Annual Governance Statement. Ben Watts is Kent County Council's SIRO.
2. Information governance means the effective management of information in all its forms and locations. It encompasses efficient ways of handling information, robust management of the risks involved in the handling of information, and compliance with regulatory and statutory guidance including Data Protection and Freedom of Information. Information governance is about electronic and paper based information, about how it is held, used and shared.
3. Information governance is also concerned with keeping information safe and secure and ensuring it is appropriately shared when necessary to do so. This is a significant challenge for all organisations but particularly so for large complex public sector organisations such as KCC dealing with a wide range of functions.
4. The importance of good information governance has been highlighted by the Information Commissioner and the Permanent Secretary for the Department for Communities and Local Government. Members of this Committee will have read the stories of significant fines faced by other public sector bodies for failures to manage information properly.
5. Issues and updates relating to information governance are reported to Policy and Resources Cabinet Committee and Governance and Audit Committee.

The General Data Protection Regulation (GDPR)

6. The Data Protection Act 1998 is the current UK legislation on data protection, setting out various requirements of organisations and individuals, the rights of data subjects and forms of enforcement. It applies to organisations across the country including Kent County Council and our Members.
7. The Data Protection Act 1998 requires every organisation that processes personal information to register with the Information Commissioner's Office (ICO), unless they are exempt. Failure to do so is a criminal offence. Accordingly, Kent County Council and individual Members are registered with the ICO.
8. The General Data Protection Regulation (GDPR) is intended to strengthen and unify data protection for individuals and will become applicable to Kent County Council and Members from next year. The regulation is enforceable by the ICO from 25 May 2018 and heightens the standards required as well as imposing new obligations.
9. Among the regulations, there are changes to the potential legal justifications for processing data, significant changes to the requirements for consent, heightened requirements for privacy notices and increased rights for data subjects.
10. GDPR will require various modifications to how the council processes data across the organisation and with our partners, providers and members of the public and work is already underway across directorates to facilitate this. In recent months, the ICO has been providing helpful guidance and clarity in relation to GDPR that we have been reflecting in our planning.
11. The regulations allow for the ICO to impose administrative fines up to a maximum of 20 million Euros (approx. £18m) for infringements. It is worth noting that the ICO intend to increase their staff by 40% in the next two years, particularly in Enforcement.
12. Members may have seen the recent media coverage of the Data Protection Bill proposed by Matt Hancock, the Digital Minister. This confirms that the UK government intends to mirror the GDPR into our law post-Brexit. As part of that media coverage, Members may also have seen the coverage of the "right to be forgotten" and powers to prevent cold calling and direct marketing.
13. To prepare for the legislation, officers across the council have been looking at the readiness of directorates for the necessary changes. A number of key officers across the council, including those on the Information Governance Cross Directorate Group received training last year on the implementation and impact of GDPR. Further training is planned for all staff as part of amendments to the existing information governance and data protection training. In January 2017, KCC officers arranged and facilitated a seminar with attendance from the Information Commissioner's Office on the GDPR.

14. Staff from the Information Resilience and Transparency Team have worked in conjunction with the Internal Communications team to raise awareness in relation to GDPR through updates to KNet and the development of a communications strategy. This has included the presentation of key issues on TV screens in KCC buildings to build knowledge and awareness.
15. Members received initial training on information governance and data protection as part of their induction sessions after the election in May. Given the impact of the new regulations on Members individually, training on the GDPR will be provided in the period up to May 2018. The next stage of this training will be a full overview of GDPR and the repercussions of this new legislation on Members and for the County Council on 2nd November 2017.
16. Implementation of GDPR now moves into the intensive phase and the corporate risk register has been adjusted accordingly. The SIRO is supported by a range of talented officers across the organisation and the project is being led by one of our graduates in consultation with the Team Leader for Information Resilience and Transparency. Corporate Management Team and Directorate Management Teams will be receiving regular strategic updates from the SIRO and Project Manager.
17. An officer working group has been established with representation from across the organisation. This will be meeting fortnightly to work through the project plan to follow and implement the ICO guidance notes and to achieve readiness.
18. It is suggested that further updates can be provided to this Cabinet Committee as we progress through the critical phase in the run up to May 2018.

Update on Information Governance Training

19. Members of the Governance and Audit Committee had asked that Members of this committee be provided with an update relating to the training of staff across the council on the mandatory training on Information Governance and Data Protection. Members had asked the General Counsel upon appointment in 2016 to take action in relation to further improve the completion of the training by officers.
20. Discussions were held at Corporate Management Team and the cross-directorate group expressing the need to complete training and the consequences of non-compliance. Reports from Learning and Development had already been put in place and these are now used by managers to monitor compliance.
21. Corporate Directors have impressed on managers the importance of the completion of this training with significantly improved completion rates and placed responsibility on them for completion of their line reports.

22. The completion rates for the Information Governance training now stands at 91.46% (versus 75.14% in July 2016) and Data Protection at 92.00% (versus 77.46% in July 2016). These figures include all staff including those who have recently started, those who have handed in their notice, those on maternity leave or sick leave.
23. The General Counsel and the Strategic Commissioner are also reviewing the contractual arrangements for providers and external staff to reflect the GDPR.

Recommendations

24. It is recommended that Members note the report.

From: Mr E Hotson, Cabinet Member for Corporate and Democratic Services

John Lynch, Head of Democratic Services

To: Policy and Resources Cabinet Committee –15 September 2017

Subject: **Work Programme 2017/18**

Classification: **Unrestricted**

Past Pathway of Paper: None

Future Pathway of Paper: Standard item

Summary: This report gives details of the proposed work programme for the Policy and Resources Cabinet Committee

Recommendation: The Policy and Resources Cabinet Committee is asked to consider and agree a work programme for 2017/18.

1. Introduction

- 1.1 The proposed Work Programme has been compiled from items on the Forthcoming Executive Decision List; from actions arising from previous meetings, and from topics identified at agenda setting meetings, held 6 weeks before each Cabinet Committee meeting in accordance with the Constitution and attended by the Chairman, Vice-Chairman and group spokesmen.
- 1.2 Whilst the Chairman, in consultation with the Cabinet Members, is responsible for the final selection of items for the agenda, this item gives all Members of the Cabinet Committee the opportunity to suggest amendments and additional agenda items where appropriate.

2. Terms of Reference

- 2.1 At its meeting held on 27 March 2014, the County Council agreed the following terms of reference for the Policy and Resources Cabinet Committee “To be responsible for those functions that fall within the Strategic and Corporate Services Directorate”.
- 2.2 Further terms of reference can be found in the Constitution at Appendix 2 Part 4 paragraph 21 and these should also inform the suggestions made by Members for appropriate matters for consideration.

3. Work Programme 2017/18

- 3.1 The Cabinet Committee is requested to consider and note the items within the proposed Work Programme, set out in appendix A to this report, and to suggest any additional topics to be considered for inclusion on the agenda of future meetings.

- 3.2 The schedule of commissioning activity that falls within the remit of this Cabinet Committee will be included in the Work Programme and is considered at agenda setting meetings to support more effective forward agenda planning and allow Members to have oversight of significant services delivery decisions in advance.
- 3.3 When selecting future items the Cabinet Committee should give consideration to the contents of performance monitoring reports. Any 'for information' or briefing items will be sent to Members of the Cabinet Committee separately to the agenda or separate member briefings will be arranged where appropriate.

4. Conclusion

- 4.1 It is important for the Cabinet Committee process that the Committee takes ownership of its work programme to help the Cabinet Members to deliver informed and considered decisions. A regular report will be submitted to each meeting of the Cabinet Committee to give updates on requested topics and to seek suggestions for future items to be considered. This does not preclude Members making requests to the Chairman or the Democratic Services Officer between meetings for consideration.

5. Recommendation: The Policy and Resources Cabinet Committee is asked to consider and agree its work programme for 2017/18.

6. Background Documents

None.

7. Contact details

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WORK PROGRAMME – 2017/18
Policy and Resources Cabinet Committee

Agenda Items
5 December 2017
<p><u>Standard Items</u></p> <ul style="list-style-type: none"> • <i>Performance Dashboards - Vincent Godfrey & Richard Fitzgerald</i> • <i>Financial Monitoring – Andy Wood</i> • <i>Work Programme</i> • <i>Contract Management update (V Godfrey/E Mitchell - added at agenda setting meeting on 8 Aug 17)</i> • Business Service Centre (bi-annual performance report July and December 2017) • Annual Equalities Report and new equalities objectives • 2017-2022 Asset Management Strategy • Commercial Services Update • Invicta Law Update • Gen2 Update (to include Total Facilities Management Update (bi-annual report)) • Detailed report on the usage of the website (minute 8(e) 16 June 2017) • Business Planning Arrangements for 2018/19 (D Whittle- added at agenda setting meeting on 8 Aug 17 –annual item) • Procurement of a new Microsoft contract (M Lloyd – added at agenda setting meeting on 8 Aug 17) • Update of Policy Framework (D Whittle - added at agenda setting meeting on 8 Aug 17)
2 February 2018
<p><u>Standard Items</u></p> <ul style="list-style-type: none"> • <i>Performance Dashboards - Vincent Godfrey & Richard Fitzgerald</i> • <i>Financial Monitoring – Andy Wood</i> • <i>Work Programme</i> • <i>Contract Management update (V Godfrey/E Mitchell - added at agenda setting meeting on 8 Aug 17)</i>
16 March 2018
<p><u>Standard Items</u></p> <ul style="list-style-type: none"> • <i>Performance Dashboards - Vincent Godfrey & Richard Fitzgerald</i> • <i>Financial Monitoring – Andy Wood</i> • <i>Work Programme</i> • <i>Contract Management update (V Godfrey/E Mitchell - added at agenda setting meeting on 8 Aug 17)</i>
Other items
<ul style="list-style-type: none"> • Gravesham Gateway - to be dealt with as part of a wider asset review of our properties, by either P&R or Property sub-committee - TBC with Rebecca Spore • ICT Strategy & Business Planning – Michael Lloyd

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