POLICY AND RESOURCES CABINET COMMITTEE

Friday, 16th March, 2018

10.00 am

Darent Room, Sessions House, County Hall, Maidstone

AGENDA

POLICY AND RESOURCES CABINET COMMITTEE

Friday, 16 March 2018, at 10.00 am
Darent Room, Sessions House, County Hall, Maidstone

Ask for: **Ann Hunter**
Telephone: **03000 416287**

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

Please note: this meeting may be filmed for the live or subsequent broadcast via the Council's internet site or by any member of the public or press present. The Chairman will confirm if all or part of the meeting is to be filmed by the Council.

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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 2 February 2018 (Pages 7 - 14)

To consider and approve the minutes as a correct record.

5 Update on Interim Hackitt Review (Pages 15 - 22)

To receive a report setting out the key findings of the Hackitt Review interim report published in December 2017 and setting out how these findings affect the way the Council manages its buildings

6 18/00142 Policy and Practice for the Management of Hot and Cold Water Systems (Pages 23 - 58)

To consider and comment on a proposed decision by the Cabinet Member for Corporate and Democratic Services

7 Senior Information Risk Owner Update (Pages 59 - 62)

To receive an update regarding the implementation of forthcoming Data Protection legislation

8 Strategic and Corporate Services Directorate Business Plan 2018-19 (Draft) (Pages 63 - 106)

To consider and comment on the draft Strategic and Corporate Services Directorate Business Plan (2018-19) and note that the final Directorate Business Plan will be published online in April 2018

9 Risk Management: Strategic and Corporate Services (Pages 107 - 132)

To receive a report that presents the strategic risks relating to the Strategic and Corporate Services directorate, in addition to the risks featuring on the Corporate Risk Register for which the Corporate Directors are the designated 'Risk Owners'. The paper also explains the management process for review of key risks

10 Work Programme 2018/19 (Pages 133 - 136)

To consider and agree a work programme for 2018/19

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.

11 18/00008 Review of KCC Company Ownership and Governance (Pages 137 - 140)

To receive an update on the governance, management and development of the proposed holding company for KCC's wholly-owned trading vehicles

12 Contract Management Review- Agilisys (Pages 141 - 148)

To note the contents of the report and the recommendations made by the Contract Management Review Group

Benjamin Watts
General Counsel
03000 416814

Thursday, 8 March 2018

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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, 2 February 2018

PRESENT: Mr B J Sweetland (Chairman), Mr R A Marsh (Vice-Chairman), Mr P V Barrington-King, Mr R H Bird, Mr T Bond, Mr N J D Chard, Mrs M E Crabtree, Mrs T Dean, MBE, Mr D Farrell (Substitute for Ms K Constantine), Mr P W A Lake, Mr J P McInroy, Miss C Rankin, Mr H Rayner and Mr I Thomas

ALSO PRESENT: Miss S J Carey, Mr E E C Hotson, Mr R L H Long, TD and Mr P J Oakford

IN ATTENDANCE: Mr D Cockburn (Corporate Director Strategic & Corporate Services) and Mrs A Hunter (Principal Democratic Services Officer)

UNRESTRICTED ITEMS

44. Apologies and Substitutes
(Item 2)

(1) Apologies for absence were received from Mrs Cole and Mrs Constantine. Mr Farrell attended as substitute for Mrs Constantine.

(2) Apologies for absence were also received from Mr Carter (Leader and Cabinet Member for Traded Services and Health Reform) and Mr Simmonds (Cabinet Member for Finance). Mrs Crabtree (Deputy Cabinet Member for Finance) attended in place of Mr Simmonds.

45. Declarations of Interest by Members in items on the Agenda
(Item 3)

During discussion of item 7 on the agenda (Financial Monitoring 2017-18), Mr Rayner made a declaration of interest as he had shares in Kier. He remained in the meeting and took part in the discussion.

46. Minutes of the meeting held on 5 December 2017
(Item 4)

Resolved that the minutes of the meeting held on 5 December 2017 are correctly recorded and that they be signed by the Chairman.

47. Minutes of the meeting of the Property Sub-Committee held on 18 January 2018
(Item 5)

To note the minutes of the Property Sub-Committee held on 18 January 2018.

48. Strategic and Corporate Services Performance Dashboard
(Item 6)

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

(1) Mr Fitzgerald introduced the report which set out progress made against targets set for Key Performance Indicators to the end of December 2017. He said that overall performance was good and there had been improvements in performance for some indicators which had previously been rated red or amber. He drew attention to the narrative relating to P101 (Percentage of Rent Due to KCC outstanding over 60 days) and said it should say that the lease was now with the new provider and would be resolved imminently.

(2) In response to questions, Mr Fitzgerald said he would investigate the possibility of providing some national comparator or benchmarking data for back office services.

(3) Mrs Beer said that training for the GDPR regulations being introduced in May 2018 would be mandatory and a timescale would be set for staff to complete it. She said information about staff who had completed training was sent to heads of service every month, but it was unrealistic to expect a 100% completion rate as there were always new staff, and staff on maternity or long-term absence who would not be able to complete it.

(4) Mrs Beer also said that e-learning was cost-effective, feedback from staff and managers was positive and care was taken to introduce it in areas where managers considered it to be appropriate.

(5) Resolved that the report be noted.

49. Financial Monitoring 2017-18
(Item 7)

Dave Shipton (Head of Finance policy, Planning and Strategy) and Andy Wood (Corporate Director, Finance) were in attendance for this item

(1) Mrs Crabtree (Deputy Cabinet Member for Finance) introduced the report which set out the budget monitoring position which was presented to Cabinet on 15 January 2018. Mrs Crabtree said the position was discussed regularly at Cabinet and that the Leader was lobbying government for full reimbursement of the £4m shortfall on asylum services.

(2) Mr Wood said that the projected overspend of £8m was not reducing as quickly as he would like. However, it was considered that a moratorium on all expenditure was not appropriate at this time. He also said that the experience of the last 21 years indicated that savings were usually realised between November and March. In response to a question, he confirmed that the budget for 2018-19 assumed the full recovery of costs associated with providing the asylum service.

(3) In response to comments about the relevance of scrutinising the budget figures for October 2017 in February 2018, officers said that alternatives which would reduce the time-lag were being considered and officers would write to Committee Chairmen with some proposals shortly.

(4) Mr Shipton said there had been no change in the position of the Strategic and Corporate Services Directorate budget since it was last considered by the Cabinet Committee.

(5) Resolved that the revenue and capital forecast variances from the budget for 2017-18, that are in the remit of this Cabinet Committee, based on the October monitoring to Cabinet be noted.

50. Budget 2018-19 and Medium Term Financial Plan 2018-20
(Item 8)

Dave Shipton (Head of Finance Policy, Planning and Strategy) and Andy Wood (Corporate Director, Finance) were in attendance for this item

(1) Mrs Crabtree (Deputy Cabinet Member for Finance) introduced the report which asked the Cabinet Committee to comment on the draft budget proposals and make recommendations to the Cabinet. She corrected a typographical error in paragraph 5.2 of the report so it read £794.7m and not £794.7bn. Mrs Crabtree also said that the savings required to balance the budget amounted to £53m and that this was the seventh consecutive year of savings.

(2) Mr Shipton outlined the process for developing the budget including quantifying the increase required to enable the Council to provide existing services much of which was unavoidable as it related to inflationary increases in contracts or increased demand for services. Recommendations were then made about whether this increase should be met from savings or from increasing tax. He also said that the amount received in grants from government had reduced substantially.

(3) In response to a question it was confirmed that there was no requirement to consult with the public again as the proposal was not substantially different than at the time of the consultation. Comments were made that as district councils were the tax collectors, they were likely to receive a bigger response to public consultations about their budget proposals than the County Council.

(4) In response to a question about road maintenance, Mr Wood said that roads would be kept safe, however, like many other authorities, it was a case of 'managed decline'. It was also confirmed that Mr Whiting (Cabinet Member for Planning, Highways, Transport and Waste) was lobbying government for funding to repair major roads damaged by foreign lorries and agreed that roads maintenance be considered for inclusion on an agenda for the Environment and Transport Cabinet Committee.

(5) Resolved that the draft budget and MTFP, including responses to the consultation and government provisional settlement be noted.

51. Information Governance Update

(Item 9)

Ben Watts, (General Counsel (Senior Information Risk Owner)) was in attendance for this item

(1) Miss Carey (Cabinet Member for Customers, Communications and Performance) said she had responsibility for Freedom of Information Requests while Mr Hotson (Cabinet Member for Corporate and Democratic Services) had responsibility for requests received under the Data Protection Act.

(2) Mr Watts introduced the report which provided further detail about the performance monitoring data on requests made under the Freedom of Information Act and Data Protection Act. He drew attention to the increase in the number of disclosure requests since 2012 and paid tribute to the Information Governance team who had coped with increased demand without any increase in resources and who were working many more hours than they were contracted for.

(3) In response to comments and questions, Mr Watts said: the GDPR regulations would enable officers to give more nuanced explanations for any delays in responding to requests; requests for information for academic or commercial purposes could not be identified as requests were 'application blind'; and the legislation set a high threshold for considering requests as unreasonable or vexatious.

(4) Resolved that the report be noted.

52. Customer Services

(Item 10)

Amanda Beer (Corporate Director, Engagement, Organisation Design and Development), Christina Starte (Head of Communications) and Diane Trollope (Head of Engagement & Consultation) were in attendance for this item

(1) Miss Carey introduced the report which provided an overview of customer services at Kent County Council including information about customer contact channels and planned development in customer contact.

(2) Ms Starte and Ms Trollope gave a short presentation which is available online as an appendix to these minutes.

(3) In response to questions and comments, officers said: the key to successful consultation was early engagement; a software package known as HotJar was used to make the webpage layout and navigation of the Council's website user-friendly; routine and simple queries were answered on-line while the more complex queries were dealt with by the call centre; the out of hours call centre was operated from a shared service with other councils, providing added resilience; and the annual report produced by the Local Government Ombudsman was considered in conjunction with directorates and services were benchmarked against other authorities

(4) There was lengthy discussion about how much it might cost to amend the performance indicator that is currently set to 80% of calls answered in 40 seconds to 80% of calls answered in 20 seconds.

(5) Resolved that the report be noted.

53. Work Programme 2018/19
(Item 11)

Resolved that the work programme for 2018/19 be noted.

54. Considering information exempt from publication (agenda item 12 – Business Services Centre Trading Company)

The Chairman asked Members if, in discussing agenda item 12, they wished to refer to the information set out in the exempt appendix to the report, and hence if they wished to pass a motion to exclude the press and public from the meeting and discuss that item in closed session. Members confirmed that they did wish to refer to the exempt information and, accordingly, discussion of the item took place in closed session and is minuted below at minute 58.

55. Total Facilities Management - Bi-annual Review
(Item 13)

Rebecca Spore (Director of Infrastructure) and Karen Ripley (Facilities Management and Capital Lead) were in attendance for this item

(1) Mrs Spore introduced the report which said the Property Sub-Committee had reviewed the performance of the Total Facilities Management Contracts (Mid Kent with Amey, West Kent with Skanska, and East Kent with Kier) at its meeting on 18 January 2018.

(2) Mrs Spore said this approach was in line with the commissioning cycle principles set out in "Facing the Challenge: Towards a Strategic Commissioning Authority" which had been agreed by County Council on the 15 May 2014.

(3) Members then indicated that they wished to consider information set out in the exempt part of the report and so the meeting then proceeded to a closed session.

56. Exclusion of 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 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.

Exempt Items
(open access to minutes)

57. Total Facilities Management - Bi-annual Review

Rebecca Spore (Director of Infrastructure) and Karen Ripley (Facilities Management and Capital Lead) were in attendance for this item

(1) Mrs Spore provided further detail about the information set out in the exempt part of the report and answered Members' questions.

(2) Members welcomed the actions taken to improve performance.

(3) Resolved that the current performance of the Total Facilities Management contractors and assurance from the Property Sub Committee be noted.

58. Business Services Centre Trading Company

(Item 12)

Mr Carter (Leader of the Council), Rebecca Spore (Director of Infrastructure), Ben Watts (General Counsel) and Mark Scott (Head of the Business Services Centre) were in attendance for this item

(1) Mr Hotson (Cabinet Member for Corporate and Democratic Services) described the background and the journey to developing the current proposal to establish a business services centre to deliver back office services. He emphasised the importance of ensuring Members had oversight as proposals developed.

(2) Mrs Spore introduced the report which provided an update in relation to the new service delivery model for the Business Services Centre. The report asked the Cabinet Committee to consider and endorse or make a recommendation to Cabinet on the proposed decision to progress the establishment of an alternative delivery model for the Business Service Centre.

(3) Mrs Spore, Mr Scott and Mr Watts responded to questions from Members and provided further detail.

(4) Resolved that the Cabinet Committee endorsed the proposed Cabinet decision to:

a) Approve the business case for the proposed creation of a trading structure for the Business Services Centre;

b) Create a trading structure for the Business Services Centre, in line with the approved business case, and agree to enter into such contractual arrangements as are appropriate to facilitate that creation;

c) Delegate authority to the Monitoring Officer to agree the final details of the company structure and contractual arrangements in consultation with the Head of Paid Service, the Cabinet Member for Corporate and Democratic Services, the Cabinet Member for Traded Services & Health Reform, the Director of Infrastructure and the Corporate Director of Finance; and

d) Agree that a shadow governance structure be implemented.

59. Contract Management
(Item 14)

Vincent Godfrey (Strategic Commissioner) and Emma Mitchell (Director, Strategic Business Development and Intelligence) were in attendance for this item

(1) Mrs Mitchell introduced the report which provided details on the Contract Group Review Schedule planned until December 2018. She also said a sub-group of the Budget and Programme Delivery Board chaired by the Cabinet Member for Finance had started a programme of contract management reviews in the 2016-17 financial year and that this programme had resumed in September for the 2017-18 financial year.

(2) Resolved that the report be noted.

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From: Eric Hotson, Cabinet Member for Corporate and Democratic Services

Rebecca Spore, Director of Infrastructure

To: The Policy and Resources Cabinet Committee – 16 March 2018

Decision No: N/A

Subject: **Update on Interim Hackitt Review**

Classification: **Unrestricted**

Past Pathway of Paper:

Future Pathway of Paper:

Electoral Division: All

Summary: Following the Grenfell tragedy and the presentation of the updated Sprinkler Policy to the Policy and Resources Committee a request was made to keep them updated on the findings of the Hackitt review. The Hackitt Review Interim report was published in December 2017 and this paper sets out the key findings and how these findings affect the way in which Council manages its buildings.

Recommendations: **The Policy and Resources Cabinet Committee** is asked to:

(1) Note the findings of the Hackitt Review Interim Report and how this may affect the way in which the Council manages its own estate.

(2) Agree that on publication of the final Hackitt Review Report planned for Spring 2018 a further paper making recommendations is presented to the Policy and Resources Cabinet Committee

1. Executive Summary of the report

1.1 The independent Review of Building Regulations and Fire Safety has been commissioned by Dame Judith Hackitt with a view to making recommendations that will ensure we have a sufficiently robust regulatory system for the future and to provide further assurance to residents that the complete system is working to ensure the buildings they live in are safe and remain so. It is examining the building and fire safety regulatory system, with a focus on high-rise residential buildings.

1.2 The interim report was published in December 2017 and provided the findings to date and direction of travel for the review, ahead of a final report expected to be submitted in spring 2018.

1.3 The key findings of the report are:

- The current regulatory system for fire safety in high-rise and complex buildings is not fit for purpose. This applies throughout the life cycle of a building, during construction and occupation.
- There are cultural issues in the construction industry and the effectiveness of the regulators.
- Current regulations and guidance are too complex and unclear. This can lead to confusion and misinterpretation in their application to high-rise and complex buildings.
- Clarity of roles and responsibilities is poor, specifically who has responsibility for making key activities happen at different stages of the life cycle.
- The means of assessing and ensuring the competency of key people throughout the system is inadequate. There is often no differentiation in competency requirements for those working on high-rise and complex buildings.
- Compliance, enforcement and sanctions processes are too weak. What is being designed is not what is being built and there is a lack of robust change control.
- The route for residents to escalate concerns is unclear and inadequate.
- The system of product testing, marketing and quality assurance is not clear.

1.4 The report sets out six areas for change. The areas which may be of interest to KCC are summarised below:

1. Regulations and Guidance

- Current regulation and guidance is both complex and unclear.
- The rules for ensuring high-rise and other complex buildings should be more risk-based and proportionate.
- Those responsible (i.e. duty holder/responsible person) for high-risk and complex buildings should be held to account to a higher degree.
- There should be a shift towards greater responsibility for the sector to specify solutions which meet the government's functional standards.
- Regulations and guidance must be simplified and unambiguous.
- The Building Regulations (2010) are clear about the outcomes to be achieved but not about where responsibilities lie.
- There is widespread confusion about what constitutes the regulations and what is guidance.

2. Roles and Responsibilities

- Clarity of roles and responsibilities within the system is poor, with a general lack of clarity around, or statement of, roles and responsibilities throughout the system.
- Even where there are requirements for key activities to take place it is not always clear who has responsibility for making these happen.
- Primary responsibility for ensuring that buildings are fit for purpose must rest with those who commission, design and build the project. Responsibility and

accountability must rest with clearly identifiable senior individuals and not be wholly dispersed through the supply chain.

- Roles and responsibilities across the whole life cycle of a building must be clearer. The approach is driven by aiming for minimum compliance, not ensuring safety for the lifetime of the building.
- A particular issue is there is no requirement for identifiable, named duty holders responsible for ensuring and proving compliance with the Building Regulations.
- 'Responsible persons' under the Regulatory Reform (Fire Safety) Order 2005 are frequently not identified when the building is due to be handed over following construction and therefore people are not aware of their ongoing responsibilities.
- Where regulations or guidance call upon people to consult with others in the system as part of meeting the requirements of the legislation (e.g. multi-occupancy buildings), there is no clear understanding of the need to do that at an appropriate time or to take account of views expressed.

3. Competence

- There is a need to raise levels of competence and establish formal accreditation of those engaged in the fire prevention aspects of the design, construction, inspection and maintenance of high-rise residential and complex buildings.
- This could have organisational development, capacity and capability implications (and in turn financial implications) for local authorities, trading companies, contractors and regulators.

4. Process, Compliance and Enforcement

- Enforcement and sanction measures are poor and do not provide adequate means of compliance assurance, deterrence or redress for non-compliance.
- There is deviation from what is originally designed to what is actually built, without clear and consistent requirements to seek authorisation or review, or to document changes made.
- The current trend for 'design and build' contracts (where a main contractor is appointed to design and build the project rather than the client appointing separate designers and contractors) is identified as particularly problematic in facilitating evolutionary design, which fails to be properly documented or reviewed.
- There is no requirement in the Building Regulations for existing buildings to be brought up to the latest fire safety standards, as long as during any refurbishment the existing provisions are not made worse.
- Across the life cycle of a complex and high-risk building, the different regulations that apply can overlap, and have varying approaches to responsibility and demonstrating compliance.
- A number of key control stages of the process are not being followed as intended, particularly the handover of fire safety information and the issuing of Completion Certificates.
- The information flow and documented evidence provided by developers to building control bodies does not provide an adequate public record to ensure safety throughout the life cycle.
- Information provided to residents of complex and high-risk buildings on the key fire safety measures, their importance and residents' responsibilities is

highly variable and too often non-existent. It will be interesting to see whether the full report makes a distinction for complex buildings between residents and service users/occupiers that 'use the building'.

- Once a building is occupied there is a requirement for a fire risk assessment to be carried out regularly by a 'responsible person', but no requirement for this to be reported to a regulator or for this to be shared with residents.
- There needs to be a golden thread for high-rise residential and complex buildings so that the original design intent, and any subsequent changes or refurbishment, are recorded and properly reviewed, along with regular reviews of overall building integrity.
- There is a need for stronger and more effective enforcement activity, backed up with sufficiently powerful sanctions for those who do not follow the rules.

5. Residents' voice and raising concerns

- Residents need to be reassured that an effective system is in place to maintain their safety.
- There must be a clear, quick and effective route for residents' concerns to be addressed.

6. Quality assurance and products

- Products must be properly tested and certified and there is a need to ensure oversight of the quality of installation work.
- Marketing of products must be clear and easy to interpret.

1.4 In addition the report highlights there needs to be a greater alignment and the consistent use of terms within the guidance and legislation.

2. Phase 2 of the Review Future Direction of Travel

2.1 The interim report sets out the 'direction of travel' for key areas for recommendations in the final report, including:

- **A risk based approach** - Defining a revised regulatory system which will be simpler, clearer and deliver better outcomes. This needs to allow innovation in building design and construction and not introduce disproportionate delays or cost into building processes. The review notes that any additional time spent at the front end of designing and specifying a building is likely to yield significant benefits in time, cost and safety in construction and throughout the building life cycle. The revised system must be risk-based and proportionate and not burden low-risk, small-scale or simple projects with requirements which are intended for complex and high-risk buildings where both the risk and consequences of catastrophic events are considerably higher. There will be a focus on the cultural shift across all parts of the system within the construction, operation and maintenance of complex and high-risk buildings. In the case of complex and high-risk buildings with complex ownership and occupancy models, a more rigorous risk-based process must be put in place to ensure that building integrity is maintained throughout the life cycle. It is important that the construction and maintenance of these buildings is treated proportionately and that those responsible for such buildings are held to account to a higher degree.

- **Commissioning responsibilities** - Primary responsibility for ensuring that buildings are built to the correct standards and are fit for purpose must rest with those who commission the work and those who design and build the project. Those commissioning must ensure that those they commission to do the work have the right levels of competence and are appropriately supervised. Responsibilities must not be dispersed through the commissioning chain. Even in an environment where there are multiple layers of sub-contracting there must be a clear, responsible duty holder who is held to account for the performance or non-performance of all of those to whom sub-contracts are let at all stages in the life of a building. Where there is failure to comply, there must be a more effective means of ensuring not only that the deficiencies are put right but that those who were responsible for compliance with the standards are held accountable for their failure. After completion and handover of a building there must be clear responsibility assigned to a known person or persons for ensuring that the building remains fit for purpose throughout its life cycle. Where and when ownership changes, responsibilities must be formally handed over. The current interaction of different regulatory regimes leads to a complex system with different bodies responsible for enforcement and a varied approach to assurance and demonstrating compliance. The whole process needs to be streamlined and made consistent. There is potential for Building Information Modelling (BIM) to transfer the documentation process onto a digital platform.

- **Engaging and consulting partners -** The right people need to be engaged and consulted at the earliest stages of complex projects and that their views are taken into account at the design stage. This is particularly important in relation to fire safety. Fire and rescue service advice should be fully taken into account and their input and support should be secured at the earliest stage possible.

- **Monitoring and assessment responsibilities -** Once a complex and high-risk building is occupied and in use, there must be a clearly identified responsible person who continues to monitor the condition of the building and is responsible for all changes and maintenance work carried out within it. It must be clear to occupants and anyone who works in the building who that responsible person is, and they must be held to account. Future modification and upgrade to complex and high-risk buildings must be subject to the same rigorous processes as during original construction and must be undertaken with reference to the original design criteria. Changes must be formally reviewed by competent professionals, documented after completion and formally handed over. Complex and high-risk buildings must also be subject to regular and thorough reviews of their overall integrity, even if they are not subject to major change. The integrity of such buildings can be compromised by a series of minor changes which lead to a cumulative degradation of protection. It is envisaged that these reviews would be the responsibility of the building owner but must be reported to the regulator and

accessible information made available to residents. The current Fire Safety Order states that fire risk assessments must be carried out 'regularly'. The report goes further than this and recommends that the responsible person ensures these are undertaken at least annually and when any significant alterations are made to the building. These risk assessments should be shared in an accessible way with the residents and notified to the fire and rescue service. There is a responsibility to give due consideration to what it is reasonable and practicable to do to upgrade and improve the fire safety of existing facilities throughout their lifespan, not merely to ensure that they do not deteriorate beyond how they were originally designed and built.

- **Retrofitting fire protection measures -** Rather than one fire protection measure being retrofitted or amended in existing buildings (e.g. extra staircases, smoke ventilation or sprinkler systems) being prescribed over another, it should be for building owners and landlords, with the right expert advice and the involvement of residents, to demonstrate that appropriate risk mitigation measures are in place.

- **Financial implications -** The cost of achieving compliance must be significantly less than the sanctions which may be imposed on those who do not follow the rules and fail to achieve the standards set, in order to create the right incentive to comply and a deterrent to seeking to circumnavigate requirements.

3. Impact on KCC

3.1 At this time, the Hackitt review has not at this time changed our statutory liabilities and KCC through its activities ensures that all relevant legislative requirements are met.

3.2 KCC has 2 high rise buildings within its portfolio which are leased to housing providers. As the Hackitt review reaches its conclusion KCC will review its arrangements to ensure that it considers and takes into account the review in respect of these buildings.

3.3 The Hackitt review and its findings are likely however to have implications far beyond those buildings which are classified as high rise or complex buildings and brings into sharp focus KCC's responsibilities as a duty holder and a responsible party in both its management of its assets but also through its commissioning activity which may have additional resource and capacity requirements.

3.4 It will be increasing important that the Council has a clear view across its property based activities and can evidence that it is appropriately discharging its duties. In order to ensure that KCC are in the best position to respond we are progressing the final stages of the implementation of the corporate landlord model to ensure that the council has a single view of its asset holdings. It is likely when combined with the emerging findings of the Hackitt review there will be areas with the Council where further assurance is required and KCC may need to further strengthen its approach. This will inevitably place greater strain on existing resources and budgets which may prove to be insufficient. As the Hackitt review reaches its conclusion alongside the Councils own assurance work KCC will consider the outcomes and report further on its implications for the Council.

4. **Recommendation(s**)

Recommendations:

The Policy and Resources Cabinet Committee is asked to:

(1) Note the findings of the Hackitt Review Interim Report and how this may affect the way in which the Council manages its own estate.

(2) Agree that on publication of the final Hackitt Review Report planned for Spring 2018 a further paper making recommendations is presented to the Policy and Resources Cabinet Committee

11. Background Documents

None

12. Contact details

- Rebecca Spore
- Director of Infrastructure
- 03000 416716

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From: **Eric Hotson, Cabinet Member Corporate and Democratic Services and Rebecca Spore, Director Infrastructure**

To: **Policy and Resources Cabinet Committee – 16 March 2018**

Decision No: **18/00017**

Subject: **Policy and Code of Practice for the Management of Hot and Cold-Water Systems**

Key decision

Classification: **Unrestricted**

Past Pathway of Paper: Previous Policy 2016 (not published)

Future Pathway of Paper: Cabinet Member Decision

Electoral Division: All Divisions

Summary: The policy (attached at appendix A) on the management of hot and cold-water systems in KCC buildings has been reviewed.

This policy provides best practice guidance and general information on hot and cold-water systems, including current practices and legislative requirements. It provides information on the Council's strategic approach to the management of hot and cold-water systems within its existing estate and any new buildings.

Recommendation(s):

The Policy and Resource Cabinet Committee asked to consider and comment on the proposed decision by the Cabinet Member for Corporate and Democratic services to approve the adoption of the Code of Practice for the Management of Hot and Cold-Water Systems Policy as attached at appendix A.

1. Introduction

1.1 The report outlines the Council's strategy / policy on the management of water systems across its property portfolio outlining our approach to new and existing building stock.

1.2 The purpose is to ensure that all the Council's existing and future building portfolio meets legislative requirements and best practice standards in relation to hot and cold-water systems.

1.3 The objective is to ensure that current buildings are safe and where the Council is constructing / occupying new buildings, that a unified risk based approach is undertaken.

2. Financial Implications

2.1 The rolling programme of risk assessments / survey programme, forms an integral part of the statutory compliance package which is delivered by the Total Facilities Management (TFM) contract and managed on a day to day basis by GEN2 as our managing agent. Therefore, water hygiene costs are not split out for the Corporate landlord buildings as they included within the overall planned preventative maintenance and statutory maintenance costs.

2.2 Where KCC have responsibilities for the school risk assessments / survey programme, a fixed cost is attributed to the service provided by the TFM contractors.

2.3 Remedial works and maintenance of Corporate landlord and school water systems can be difficult to correctly estimate as it is dependent on the size and complexity of the system, together with management, reliability and potential damage issues.

2.4 For KCC schools, water systems that require remedial works are the responsibility of the school when they fall within their financial limits shown below: -

- Primary £7,500
- Secondary £20,000

Above this level, the Council prioritises these as part of its maintenance spend.

3. The Report

3.1 The previous policy on the management of hot and cold-water systems within the Council was not formally approved and has remained in draft. This policy has been reviewed to ensure that the Council is meeting its statutory duties and legislative requirements.

3.2 The policy recommends and clearly defines: -

- KCC's roles and responsibilities and those within our supply chain
- the Council's commitment in preventing or minimising the risk from Legionella bacteria
- affirms the Council's commitment to have in place control measures that adhere to the principals of risk assessment and comply with statutory requirements
- the control system in place to ensure that measures are being implemented, are effective, records are kept and the policy is reviewed on a Bi - annual basis or if there are changes to legislation
- its application to all buildings owned or occupied by the Council. Where the Council does not own the property, it will establish who is liable for its

maintenance. It will also ensure that they have a legionella management plan in place and all relevant information is passed to the tenants and the Council. In cases where the liability cannot be established, The Council will carry out a risk assessment to ensure that staff can occupy the area and take appropriate steps for managing the risk, in the areas so far as is reasonably practicable.

3.3 It is important that KCC has a robust policy to maintain our current practice by following the established management of hot and cold-water systems as part of the Councils overall planned preventative maintenance and statutory maintenance regime.

4. Conclusions

The Policy and Code of Practice for the Management of Hot and Cold-Water Systems meets all statutory and best practice requirements.

5. Recommendation(s):

The Policy and Resources Cabinet Committee are asked to consider and comment on the proposed decision by the Cabinet Member for Corporate and Democratic Services to approve the adoption of the Code of Practice for the Management of Hot and Cold-Water Systems Policy as attached at Appendix A.

6. Background Documents

6.1 KCC - The Policy and Code of Practice for the Management of Hot and Cold-Water Systems
6.2 Health and Safety at Work etc Act 1974
6.3 Control of Substances Hazardous to Health Regulations 202 (as amended)
6.4 Legionnaire's disease – The control of legionella bacteria in water systems – Approved Code of Practice (L8)

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KCC Infrastructure Policy & Guidance

Policy and Code of Practice for the Management of Hot & Cold Water Systems

Key Document Information	
Document Owner:	Rebecca Spore
Job Title	Director of Infrastructure
Team	Strategic & Corporate Services
Created on	December 2016
Updated on	February 2018
Reference & Version Number	PI/ /02
Next Review Due	February 2020

NOT PROTECTIVELY MARKED

Document Audience & Classification

This policy is applicable to all who use Kent County Council Property and forms part of the formal corporate policy making structure.

This document is NOT PROTECTIVELY MARKED. Anyone can view the information and it may be published on the web or on paper.

Key Audience is for:

- ✓ Internal Infrastructure
- ✓ Internal Kent County Council
- ✓ Internal and External users of Kent County Council Services
- ✓ Consultants and Contractors working on Properties owned or Managed by Kent County Council.

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Policy Statement

Kent County Council (The Council) is committed to protecting the health, safety and welfare of its tenants, employees, visitors, pupils, customers, contractors and members of the public. The Council recognises its duty of care under the 'The Health and Safety at Work Act 1974' (HASAWA 1974) to ensure as far as is reasonably practicable the health, safety and welfare of all. This extends to the risk from Legionella bacteria.

The main aim is to eliminate the risk of potential Legionellosis within the Council's property portfolio in order to prevent occupants being exposed to Legionella bacteria.

The Council will do this by ensuring that a Legionella policy and code of practice for the management of buildings is in place which details how water systems will be managed throughout its property portfolio.

As well as the HASAWA 1974, there are Regulations, Approved Code of Practice (ACoP) and guidance from the Health and Safety Executive (HSE) that apply to the control of Legionella bacteria in water systems. These are: -

- The Control of Substances Hazardous to Health Regulations 2002 (COSHH);
- The Management of Health and Safety at Work Regulations 1999 (MHSWR);
- Legionnaires' disease. The control of Legionella bacteria in water systems approved code of practice (ACoP L8)
- Legionnaires Disease – Technical Guidance HSG 274 (Parts 1-3)
- Guide for the auditing of water quality sampling BS 8550

A summary of the requirements of the above and for more information about Legionella is contained within this policy. See Appendix 7

This policy applies to all Council staff and its Partners/Consultants/Contractors involved with maintenance or the provision of water systems, supervising such work**, or issuing contracts for work. All must fully familiarise themselves with the contents of this document and implement the actions detailed within.**

Works will only be undertaken by approved contractors.

1. Introduction

The Council has prepared this policy to set out the action to be taken to comply with their duties under the HASAWA 1974 and associated Regulations and ACoPs.

The Policy:

- Clearly defines roles and responsibilities.
- Confirms the Council's resolve in preventing or minimising the risk from Legionella.
- Affirms the Council's commitment to have in place control measures that adhere to the risk assessment and comply with statutory requirements.
- Requires the Council to have a control system in place to ensure that measures are being implemented, are effective, records are kept, and the policy is reviewed on a Bi - annual basis or if there are changes to legislation.

This policy applies to all buildings owned or occupied by the Council. Where the Council does not own the property, it will establish who is liable for its maintenance. It will also ensure that they have a Legionella management plan in place and all relevant information is passed to the tenants and the Council. In cases where the liability cannot be established, GEN² will instruct a risk assessment to be carried out to ensure that staff can occupy the area and take appropriate steps for managing the risk, in the areas so far as is reasonably practicable.

2. Legislative Requirements

The Health & Safety at Work Act (HASAWA) 1974 requires employers and those in control of premises, to conduct their work in such a way that their employees and others will not be exposed to health and safety.

The Council will comply with their duties under the HASAWA 1974 within their property portfolio by effectively eliminating or reducing risk to the lowest level reasonably practicable for all customers, visitors, staff and contractors

The Management of Health & Safety Regulations (MHSAWR) 1999 and The Control of Substances Hazardous to Health Regulations (COSHH) 2002 requires The Council to undertake a risk assessment to identify and control known hazards associated with Legionella bacteria.

The Council ensures that a monitoring programme is in place which:-

- Identifies, assesses and controls risk
- Prepares a written scheme to reduce, eliminate or control the risks identified
- Implementation and management of the written scheme by appointing adequately trained and competent people who have managerial responsibility
- Maintaining all relevant records and monitoring controls

The risk assessments will be carried out to a prioritised programme on a 2-year basis with a review being carried out between the risk assessment, based on the vulnerability of the service user group, and the water systems that are likely to present the highest risks.

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The control of Legionella bacteria in water systems Approved Code of Practice and guidance applies to the control of Legionella bacteria in any undertaking involving a work activity and to premises controlled in connection with a trade, business or any other undertaking where water is used or stored and where there is a means of creating and transmitting water droplets which may be inhaled, thereby causing a reasonably foreseeable risk of exposure to Legionella bacteria.

The Council carries out a risk assessment to identify and assess potential sources of exposure and introduce a course of action to prevent or control any risk.

3. Background to Legionella

Legionella are bacteria that are common in natural rivers and lakes and artificial water systems (e.g. hot and cold water systems storage tanks, pipe work, taps and showers).

Legionella are usually associated with larger water systems, (e.g. in factories, hotels, hospitals and museums, and cooling towers), but they can also live in smaller water supply systems used in homes and other residential accommodation. Other potential sources of Legionella include spa and whirlpool baths, humidifiers, drinking water systems, water features and fire-fighting systems (sprinklers and hose reels).

Legionella can survive in low temperatures, but thrive at temperatures between 20°C and 45°C. Temperatures in excess of 50°C will kill the bacteria in 2hours and at 60°C in 1 minute.

Legionella bacteria can multiply in hot or cold water systems and storage cisterns which then can be spread. Although the generally high turnover and relatively low volume of water held in smaller water systems reduces the likelihood of the bacteria reaching dangerous concentrations, a risk assessment must still be carried out to identify and assess potential sources of exposure (e.g. in spray from showers and taps). A course of action must then be introduced to prevent or control any risk, which has been identified.

Legionnaires' disease is a potentially fatal form of pneumonia caused by the Legionella bacteria. It can affect anybody, but some people are at higher risk, including those over 45, smokers and heavy drinkers, those suffering from chronic respiratory or kidney disease, and people whose immune system is impaired.

4. Policy Objectives

The Council will have in place the following: -

- A water hygiene risk assessment for each site: to identify and assess sources of risk from Legionella.

- Action plan: Prepare a written scheme (see appendix 8), which puts in place control measures that take account of the level of risk and prevents or reduces the risk from exposure to Legionella bacteria. This will form part of the risk assessment.

- Safe working practices: implement and manage the scheme of precautions and other measures in compliance of the Policy.

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- Assurance of control: ensure that the Council's portfolio has an implemented monitoring and recording procedure, to ensure that the measures put in place are adequate and effective.

- Provide regular training for all those involved in the management of Legionella, ensuring they have a level of knowledge and competence appropriate with their level of responsibility.

- Risk assessments are carried out every other year and are reviewed the following year to the risk assessment or sooner if any significant changes occur to the system.

- Review this Policy Bi-annually and earlier if any new legislation has been introduced.

5. Who is the Policy aimed at?

This Legionella Policy is aimed at:

- Employees.
- Contractors.
- Persons charged with the responsibility for the management of water systems at sites owned or operated by The Council.
- Persons managing and maintaining buildings, or who carry out maintenance and installation work for buildings occupied by The Council.

6. Roles and Responsibilities

The Council has clearly defined the roles and responsibilities for managing water systems in buildings that are owned or leased (See Appendix 2) and have taken in to account the following:-.

- Ownership
- Financial Control
- Who is working under the control and direction of others
- Who has control and decides on budget spend

Duty Holder

Kent County Council will be regarded as the 'Duty Holder'. The 'Duty Holder' has the overall management responsibility for The Council. They have the responsibility for the strategic management of the Legionella policy and for ensuring the procedures and working practices are implemented.

The Responsible Person(s)
The Responsible Person(s) are appointed by the duty holder and include Gen² and TFM Contractors Responsible Person.

Gen² Responsible Person deals with the management of water hygiene and duties include:

- Gen2 Chief Executive Officer takes the role of Responsible Person on behalf of the Company but will from time to time delegate this function to a competent Manager within the Senior Leadership Team of Gen2.

- To report and manage all property related health & safety tasks on behalf of the Duty Holder.

- To ensure that the TFM Contractor and any other Contractor working on the Estate directly undertakes and discharges its duties effectively.

TFM Contractors Responsible Person manages the operations of carrying out all water hygiene tasks, including;

- To undertake and deliver all Health & Safety tasks within scope of the TFM Contract.

- To bring to Gen2 / KCC's attention all property related H&S tasks which require approval and deliver the tasks when spend authorisation is received.

- To perform duties of the on-site Responsible Person where the role has been delegated to the TFM Contractor.

Competent Help

The responsible person may identify people to undertake specific tasks to assist The Council in meeting its duty. These people and/or companies must be competent to carry out the tasks they have requested to complete.

All staff and contractors with any responsibilities are required to report any potential risks that they encounter and follow any procedures that have been put in place.

7. Information held on site.

The information provided to premises will be in the form of a Water Hygiene Log Book. The Log book is an A4 folder containing all relevant Legionella information.

The Log book, once received, should be considered to be a working document, representative of the Legionella control activities for the building/s to which it pertains.

The log book should include but is not limited to:

Introduction: gives consideration to the mains water supply, stored hot & cold water systems with respect to temperature control and Bacteriological Standards

- Monitoring Regime: This section contains a tabulated listing of guidance recommended frequencies for Legionella monitoring control activities associated with water systems and services.
- Risk Assessment: This section contains the site-specific Legionella risk assessment. This assessment contains site survey information, data and forms the basis of the sites Legionella control. This report also contains information of remedial work requirements and/or addition control measures that will require implementation.

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- Service Sheets: This section is where records of maintenance should be kept including, monitoring reports for calorifiers, water heaters, cisterns, sentinel outlets and any other reports relating to the hot & cold water system
- Sample Results: Results of any Laboratory Water Sample Analyses conducted in respect of Legionella Control from the buildings water systems and services.
- Emergency Procedures in the event of Legionnaires Disease Outbreak: This section of the log book contains information of a generic nature advising of the steps, precautionary actions and procedures necessary if there is an outbreak of Legionnaires Disease.
- Sample Procedures: this section will include sampling and testing protocols for bacteriological sampling from hot & cold water systems i.e. outlets, cisterns and also the correct sterilisation of sampling points.
- Cleaning and Disinfection: This section contains method statements that outline, in a generic manner, the tasks involved in the cleaning and disinfection for cold water storage cisterns, hot water storage and their associated services.
- Priority Corrective Action Form (PCAF): These forms are generated and outline corrective actions deemed necessary following observations made during sites visits. PCAFs are issued for works of an urgent nature that may be necessary to maintain Legionella control.
- Training Certificates: The guidance requires that any personnel involved in Legionella Control activities be trained and competent to conduct the necessary duties involves. Any certificates issued to personnel concerned with Legionella Control or aspects of Legionella Control are to be retained within this section.

It is the duty of the person who has day to day responsibility of the site to ensure everyone who needs to know about the Water Hygiene Log Book and its contents are made aware and follow the procedures, including those who work on the Hot & Cold Water Systems. Anyone using the Log Book will sign the register form in the front of the document.

8. Survey Programme

While there will inevitably be common factors associated with many varied types of premises, the individual nature of each site will be taken into account and this will be ascertained by carrying out a site-specific risk assessment.

The Council is committed to operating a rolling 2-year risk assessment survey program. This consists of a full Legionella risk assessment in year 1 (as outlined below) and a follow up review in year 2

A full Legionella risk assessment will be carried out as stated in HSG 274 Legionnaires' disease. The control of Legionella bacteria in water systems. ACoP and carried out in accordance with the BS8580 (see appendix 7)

The council will review the assessment regularly on a two year rolling programme and specifically for premises where:-

- The existing risk assessment is no longer valid
- The building is newly acquired;
- The building is newly constructed;
- The water services have been substantially modified

9. Limitations of the Survey

There will be areas where the surveyor cannot gain entry to undertake a survey.

No access' or limited access' indicates that a full inspection was not possible because it was not possible to enter the room. This will be recorded in the risk assessment report as a high risk item and should be addressed by the responsible person.

- The surveyor will only survey safely accessible parts of the site
- Where accompanied access cannot be provided, the surveyor will limit the survey to reasonably detectable pipe work and assets.
- Where access to key areas of plant is not possible (such as water cisterns), the assessment will assume the worst case.

It is important that when a risk assessment is scheduled to be carried out, the contractor should book this in advance with the site and that a person with the knowledge of the building's water systems is made available to assist the surveyor.

10. The Risk Assessment Survey

The risk assessment survey will include identification and evaluation of potential sources of exposure and stipulate control measure on how to control or mitigate against these risks.

Showers and Spray Taps (including emergency showers and eye wash stations)

A high level of spray and aerosols can result from shower and spray tap operation. The risk of Legionellosis is higher, as infection can only occur if infected aerosols are inhaled.

Control measures include: -

- Cleaning and disinfecting shower and spray tap heads 3 monthly.
- Each showerhead should be cleaned and descaled.
- Record information and kept in Log Book

These tasks can be carried out by either a specialist contractor or site staff.

Emergency showers and eye wash stations should be subject to a 3-monthly flushing and disinfection maintenance regime conducted by either specialist contractor or site staff

Hot Water Systems(s)

The ideal growth temperature range for Legionella bacteria is 20-45°C. These temperatures are not unusual in poorly managed or poorly designed water systems. The combination of the above temperature range with the presence of scale, debris and stagnation within a hot water system will result in Legionella growth.

The Council adopts a temperature regime by maintaining stored water at 60ºC; with a minimum return temperature of 50°C.

Monthly temperatures should be recorded from the sentinel outlets (those closest to and furthest from each mains water entry point and the flow/returns on the calorifiers. The water

storage tank temperatures should be taken every six months and the condition of the tank should be recorded in the water log book. (additional sentinels may be selected in complex buildings) and to ensure compliance.

Other outlets should be checked at least once a year.

NB The most practical solution is to check sentinel outlets plus a selection of other outlets each month, so as to cover all outlets over the course of each year.

In large or commercial systems, due to high storage levels, stratification may occur in calorifiers. To avoid this a shunt pump (a circulation pump fitted to hot water service/plant to overcome the temperature stratification of the stored water) should be fitted and set to operate via a time switch, which will heat the entire contents of the calorifier to 60ºC for one hour per day. Where practicable, each system should be fitted with a circulation pump on the return leg.

Where site have a Building Management System (BMS) installed, sensors may be fitted to the flow and return legs of the system. This system can be used to confirm the correct operating temperatures of the system. Regular manual checks are to be carried out to confirm BMS temperatures.

Each calorifier must be subject to an annual maintenance inspection. If the inspection highlights internal problems, the calorifier must be isolated from the building circuit, drained down, and internal surfaces are inspected and cleaned. This procedure is carried out by a specialist contractor.

Cistern(s) and cistern fed cold water systems

The ideal growth temperature range for Legionella bacteria is 20-45°C. Cold water temperatures above 20°C can be found in some cold water systems. Presence of debris, stagnation and non-approved materials will contribute to Legionella growth. The aim is to maintain the water condition as is found in mains water. The maintenance regime is designed to keep temperatures below 20°C and to keep debris and stagnation at a low level.

The council adopts a temperature and inspection regime for the control of Legionella, for all identified storage cisterns. Water temperature must not exceed 20°C.

Monthly temperatures are to be recorded from sentinel taps by the site responsible person or Specialist Contractor. Records are to be kept in the Log Book for ongoing management.

Where temperature control is identified as poor, alternative means of control will be undertaken. One such means of control is via Chlorine Dioxide. The procedure for chemical control is described in section 15 of this Policy.

Infrequently Used Outlets

A disused or low use outlet, will allow localised stagnation of water within the pipework. Stagnation results in higher water temperature due to warming, and lower hot water temperature due to cooling, resulting in water temperatures which are ideal for Legionella growth.

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To avoid this, outlets that are unused for a week or more must be flushed for 5 minutes on a weekly basis (see Appendix 6). This is particularly applicable to areas such as disabled toilets and shower rooms. The flushing can be undertaken by either site staff or a specialist contractor. Records for all such procedures will be filed in the Log Book.

Areas which are disused, but still hold water within the system are considered as a deadleg. Such unused or redundant pipework must be removed as soon as is practicable or drained down and clearly identified. This procedure should be carried out by a competent person or specialist contractor.

NB. The following vacation arrangements should be incorporated in a schools control measures, which will be unoccupied during holiday periods.

Due to the high numbers of rooms in schools, it is recommended that the following procedures are carried out during holiday periods and other low use periods to ensure L8 compliance:

- Flush the far ends of each floor on a weekly basis following the same procedure for flushing of little used outlets.

- Records of this task are too kept in the water hygiene log book for on-going management.

Drinking Water Systems

Generally, the risk of Legionellosis is low, but can become significant in large water systems where, due to low use, stagnation can occur with warming because of poor insulation or location of pipework. This can result in water temperatures in the 20-45°C range.

Drinking water and drink dispensers should only be attached to the rising main, where possible. These outlets are to be located in designated areas and must be suitably labelled ‘Drinking Water‘.

Cistern supplied water (deemed drinking water quality i.e. Boosted) shall be monitored and tested 6 monthly (see section on boosted/cistern water further on in this document).

The drinking water main, where reasonably practicable, is to supply at its extremity a urinal-flushing cistern, (or similar) programmed for 7-day operation in order to prevent water stagnation.

No alterations or additions to the drinking water supply can be made without written agreement from The Council.

Water Filters

Resin beds in water filters can act as a reservoir for bacteria and if breakthrough occurs, the supply system downstream may be contaminated with Legionella and other bacteria.

For water filters, the regeneration period must be known and the service visits must be within a set period or as specified by the manufacturer (the usual period of change for this is 6 monthly)

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If installed by The Council, the council will ensure that maintenance occurs. If for example these are installed by a school, then it is the responsibility of that school to ensure maintenance is carried out.

Recorded information must be filed in section 4 in the water hygiene log book for ongoing management.

Stored Water Heaters:

Generally, the risk is low but growth of Legionella bacteria can occur where the temperatures are constantly maintained at 20-45°C.

Water temperature checks on Combination Boilers, Point of Use (POU) and Instantaneous water heaters (no greater than 15 litres) are required to confirm the unit is delivering 50 ˚C (min) at an outlet.

Water temperature checks on Combination water heaters are required to confirm the unit is delivering 55 ˚C (min) at an outlet.

Calorifier (HWS including Plate Heat Exchanger & Buffer vessel) – The Flow should be 60 ˚C, with a return no less than 50 ˚C.

Water Softeners

Resin beds in softeners can act as a reservoir for bacteria and if breakthrough occurs, the supply system, downstream, may be contaminated with Legionella and other bacteria.

Hard/soft water checks should be carried out as required (normally at least weekly) and recorded. The maintenance contract details should be available, which must include a periodic service/clean. The brine tank should be kept in a clean condition and the softener back washed regularly (preferably one backwash cycle in a day).

Sprinkler and Hose Reel Systems

Generally, these systems are very low use and will contain highly stagnant water, which when used will be sprayed resulting in an aerosol.

Where practicable it is the Council's policy to remove hose reels and all associated pipework. Flushing of these systems should be carried as per the risk assessment recommendations.

NB: it is important that the hoses must be flushed into a bucket or such device to prevent formation of aerosols.

Materials in contact with water

Materials not approved by a Water Research Advisory Centre (WRAS) testing laboratory may provide nutrients to support microbiological growth.

Only WRAS approved water fittings and materials are to be used. Jointing materials such as natural rubber, hemp and linseed oil-based jointing compounds and fibre washers must not be used. Information can be obtained from the WRAS web site.

Legionella Sampling

The risk assessments carried out at all sites will determine if Legionella testing is required and if necessary will be carried out by the specialist contractor and will be done as per BS 7592:2008 that sets out the procedure to be followed when carrying out sampling from hot and cold water systems.

Thermostatic Mixing Valves (TMV's)

Young children and older people are most at risk from water scalds because their skin is thinner and therefore less tolerant to higher water temperatures than that of other age groups. As a result, they sustain scalds more quickly, at lower water temperatures and often with a greater depth of burn. The risk assessment will take this into account and make the necessary recommendations, one being the installation of a thermostatic control valve.

With regards to TMVs the council recommends that an annual service should be carried out. The specialist contractor or a competent person will open and clean, replace defective parts, descale the filters and carry out a fail-safe check.

The fail-safe test is carried out by isolating the cold water supply to the TMV and waiting for five seconds; if water is still flowing further checks will then be carried out e.g. the checking of the isolation valve, internal inspection of the TMV.

If there is no significant change to the set outlet temperature (±2°C or less change from the original settings) and the fail-safe shut off is functioning, then the valve is working correctly and no further service work is required.

NB Any checks or tests carried out on thermostatic control valves must be recorded in the site water hygiene log book.

Sampling of Boosted/Cistern water for drinking purposes

The water hygiene risk assessment will identify where cistern water is found to supply drinking water the following minimum sampling should be undertaken:

- Sample should be collected from the source cistern and a furthest outlet.
- The samples will be subject to the following analysis: TVC, Coliforms and E.Coli.
- Samples to be taken three monthly (or as indicated by the risk assessment)

All sampling tests will be recorded at the time taken and a certificate of analysis issued at filed in the water hygiene log book.

11. Risk Classification

As per BS 8580:2010 Water quality, the risk assessments that are carried on behalf of The Council will take into account the corporate, site management and the overall building risk.

There may be areas highlighted in the risk assessment that are of a high risk, that if not addressed will increase the risk of legionnaire's disease.

A medium risk will be assigned to certain areas that indicate that improvements can be made by following best practice or industry standards.

A low risk classification will show that there is compliance with the current standards.

In each risk assessment survey report, the risk category is expressed for each of the systems assessed. Risk Category represents the degree of risk for that system. An explanation of how these categories have been determined is given for each of the systems assessed.

To achieve the risk rating the risk assessment will take in to account the following:

- Water temperatures between 20C and 45C? Are there areas where stagnant water occurs? Infrequently used outlets?
- Is debris in the system?
- Are there thermostatic mixer valves?
- Are there outlets that create an aerosol?
- Is there vulnerable people to infection present?
- Is there an effective management control system?

Following this, the risk rating will be assigned to the site.

12. Maintaining and Updating Records

Records for all control measures implemented, will be stored in the water hygiene log book, which will be kept on site and contain the following:

- Risk assessment for the system
- Schematic diagrams of the system
- Records for control checks taken
- Disinfection record certificates
- Records of any remedial work carried out.

Specialist Contractor

The Specialist Contractor will carry out disinfections, risk assessments, risk assessment reviews, sampling, monitoring, shower cleaning and other work where required. They will provide dates and results of inspections, tests and all associated works and procedures, which will be kept within the water hygiene site log book.

Records

Consultants / Contractors shall ensure that the results of the risk assessments, schematics and disinfection certificates and any other record provided will be stored as PDF files. These will be stored within the KCC building Information system in addition to the contractors own

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CAFM system, which should be available for inspection through a web portal to authorised staff.

The responsible person will ensure that all equipment used to carry out compliance testing is serviced and maintained to the standard required, records are kept and filed in the water hygiene log book. The manufacturer of the monitoring equipment used for will be able to supply details of calibration frequencies for the units.

Personnel who are responsible for the management of sites will ensure records of servicing and maintenance are kept for at least 5 years. Records will need to be available for audit purposes.

13. Specific Non Compliance Procedure

Water Temperature

Non compliances are assessed and prioritised by the personnel who are responsible for the management of sites (with guidance from The Council if required), on a day to day basis and the responsible person should ensure action is taken accordingly.

Cisterns and Water heaters

Non compliances are assessed and prioritised by the Personnel who are responsible for the management of sites (with guidance from The Council if required), on a day to day basis and the responsible person should ensure action is taken accordingly.

The Specialist Contractor responsible for the production of risk assessments and reviews will produce a 'Priority Corrective Action Report' when it is considered that the site represents a significant risk to health and will inform the responsible person for the management of the site. The responsible person should ensure action is taken accordingly to eliminate this risk.

Legionella Testing

Legionella testing will be conducted as and when required or if indicated by the risk assessment. Action on the Legionella results will be considered in relation to the numbers of samples collected, the locations and the systems particulars at the time of the results. All sampling and any further actions will be managed by the Council's managing agents GEN2

Action in the Event of a suspected Legionella Outbreak

Legionnaires' disease is a notifiable disease. There is a duty upon registered medical practitioners to notify the proper officer of the relevant local authority of any suspected cases of Legionnaires' disease. The notification must be provided in writing within three days from the date of suspicion. Also, the operator of a diagnostic laboratory must notify the Health Protection Agency (HPA) when Legionella species are identified in a human sample.
.
The Council would also notify the Health and Safety Executive (HSE) should an outbreak of Legionnaires disease occur.

In the event of a Legionella outbreak the Authority would put in place the following control measures within 24 hours or the earliest opportunity: -

- All processes that are capable of generating and disseminating airborne water droplets will be shut down until sampling procedures and remedial cleaning or other work has been carried out successfully
- Water samples will be taken before any emergency disinfection is undertaken.
- All staff health records will be checked to confirm whether or not there are any other undiagnosed cases of illness.
- Full co-operation will be provided to the local enforcement agencies who may undertake an investigation by providing details of pipe runs, operational records, statements from plant operatives / managers and statements from water treatment consultants or contractors

14. Supplementary Control Maintenance and Monitoring Procedure

Although temperature is the traditional and most common approach to control, sometimes there can be technical difficulties in maintaining the required temperatures, particularly in older buildings with complex water systems. Where there are issues in managing temperatures, supplementary control methods including water treatment techniques, may be used.

The supplementary control method needs to take in to account all parameters including system design, age, size, and water chemistry, all of which can contribute to the complexity and difficulty of achieving adequate control. There is no single water treatment control regime that is effective in every case, and each control method has both benefits and limitations.

The Council will ensure water treatment programs are monitored by using a specialist contractor to demonstrate that the programs are working within the established guidelines and are effective in controlling Legionella bacteria in water systems. The frequency of monitoring and test procedures will be decided by the specialist contractor depending on the method selected.

15. Policy Procedure for Projects

Plant or water systems should be designed and constructed to be safe and without risks to health when used at work. Such hazards maybe of a physical, chemical or microbial nature such as the risks associated with colonisation and growth of Legionella bacteria within the water system. The type of system installed depends on the size and configuration of the building and the needs of the occupants but the water systems should be designed, managed and maintained to comply with:

- the Construction (Design and Management) Regulations 2015 (CDM)
- the Building Regulations 2010 (and associated amendments)
- The Water Supply (Water Fittings) Regulations 1999 for systems provided with water from private sources – The Private Water Supplies Regulations 2009;
- BS EN 806 (Parts 1–5) *Specifications for installations inside buildings conveying water for human consumption*
- BS 8558 *Guide to the design, installation, testing and maintenance of services supplying water for domestic use within buildings and their curtilages*
- CIBSE Guide G *Public Health and Plumbing Engineering*.25

Any subsequent changes within buildings may result in modifications to water systems that incorporate features from different design styles and materials. Any modifications should

comply with the requirements and standards as identified above as if incorrectly designed, these can present a foreseeable risk of exposure to Legionella.

16. Commissioning

The aim of commissioning is to check the system is performing to design specifications, that there are no leaks and that the flow of the hot water system is balanced. From a microbiological perspective, the period between filling the system and bringing it into normal use is potentially the most hazardous. A risk assessment should be performed before commissioning, to identify and consider the potential for stagnation as this may lead to microbial growth where buildings are not to be fully occupied immediately or where systems are commissioned as occupation occurs e.g. infrequently or intermittently used buildings. All documentation and risk assessments are to be given to the responsible person and records held on site.

Before commissioning, the nature of the incoming water supply must be determined. If it is a public water supply, the water supplier will be able to provide details of the testing carried out in the local water supply zone in which the building is situated. If there is any doubt about the condition of the underground supply pipe connecting the building to the public supply main, the water supplier should be contacted so that they can carry out an appropriate investigation and advise if any action is required by either them, or the premises owner. If the building has a private water supply, the local authority should be contacted to carry out a private water supply risk assessment, if this has not been done already.

Any new water system will require, as a minimum, flushing and disinfection before being brought into use, and larger more complex systems may also require disinfection (as specified in BS EN 806 and BS 8558). This involves adding chlorine dioxide, drawing it throughout the system and leaving it for a specified time (the contact time) to take effect. It is important to monitor the levels of residual chlorine at selected outlets to ensure the minimum required concentration is maintained throughout the contact period.

The building commissioning process should consider the size and complexity of the water system. A new, correctly designed and installed water system should provide wholesome water at every outlet and where there are problems, the design or installation defect should be identified and rectified.

If water turnover is anticipated to be low initially, it may be advisable not to commission certain parts of the system, such as cold water storage tanks, until the building is ready for occupation. This will ensure flushing during low use periods will draw directly on the mains supply rather than intermediate storage. The manufacturer of any component to be bypassed should be consulted for any requirements, such as whether it needs to be filled or can remain empty until it is

NB The current risk assessment and schematic drawing must be updated to take into account any changes.

17. Provision of Information and Training

It is important that people who work in or carry out work on buildings that contain water systems or those who supervise employees or contractors are properly trained.

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As per L8 guidance, those who are appointed to carry out the control measures and strategies should be suitable informed, instructed and trained. Competence is a product of sufficient training, experience, knowledge and other personal qualities.

The Council will ensure that staff involved in the management of water systems are provided with guidance and/or awareness training, during the course of their employment. The level of training will be determined by KKC according to the tasks the person is required to carry out in the normal course of their duties.

The Council currently provides Statutory Compliance Training which is free of charge and includes a session on the management of hot and cold water systems.

Training requirements will be reviewed and records of all training maintained in site log book.

What Type of Training

Kent County Council will provide the following training for the site personal responsible for carrying out monthly temperature monitoring, which will be carried out on site and be relevant to their onsite water systems:

Training for specific monitoring i.e. temperature testing, shower cleaning and flushing little used outlets, to be completed over three months, in three separate sessions. Training will be received by onsite personnel designated as a responsible person for carrying out monthly temperature monitoring by the specialist contractor.

- Session one - This includes the review of current risk assessment, current areas of risk and review any resultant works.

- Session two – This includes explanation of how to take and record temperatures, tank hygiene, shower cleaning and flushing little used outlets

- Session three – This includes the specialist contractor observing the responsible personnel conduct water hygiene duties to ensure best practice is met.

Personnel responsible for management of sites as well as internal KCC staff will be invited to attend the Council's free of charge Statutory Compliance Training in the Management of Hot & Cold Water Systems, that is held quarterly.

18. Management Reviews

The outcome of defects, non-compliance and any other issues relating to water systems will be reviewed. A representative from The Council and the Consultant, Contractor, TFM Contractor and Specialist contractor will meet every six months. Actions undertaken will be recorded where necessary and minuted at the meeting.

19. Revision, Monitoring and Audit

This policy will be kept under review by the Councils managing agent GEN2. It may also be amended when there is any significant change in legislation or best practice.

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All generic assessments and plans of work produced by contractors must be reviewed at intervals of not more than two years and following changes in legislation or best practice.

Risk assessments shall be reviewed immediately following any changes to the water system onsite, remedial works relating to the water system, changes in legislation or reports of issues raised

All such assessments and plans of work must be checked and modified to ensure that they are job/project specific.

The personnel responsible on site will report any serious breaches to the responsible person, who will monitor compliance with the policy. All other cases of non-compliance will be dealt with by the Compliance Manager.

All employees who are involved in the management of premises or the management of building and maintenance works shall monitor compliance with this policy within their area of responsibility.

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APPENDIX 1

Kent County Council

KCC Infrastructure Commissioning Team

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infrastructurequeries@kent.gov.uk

GEN²

Area FM Managers

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Area FM Manager – Victoria Shields
03000 422122 / 07725 759509
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Zone 2 Mid Kent
Area FM Manager – Melanie Cowley
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Zone 3 East Kent
Area FM Manager – Dianne Woodcock
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Dianne Woodcock@gen2.co.uk

Compliance Manager
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asbestos.enquiries@kent.gov.uk

Health and Safety

Health and Safety Advice Line
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healthandsafety@kent.gov.uk

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TFM Contractors

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Mid Kent

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midkenthelpdesk@amey.co.uk
midkentschools@amey.co.uk

East Kent

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eastkent.helpdesk@kier.co.uk
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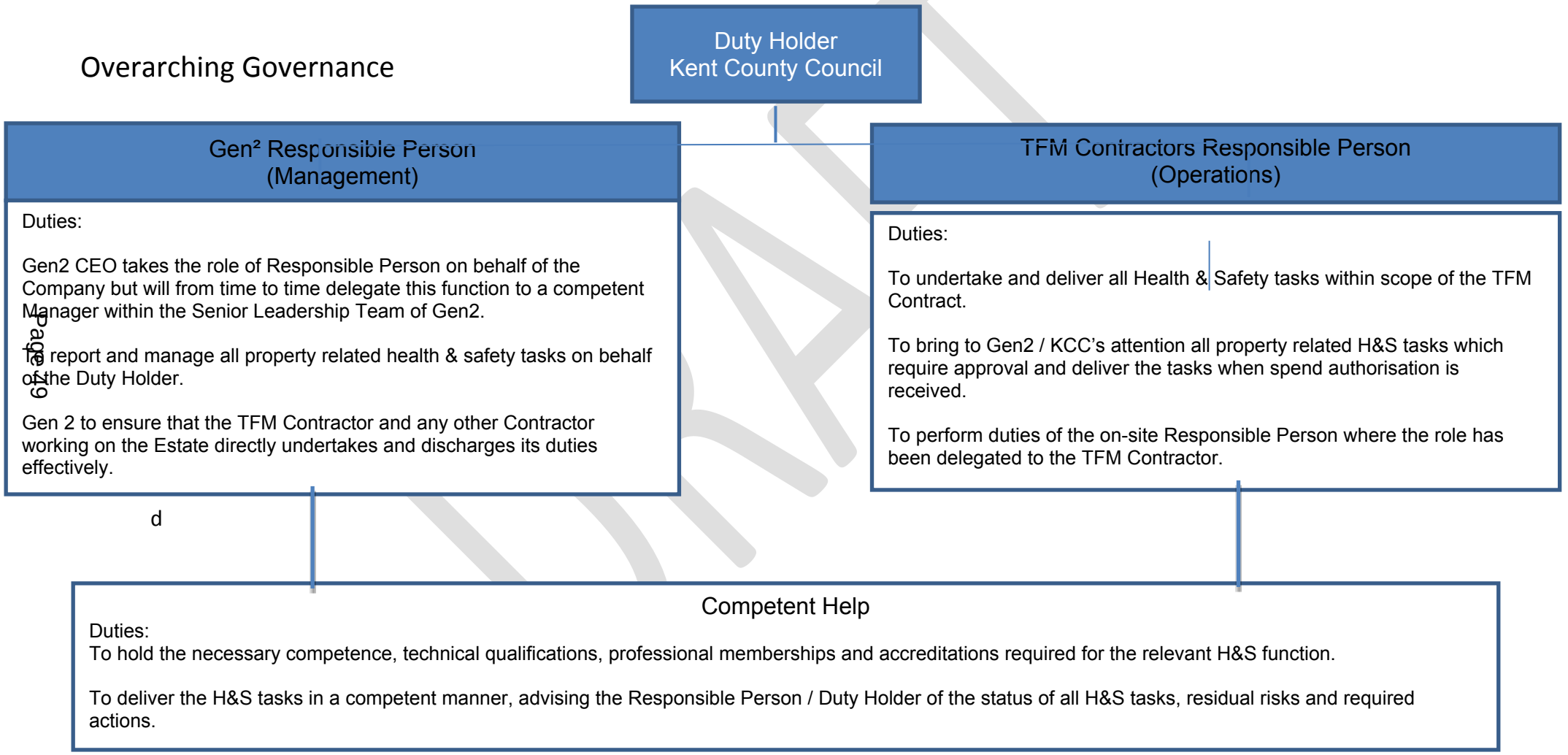
APPENDIX 2

Kent County Council and Gen² Health and Safety Roles and Responsibilities



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Appendix 3

Control Measures

There are many ways in which exposure to Legionella bacteria can be controlled and the complexity of controls will vary depending on the risks posed by any one system. The risk from exposure will normally be controlled by measures, which do not allow the proliferation of Legionella bacteria in the system and reduce exposure to water droplets and aerosol. Control measures will be as detailed in Approved Code of Practice (ACOP) L8 Fourth edition 2013 – The control of Legionella bacteria in water systems and HSG 274 (Parts 1-3)

Appendix 4

Risk of Scalding and Legionella Control Background

The Council is duty bound to provide water temperatures that do not exceed 43°C for showers and baths and where occupants are severely disabled. It is also recommended that hot water supplies to washbasins in Nurseries and Primary schools are limited to 43°C. This will be achieved by the installation of Thermostatic Mixer Valves (TMV).

The Health and Safety Executive (HSE) Health and Safety in Care Homes (HSG220) recommends that TMV's are fitted to reduce the water temperatures to below 43°C being discharged from taps where there is potential for whole body immersion (below 41°C for showers). It is particularly important that thermostatic mixing valves are maintained to the standard recommended by the manufacturer, as there have been fatal accidents where sites have not maintained valves adequately.

Overall there are numerous standards and guidelines produced for different environments and appliance that the Council are duty bound to apply to reduce water temperature, protecting the users and dealing with the Legionella risk.

Advice on how to deal with this issue

Even where TMV's are fitted supervision of bathing and suitable and sufficient risk assessment will need to be undertaken. The temperature of bathing water, etc. will need to be taken to ensure that the water is not too hot and does not present a scalding risk. As mentioned above, if the TMV has not been maintained correctly the chance of scalding is increased.

In elderly care facilities the risk assessments will need to take into account the vulnerability of all those who have access to the bathing facilities. The results of these assessments may be recorded in the individual service user care plans, which should include an assessment of their capabilities and should specify whether a service user is able to bath themselves unsupervised.

In establishments where TMV's are not fitted or other Legionella controls are not in place e.g. chemical dosing, the facility manager will need to conduct a risk assessment on the

bathing /washing activity. The risk assessment will need to examine the controls in place to prevent scalding, and issues like supervision for the vulnerable, temperatures of water, etc. will all need to be reviewed to ensure that they are appropriate. These measures will need to prevail and be monitored by management until the appropriate engineering controls are implemented e.g. fitting of TMV's.

The Facility Manager must not turn down the water storage temperature without first consulting with The Council's Legionella officers for advice. For those establishments with devolved budgets that do not wish to use the Council's Services, they will need to contact their Competent Person appointed for the control of Legionella on that site.

Appendix 5

Water Hygiene Contractors / TFM

The Council accepts that under the HSE Approved Code of Practice various tasks that need to be undertaken to minimise the risk can be contracted out to external specialists, therefore the council take all reasonable care to ensure the competence of the specialist providers to carry out the work on their behalf.

There are six critical areas that The Council and the responsible person should expect from prospective service providers.

Definitions

Water Hygiene Contractors / TFM are companies or individuals or their sub-contractors who are involved with providing:

- Advice
- Consultancy
- Operating, maintenance and management services
- The supply of equipment or chemicals

Client:

- The Council
- Owner or occupier of the building
- Person nominated to be the responsible person

Staff:

- Any person directly or indirectly employed in meeting the requirements of this policy.

Allocation of responsibilities:

The service provider will:

- Explain in detail the client's obligations under the Legionellosis legislation.
- Identify those services covered by the contract and those which should be provided in order to meet current obligations.
- Formalise an agreement detailing the respective responsibilities for each requirement

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Training and competence of personnel

The service provider will:

- Supply details of the training that is provided to their personnel associated with the control of Legionellosis
- Indicate how personnel competence is assessed, training needs are established, and what measures are taken to ensure that personnel are kept up to date with best practice procedures.
- Assist the council to assess and meeting needs of their staff.

Control measures:

- Indicate how the design, monitoring and maintenance of appropriate programme of control measures are assessed.
- Show how they audit preventive and corrective actions

Communication and management:

The service provider will:

- Detail the management systems which operate if the control programme deviates from specifications e.g. positive Legionella result, and show how these are audited.
- Indicate how they would communicate with the council in the event of any necessary actions.
- Inform the council of any significant matters affecting the control of Legionellosis of which they have become aware, beyond the responsibilities of their contract.

Record keeping:

The service provider will:

- Indicate which records should be kept by both parties and where they will be kept
- Establish with the council who will be responsible for the maintenance of these records.

Review:

The service provider will:

- Recommend a programme that will allow both parties to review formally all aspects of the agreement covering system management and the control of Legionellosis.

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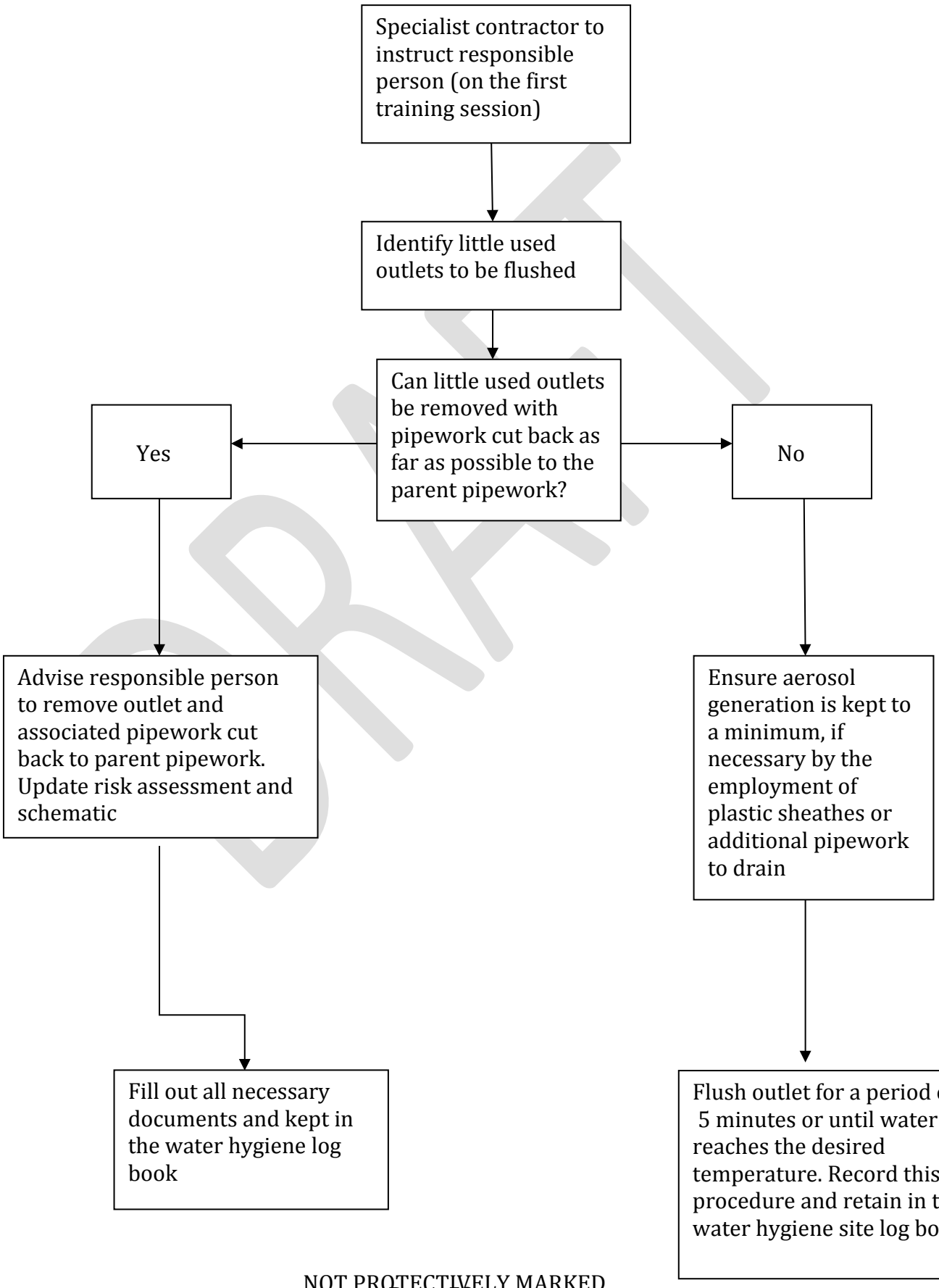
Appendix 6

Procedure for Flushing Infrequently Used Outlets



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Appendix 7

Legislation, Guidance and Standards

Health and Safety at Work etc. Act 1974 places general duties on employers and self-employed persons to ensure, so far as is reasonably practicable, the health, safety and welfare of all their employees, and persons other than their employees who may be affected by any of their undertakings. Employers must also ensure that the premises, and any plant or substance therein, are safe and present no risks.

Relevant legislation, guidance and standards to manage Legionella are set out below.

HSE Approved Code of Practice ACOP L8 (rev) ~ The control of Legionella bacteria in water systems. Provides technical guidance on the management of water systems for Legionella control.

BS 8580:2010 Water quality, Risk Assessments for Legionella control

Guide to the design, installation, testing and maintenance of services supplying water for domestic use within buildings and their curtilages. Provides recommendations for risk assessment for Legionella control in water system. The British Standard is aimed at all duty holders including independent risk assessors, managing agents and facility managers. The BS 8580 is designed to accompany the Approved Code of Practice document.

Control of Substances Hazardous to Health Regulations 2002 (as amended)

Apply to substances that are hazardous to health, including asbestos, and place specific responsibilities on employers, self-employed persons and employees. The regulations require a suitable and sufficient" assessment to be made of the risks and measures necessary to control substances hazardous to health arising from work. Employers are also required to maintain the control measures to provide information, instruction and training in relation to the risks and control measures; to monitor exposure of the employees to the substances and (where relevant) organise a health surveillance programme.

Water Supply (Water Fittings) Regulations 1999

With guidance from Water Regulations Advisory Scheme (WRAS) – provides an explanation of the water fittings regulations. Part of the WRAS guidance is provided in the Water Fittings and Material Directory which has information on materials which have been tested microbiologically and chemically and have been found to be appropriate for use with water systems.

Water Supply (Water Quality) Regulations 2000

Provides water suppliers with statutory limits on water quality with information on sampling, testing and monitoring frequency.

Private Water Supplies Regulations 2011

Provides private water suppliers with statutory limits on water quality with information on sampling, testing and monitoring frequency.

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Appendix 8

Written Scheme for Controlling the Risk of Exposure to Legionella Bacteria

This Written Scheme forms part of the Water Hygiene Policy of the Council and therefore applies to all premises and is issued in accordance with HSE Approved Code of Practice L8, and contains a summary of the requirements of the Council's' water management Policy.

(a) Schematic Diagram

The schematic diagram for the particular premises is contained in the water services log Book, Located at the premises. A further copy is held by the Legionella Officers.

(b) Description of the correct and safe operation of systems

The water services systems at The Council's premises operate under the following conditions of temperature:

- Cold Water storage cisterns: Below 20°c
- Cold water distribution <20°c
- Hot water storage: 60°c
- Hot water distribution: <60°c
- Hot water service return: 50°c or above
- Hot water to be heated before first draw-off takes place
- All outlets to be flushed unless used more frequently
- Hot water outlets with TMV set to 41°c + / - 2°as appropriate

Other plant and systems

Other risk systems shall be maintained in accordance with the manufacturers' safe and correct operating standards and The Council' Specific Safe Operating Procedures (SOP).

(c) Precautions to be taken

Water services, new and modified shall be in accordance with HSE ACoP L8, the British Standard 8558 Guide to the design, installation, testing and maintenance of services supplying water for domestic use within buildings and their curtilages and The Council Mechanical Technical Clauses appropriate to the contract.

Where people at risk of scalding are served by the hot water outlets, "fail-safe" thermostatically controlled mixing valves shall be used, positioned as close as possible to the hot water outlets, to reduce the hot water temperatures. Those people at risk of scalding include young children, the very old, and those with sensory loss.

The need for intermittently or infrequently used taps and appliances (particularly showers) will be identified by the risk assessment. If such taps and appliances are not necessary, the supplies shall be cut off close to the branch pipework to ensure that no blind end is formed.

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Showers and outlets that cannot be removed shall be flushed in a manner that removes the possibility of creating an aerosol. With flexible showers hoses, the spray head should be lowered temporarily into a bucket and the water run to drain without creating an aerosol. With high level fixed shower heads, the method should be to place a food grade plastic bag over the head and attach using a plastic band, a corner of the bag is then cut to allow the water to be discharged safely into the shower tray/outlet without generating an aerosol.

Appendix 9

Procedures for Vacant Premises

The KCC requirement for the management of vacant properties is as follows:

1. The Agent/Contractor shall undertake an initial Site inspection visit to determine the condition of the property and to ensure that the requirements of the KCC insurance policies are complied with. Where there is a shortfall in meeting these requirements, KCC shall be notified immediately and proposed corrective measures submitted for consideration.

2. The Agent/Contractor shall ensure that:

3. All reasonable precautions are undertaken to ensure that all windows and doors are made secure. Access doors are to be checked, strengthened as necessary and properly secured or boarded up as appropriate with 18mm plywood using non – return screws or coach bolts. Mortice locks to BS3621 or close shackle padlocks with matching bar are to be used on all external doors as appropriate.

4. All wet systems are to be drained down and the supplies turned off at the main supply point. It is preferable that wherever possible that the water supplies are permanently disconnected where this is feasible. The only exception to this is where sprinkler systems are fitted, in which case the water supply is to be maintained and the premises heated to a minimum temperature of 50C at all times.

5. *A copy of the Legionella report to be located and the location of said register to be recorded. If appropriate, a copy of the register to remain in the building. A further copy of said register to be stored on the relevant premise file.*

6. Ensure that records are maintained and updated

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Appendix 10

WATER HYGIENE MONITORING SCHEDULE – Table 1

Frequency	Action	Responsibility	
1. Weekly	Flush little-used outlets to drain without release of aerosols for 5 minutes. Record.	TFM / Site Responsible Person	
2. Monthly	Check water temperatures at Sentinel taps and record Hot Water > 50°C after 1 minute Hot Water < 43°C after 1 minute where TMV is fitted Cold Water < 20°C after 2 minutes	TFM / Site Responsible Person, Specialist Contractor	
3. Monthly	Check water temperatures at random selected outlets and record Hot Water > 50°C after 1 minute Hot Water < 43°C after 1 minute where TMV is fitted Cold Water < 20°C after 2 minutes	TFM / Site Responsible Person, Specialist Contractor	
4. Monthly	Check Calorifier temperatures. Flow 60°C, Return > 50°C. Record.	TFM / Site Responsible Person, Specialist Contractor	
5. Quarterly or as necessary	Dismantle, clean and de-scale shower heads and hoses. Record.	TFM / Site Responsible Person, Specialist Contractor	
6. Six Monthly e.g. January & July	Measure incoming water temperature to cold water cisterns and water temperature remote from float valve. Record.	TFM / Site Responsible Person, Specialist Contractor	
7. Annually	Open and inspect internal surfaces of HWS calorifiers for scale and sludge and clean or de-scale as necessary	Specialist Contractor	
8. Annually	Inspect Cold Water Cisterns and carry out remedial work as necessary. Record work done and report outstanding defects.	Specialist Contractor	
9. Annually	Physically inspect the hot and cold water systems and check accuracy of Schematic drawings. Note changes. Check for under used fittings and report recommendations	Specialist Contractor	

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Remedial actions to be taken

The expected results of the checks set out in Table 1 (Page 33), and the actions to be taken in the event of non-compliance, are listed below under the reference number for each check

1. No reporting appropriate

2. Temperature at Sentinel taps should be within the range and times stated. Record discrepancies and report to responsible person or use other reporting methods.

3. Temperature at random taps should be within the range and times stated. Record discrepancies and report to responsible person or use other reporting methods.

4. Temperatures at Calorifiers should be within the range stated. Record discrepancies and report to responsible person or use other reporting methods.

5. Responsible Person. If Shower heads and hoses cannot be cleaned or de-scaled effectively, call in Specialist Contractor

6. Temperatures at incoming mains and storage tanks should be below 20°C in all cases. Record discrepancies and report to responsible person or use other reporting methods.

7. Water from calorifier drains should be clean and free from visible debris. Record discrepancies and report to responsible person or use other reporting methods.

8. Calorifiers should be clean internally and free from sludge or heavy scaling. Record discrepancies and report to responsible person or use other reporting methods for further investigation and remedial action.

9. Report discrepancies between the Schematic drawing and the physical arrangements of Water services found on site to responsible person or use other reporting methods.

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By:	Ben Watts, General Counsel (Senior Information Risk Owner)
To:	Policy and Resources Cabinet Committee – 16th March 2018
Subject:	**SENIOR INFORMATION RISK OWNER UPDATE**
Classification:	Unrestricted

Summary: This report provides an update regarding the implementation of forthcoming Data Protection legislation

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.
3. Information governance is about electronic and paper based information, about how it is held, used and shared. 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.
4. 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.
5. Issues and updates relating to information governance are reported to Policy and Resources Cabinet Committee and Governance and Audit Committee as appropriate.

The General Data Protection Regulation (GDPR)

6. Members have previously been advised of the forthcoming General Data Protection Regulation (GDPR) which is intended to strengthen and unify data protection for individuals and will become applicable to Kent County Council and Members from 25th May 2018. It heightens the standards required as well as imposing new obligations.

7. 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.

8. 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.

9. The regulations allow for the ICO to impose administrative fines up to a maximum of 20 million Euros (approx. £18m) for infringements. The ICO, in recent months, have made it clear that they intend to proportionately regulate notwithstanding their new and increased powers.

10. To prepare for the legislation, officers across the council have been looking at the readiness of directorates for the necessary changes. A number of discussions have taken place at CMT and in the autumn, Corporate Directors nominated officers who have been taking the lead for their directorate in developing readiness for GDPR.

11. We are currently amending and changing the council's policies in the light of guidance now received from the ICO and these will all be in place in the coming weeks.

12. It must be remembered that the organisation has not allocated additional resource to deliver this significant change and officers are delivering in addition to their "day jobs". Similarly, some of the regulation is predicated without an understanding or reflection on the type and nature of some of the historic data that KCC holds.

13. It has been agreed that the council would adopt a proportionate response to compliance with GDPR and this will mean that work will continue past the implementation date. As part of our learning culture, we will continue to reflect on decisions by the ICO and develop and amend our policies as the regulation begins to be enforced.

14. Staff from Governance and Law 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. Further updating of staff and Members will be taking place over the next 12 weeks with weekly updates on the necessary steps and preparation ahead of May.

16. 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 was an overview of GDPR and the repercussions of this new legislation on Members and for the County Council which took place on 2nd November 2017. Further training is being arranged immediately after the Easter recess.

17. Implementation of GDPR is in 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 Lauren McCann, Principal Solicitor. Corporate Management Team, individual Corporate Directors and Directorate Management Teams continue to receive regular strategic updates from the SIRO and Project Manager.

18. An officer working group was established in the autumn with representation from across the organisation and has been meeting fortnightly to work through the project plan to follow and implement the ICO guidance notes and to achieve readiness. Intensive work continues and the hard work and support of all officers is appreciated.

19. Officers from KCC are supporting colleagues across the county in the renegotiation of the Information Sharing Agreement that underpins much of the multi-agency work in Kent and which is being refreshed ahead of May.

20. GDPR requires organisations such as Kent to appoint a Data Protection Officer. This role The DPO's minimum tasks are defined in Article 39:

    a. To inform and advise the organisation and its employees about their obligations to comply with the GDPR and other data protection laws.
    b. To monitor compliance with the GDPR and other data protection laws, including managing internal data protection activities, advise on data protection impact assessments; train staff and conduct internal audits.
    c. To be the first point of contact for supervisory authorities and for individuals whose data is processed (employees, customers etc).

21. Given the overlap between the responsibilities of the General Counsel role and statutory Monitoring Officer and the fact it replaces most of the current SIRO role, it is proposed that this be added to the General Counsel role profile. Formal steps around this proposal will be taken through relevant committees ahead of May.

Update on Information Governance Training

22. Members of this committee will be aware that officers are required on a mandatory basis to complete training on Data Protection and Information Governance. This mandatory training requirement has been extended to include GDPR and all officers will be required to undertake the training.

23. Given the enhanced obligations placed on KCC by GDPR, it is the view of the Monitoring Officer that consideration should be given to Members also being required to complete the training that is mandatory for staff.

24. The training is an online and interactive course that can be undertaken via the KCC intranet.

25. Ahead of further discussions at Selection and Member Services Committee and County Council, Members of this committee are asked to comment on the suggestion that Members be required to complete the training.

Recommendations

26. It is recommended that Members **NOTE** the report and **COMMENT** on the suggestion that Members should also be required to complete the mandatory information governance, data protection and GDPR training.

From: Paul Carter, Leader and Cabinet Member for Traded Services and Health Reform

Peter Oakford, Deputy Leader and Cabinet Member for Strategic Commissioning and Public Health

Susan Carey, Cabinet Member for Customers, Communications and Performance

Eric Hotson, Cabinet Member for Corporate and Democratic Services

John Simmonds, Cabinet Member for Finance

Richard Long, Cabinet Lead for Traded Services

David Cockburn, Corporate Director Strategic and Corporate Services and Head of Paid Service

To: Policy and Resources Cabinet Committee, 16th March 2018

Subject: Strategic and Corporate Services Directorate Business Plan 2018-19 (Draft)

Classification: Unrestricted

Past Pathway of Paper: N/A

Future Pathway of Paper: N/A

Summary: This report provides the draft Strategic and Corporate Services Directorate Business Plan (2018-19) for consideration and comment, prior to approval by Cabinet Members and publication online in April 2018.

Recommendation(s):

The Policy & Resources Cabinet Committee is asked to:

(1) **Consider and comment** on the draft Strategic and Corporate Services Directorate Business Plan (2018-19).
(2) **Note** that the final Directorate Business Plan will be published online in April 2018.

1. Introduction

1.1 The Strategy, Policy, Relationships & Corporate Assurance division is responsible for coordinating the annual business planning process. The directorate business planning approach for 2018-19 was agreed by Cabinet Members in December 2017**.**

1.2 Directorate Business Plans play an important part in reflecting how each directorate will support the achievement of the County Council's five-year Strategic Statement "*Increasing Opportunities, Improving Outcomes*".

1.3 Within the Strategic and Corporate Services Directorate, Cabinet Members, the Corporate Director and the Directorate Management Team have taken strong ownership of the development of a draft Directorate Business Plan, with appropriate support from the policy team and divisional business planning leads. A draft directorate plan has been developed, which incorporates the feedback received to date, including feedback from Cabinet Members with portfolios relevant to the directorate.

1.4 The business planning process has evolved over the past few years to support the organisation in its move to becoming a strategic commissioning authority. All directorate business plans take a rolling three-year approach to its priority setting and commissioning activity, building on the previous year's plan.

2. Strategic and Corporate Services Directorate Business Plan

2.1 The draft Strategic and Corporate Services directorate business plan is set out in **Appendix 1**. This provides the Cabinet Committee with the opportunity to comment before final changes and approval by Cabinet Members. It is intended to publish all the final directorate business plans on Kent.gov in April 2018.

2.2 The draft directorate business plan includes an executive summary for easy reference to the new priorities for 2018-19. As a rolling plan, the priorities are divided into short term, medium term and business as usual priorities, to reflect the directorate's role in providing corporate support for frontline services, ensuring the council is well placed to meet its statutory duties and enabling significant business change.

2.3 The plan features a short report on progress towards last year's priorities and consideration of the opportunities and challenges of our rapidly changing operating environment. This year separate tables are included on significant service activity (including forthcoming key decisions and new policy/strategy development) for the coming year and significant commissioning activity for the next three years. This information will influence forward agenda planning and supports the new Commissioning Success model.

2.4 The resources information will be updated prior to final publication to ensure it reflects the latest budget and staff information.

2.5 The business plan includes information on Key Performance Indicators (KPIs) and Activity Indicators and, wherever possible, there is an explicit link between the KPI's and the directorate priorities or to core business (business as usual). An important principle is that there is consistency with the targets with the Quarterly Performance Report and Directorate Dashboard. The performance information will therefore be updated once the final performance returns from Quarter 1 of 2018-19 are available.

2.6 We welcome the opportunity for the Cabinet Committee to consider and comment on the draft content, and wherever possible we will reflect this feedback in the final version of the document.

3. Next Steps

3.1 The final directorate business plan will be developed for approval by Cabinet Members, prior to being published on Kent.gov.uk in April 2018.

3.2 Divisional business plans will continue to be made accessible to elected members and staff in a single area of KNet from May 2018. This allows sharing of good practice and provides members with the opportunity to see the detail of service delivery in areas of particular interest.

3.3 The Strategy, Policy, Relationships & Corporate Assurance division will then review the effectiveness of this year's business planning approach during summer 2018, in order to make improvements for the following year.

4. Recommendations

4.1 The Policy & Resources Cabinet Committee is asked to:

(1) **Consider and comment** on the draft Strategic and Corporate Services Directorate Business Plan (2018-19).
(2) **Note** that the final Directorate Business Plan will be published online in April 2018.

Appendices:
Appendix 1: Strategic and Corporate Services Business Plan 2018-19 (Draft)

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Strategic and Corporate Services

Directorate Business Plan (2018-19)

DRAFT v.6 for Policy and Resources Cabinet Committee 28.02.18

Strategic and Corporate Services Directorate Business Plan 2018-19

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NB: designed front and back cover to be included following Cabinet Committee

A. Executive Summary

The Strategic and Corporate Services directorate continues to deliver high quality and cost-effective core services which support frontline service delivery and achieve better outcomes for our residents and customers.

The directorate supports the political and managerial leadership of the council to set our strategic direction and enables the organisation to deliver it, responding to external challenges including financial pressures and changes in our operating environment.

We continue to progress towards becoming a strategic commissioning authority – embedding our traded service arrangements, ensuring effective governance and assurance processes and facilitating extensive business change across the Council. We will embed our 'Commissioning Success' strategic commissioning operating model, building capability and working jointly with service directorates to deliver agreed commissioning programmes.

Our directorate plays a significant role in providing corporate support services and ensures the council is well placed to meet its statutory and regulatory duties. We also play an important community leadership role on safeguarding activities to protect vulnerable children, our corporate parenting responsibilities and supporting services to deliver our statutory Prevent and Public Sector Equality duties.

This business plan sets out our annual priorities as part of a rolling three year plan, which will enable the directorate to lead by example and support the whole organisation to deliver significant change.

Strategic and Corporate Services Directorate Priorities 2018-19

Short Term Priorities

1. Modernise KCC's constitution and Member services to reflect the changing organisation and ensure that decision making remains lawful, reasonable and proportionate.

2. Ensure the Council is compliant with the General Data Protection Regulations from May 2018, updating relevant policies and procedures and with business information governance support provided including mandatory information governance training.

3. Respond to the Hackitt review to ensure we are well placed to fulfil our statutory building regulation and health and safety responsibilities.

4. Embed the Strategic Commissioning co-designed operating model and develop a deep capability in commercial leadership and judgement, evidence based decision making, and performance reporting and analysis, to best execute commissioning programmes as agreed with Service Directorates and strengthen contract management.

5. Maximise opportunities to increase apprenticeships, including attracting more young people into public services across Kent, through the Apprenticeship Levy.

6. Develop effective holding company governance and mature delivery model arrangements to ensure they can successfully and sustainably deliver, holding providers to account, maximising income generation and building strong relationships.

Medium Term Priorities

7. Develop a detailed understanding of spend and cost analytics alongside improving procurement and contract management practice to help ensure delivery of value for money.

8. Drive customer service improvements and service resilience across the authority, in our strategic relationships and through our supply chains, informed by robust intelligence, engagement and consultation.

9. Delivering our ICT, HR, OD and Asset strategies and change programmes to provide a platform for service transformation, embedding cultural change and co-design principles into our new delivery models including the Strategic Commissioning operating model, so that we are using our resources in the most effective way.

Business As Usual Priorities

10. Engage early and provide timely, evidence based advice to protect the authority's best interests with robust governance and assurance processes. Taking a flexible approach that is responsive to changing business needs and allows responsible risk-based decisions to be taken by officers and Members.

11. Lead on the revenue and capital budget process to identify savings targets for the Authority and continue to provide robust advice and challenge to budget managers to facilitate accurate forecasting and enable solutions to be found.

12. Continuous improvement of services commissioned to meet public health requirements, and delivery of key health protection and promotion advice to the public sector and the people of Kent.

13. Support the creation and effective operation of a joint Health and Wellbeing Board between KCC and Medway Council, and provide advice and support on the Sustainability and Transformation Partnership for Kent and Medway.

14. Support the Council to respond effectively to changes in our operating environment including the Children and Social Work Act 2017, lobbying government for a fair financial settlement for counties and consider implications of Brexit.

B. Corporate Director's Foreword

David Cockburn

Corporate Director, Strategic and Corporate Services

Head of Paid Service

I am accountable for the overall management of and service delivery within the Strategic and Corporate Services directorate. I ensure that our teams continue to deliver good quality services using KCC's resources carefully and to best effect. The directorate has both statutory and non-statutory duties to discharge and it is my responsibility to ensure that services respond rapidly and effectively to continuously changing needs, demands and pressures. I also have a shareholder oversight role for Kent County Council's wholly owned companies.

Our core business

The Strategic and Corporate Services directorate continues to successfully deliver quality support for frontline services and facilitate extensive business change. Working closely with our political leadership and service directorates we ensure that the council is improving outcomes for our customers, residents and diverse communities in line with the authority's strategic statement.

We provide high quality advice and support, that is flexible, proportionate and responsive to changing business need. Our contribution is key in ensuring that KCC's wide ranging services are resilient and supported to perform through continued periods of change.

The financial picture for local government continues to present substantial challenges for Kent County Council and our directorate plays a crucial role in responding to the associated budgetary and demand pressures. We lead the revenue and capital budget process, building on our strong track record of financial management to secure substantial budget savings through the Medium Term Financial Plan.

We continue to drive a focus on our strategic outcomes through the Strategic Statement Annual Report, our Equality Objectives and make strong progress towards becoming a strategic commissioning authority.

I consider our staff to be our most important asset in terms of core business delivery and continue to welcome input from our teams in terms of how we continue to deliver services better, add value and be more innovative.

Short term priorities

With fast paced national policy development, regulatory change and service innovation in mind, it is important that the directorate has a clear focus on short term priorities which will be critical for KCC and our partners. A collaborative corporate approach will be important to drive forward the delivery of substantial business change.

A significant short term priority will be to prepare for the introduction of General Data Protection Regulations from May 2018 through refreshing our policies, procedures and mandatory training and providing governance support. We will also review the Hackitt report to address its findings and continue to fulfil our statutory building and health and safety responsibilities. We will provide policy support for national developments including the Children and Social Work Act 2017, the forthcoming Health and Social Care green paper and consider the implications from Brexit to enable the council to respond effectively.

The introduction of the Strategic Commissioning function in 2017 provided a step-change in the authority's strategic commissioning approach. The focus for 2018 will be working collaboratively with service directorates to embed the Commissioning Success operating model quickly and take shared responsibility in delivering our strategic outcomes. We will provide strong capability across the three key functions of commercial leadership and judgement, evidence based decision making, and performance reporting and analysis. We will also continue to drive improvements to our procurement and contract management practice, developing a greater understanding of spend and cost analytics to secure best value for money for the authority.

The inclusion of Public Health within Strategic and Corporate Services will enable health and wellbeing to be put at the heart of everything we do, helping people to lead healthier lives both mentally and physically. In addition to the provision of statutory requirements Public Health's integration into the Strategic Commissioning division will support the improvement of care quality through robust commissioning and intelligent use of public health data.

We will ensure that there are effective governance and assurance processes throughout the authority by updating KCC's constitution and governance arrangements to reflect the council's position, protect the authority's best interests and inform decision making. This year we plan to explore the potential for a new overarching governance model for our wholly owned companies which will build on learning in this area so far and ensure KCC maximises value from its traded services.

Continued focus

Greater partnership working will enable Kent to respond to the financial, demand and operational challenges we face and take advantage of the opportunities integration creates. We will continue to support the integration of health and social care, through providing advice to health partners, contributing to the delivery of Kent and Medway's Sustainability and Transformation Partnership, and progressing the creation and effective operation of a joint Health and Wellbeing Board between KCC and Medway Council.

Following the implementation of innovative alternative service delivery models, the forthcoming year offers an opportunity to further embed these changes and mature our client side arrangements to develop the sustainability of our services, maximise our income generation, and explore potential markets.

Our People Strategy recognises that our staff are our most important organisational asset and we continue to support a healthy and engaged workforce with the skills, training, technology and capabilities for the future. Our business change programme will ensure changes to systems, cultures and approaches across the organisation utilise our workforce and technological capability to more effectively and efficiently achieve our strategic

objectives. The directorate will also focus on developing our leadership and management capabilities and champion the Leadership Strategy across the council.

The year ahead will be a challenging but exciting one for the Strategic and Corporate Services directorate, by working together and further building on our successes and existing practice we are in a strong position to continue our progress and maximise significant opportunities.

C. Directorate role and purpose

The Strategic and Corporate Services directorate provides high quality and cost-effective core services which support frontline service delivery, drive income growth and deliver better outcomes for our residents and customers. We continue to make strong progress towards becoming a Strategic Commissioning Authority, enabling extensive change across the organisation and embedding the 'Commissioning Success' Strategic Commissioning operating model. Our directorate ensures the council is well placed to meet its statutory and regulatory duties.

Our divisions

Engagement, Organisation Design and Development

Corporate Director: Amanda Beer

Responsible for employment practice and policy, organisation design and workforce development, health and safety, and the communications, customer and engagement function for the authority. The division holds the client side responsibility for Contact Point and Digital Services provided by Agilisys.

Finance

Corporate Director: Andy Wood

Responsible for KCC's finance operations and financial planning, policy and strategy. This includes statutory responsibilities for the Chief Financial (Section 151) Officer, setting a balanced budget, delivering the Medium Term Financial Plan and producing the financial accounts. Other functions include internal audit and external contracts for financial services for other public sector bodies.

Governance and Law

Director: Ben Watts

The General Counsel is responsible for the council's approach to corporate governance and ensuring that the actions of the organisation are lawful. In addition to providing corporate legal advice and assurance, the role includes commissioning legal services for the authority, developing and maintaining the governance of the council's traded companies and statutory roles of Monitoring Officer and Senior Information Risk Owner. Responsibilities also include providing Democratic Services support to elected Members, the electoral process and managing requirements around information governance and transparency. The division holds the client side responsibility for Invicta Law which provides legal advice and services to KCC, public bodies and other local authorities.

Infrastructure

Director: Rebecca Spore

Responsible for the infrastructure required to support frontline service delivery and developing solutions to enable new ways of working and service transformation through the delivery of KCC's ICT Strategy and Asset Management Plan. This includes technology and property commissioning and strategy, and strategic infrastructure partnerships and programmes relating to technology and property assets. The division is also responsible for ensuring our statutory building regulation and health and safety responsibilities are met and the delivery of internally commissioned operational ICT, HR and Finance services from the Business Service Centre.

Strategic Commissioning

Strategic Commissioner: Vincent Godfrey

Responsible for leading and shaping commissioning activity in order to improve outcomes through the best use of our resources. The division provides commissioning capability in public health, commercial leadership and judgement, evidence based decision making, and performance reporting and analysis. The division brings together a range of activities across the commissioning cycle to ensure a disciplined and consistent approach.

Public Health

Director: Andrew Scott-Clark

KCC has a duty to take steps to improve the health of the people of Kent. The Public Health function is integrated within the Strategic Commissioning division. Responsibilities include the provision and commissioning of statutory and non-statutory services that aim to improve and protect the health of the population and the provision of prevention and health protection advice and leadership to the public sector and people of Kent. With partners, Public Health seeks to promote and deliver actions across the lifespan to improve the overall health and wellbeing of residents and to reduce inequalities in health.

Strategy, Policy, Relationships and Corporate Assurance

Director: David Whittle

Responsible for preparing KCC to meet the future agenda and challenges through medium term planning, policy development, building strategic relationships, leading the equality and corporate risk strategies and providing corporate assurance on major programmes and projects.

More detail on the responsibilities and activities of each division is available in our Divisional Business Plans on KNet.

Our traded services

The directorate has robust governance and client side arrangements in place to ensure our traded services effectively meet business requirements and provide good value for money by generating income for the benefit of the whole authority. Each traded service has their own independent, commercial business plan, which is separate from our internal business planning framework. The directorate facilitates and supports the governance arrangements that allow the organisation to hold these businesses to account as a shareholder against their business plans and promises made. Throughout the coming financial year, this will also include further support, training and advice as the council's role as shareholder in these businesses develops alongside changes to the council's own governance, to reflect the changing role that KCC has as shareholder and commissioner.

Business Service Centre (BSC)

The BSC was established in April 2015 and is commissioned by client teams in Infrastructure, EODD and Finance divisions against outcomes-based Service Level Agreements (SLA's) for each service. Following a Cabinet decision in February 2018, we will progress an arm's length trading vehicle for the BSC, from which KCC will commission transactional Finance, HR and ICT services. A shadow governance structure is currently being implemented alongside further development of future arrangements ahead of a final decision in May 2018 for 'go live' on 1st July 2018.

Commercial Services

Commercial Services is an established trading platform providing services to a range of sectors such as energy, recruitment, education supplies, landscape, waste and inspection services. The company structure maximises opportunities for future business growth, providing significant dividends to KCC and support Kent's economy through wider supply chains. KCC, as the 100% shareholder, exercises its authority through a Shareholder Board, supported by Commercial Services Boards, Audit and Remuneration Committees.

GEN^2 Property

In May 2016 GEN^2 Property, a Local Authority Trading Company (LATCo), was established to provide property services. It is a limited company that is wholly owned by KCC with the ability to drive greater value contracts with the public and private sector, with its own shareholder board. It is commissioned through the Infrastructure division to deliver KCC property services via a Service Level Contract (SLC) and Annual Delivery Plan. GEN^2 provides professional property, capital project and contract management services. Its focus is to increase income from new markets and deliver cost reductions from new commercial solutions.

Invicta Law

Invicta Law is registered as an Alternative Business Structures (ABS) company with Kent County Council as the sole shareholder. It was launched on 1 June 2017 and has a 10-year contract to provide the council's legal work alongside significant opportunities to grow its customer base. KCC has retained the General Counsel function to support the Council internally and the Governance & Law division, supported by the Strategic Commissioner, holds the client side responsibility for the contract with Invicta Law.

Other

We support a variety of partnerships, including Kent Leaders, Joint Kent Chiefs, Kent Connects and Kent Estate Partnership, and play a community leadership role on shared partnership agendas such as safeguarding children, corporate parenting and Prevent.

Business Change Programme

The projects and programmes previously featured in the Business Capability Portfolio have been 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.

Equality

The directorate takes a leading role to ensure that the Public Sector Equality Duty is met through our internal governance processes. Our divisional business plans define the specific activity against which we will report progress to reach the Equality Objectives agreed in KCC's Equality and Human Rights Policy. Our annual Equality and Diversity Report provides a position statement for services within each directorate and progress update in delivering KCC's Equality Objectives.

D. Progress on the 2017-18 directorate priorities

In 2017-18 we identified 11 key collective priorities for the whole ST directorate. Over the last year we have made significant progress towards achieving these priorities, which is summarised below. Many continue to be highly relevant and have influenced our priorities for 2018-19, as part of our rolling 3 year plan.

1. Provide professional, high quality and cost effective services which support frontline service delivery, drive income growth and deliver better outcomes for our customers.

- We have continued to embed our commissioning processes with GEN[2], BSC and other providers to make sure that the best possible services are provided to our customers, supporting the delivery of frontline services, as well as providing the best attainable income growth and value for money for the authority as a whole.
- Progressing significant technology developments implemented through our Strategic Partnership with Agilisys, we have delivered customer service improvements, including:
  - A more resilient and stable Contact Centre telephony platform, reducing call drop-outs and the need for call backs, with 97% of calls to Contact Centre answered and 98% of callers rate their experience as good;
  - Continual optimisation of the Netcall facility, helping customers get to the right contact first time;
  - Extension of the Web Chat facility to our general contact web page, helping customers get their needs met on their preferred (online) channel;
  - Continuous improvement of our website customer experience for several services including Libraries, Public Health, Fair Access and Highways.
- Provided continued support for Public Health messaging and, in particular, the “Release the Pressure” campaign which provided a valuable preventative service to residents, thereby reducing demand on crisis management by frontline services. This successful campaign was subsequently purchased from KCC by other authorities.
- Delivered a restructure of our Finance division, achieving £1.7m savings and a more customer focused model.
- Our new commissioning success model has enabled the division to provide dedicated commissioning support to services in Adult and CYPE directorates.

2. Engage early and provide timely, evidence based advice to protect the authority’s best interests with robust governance and assurance processes. Taking a flexible approach that is responsive to changing business needs and allows responsible risk-based decisions to be taken by officers.

- We continued to support strong democratic governance, including the cross-party Commissioning Advisory Board, Select Committees, and Governance and Audit Committee.
- Internal Audit have provided assurance across the council including on major contracts and assurance plans, with recommendations made as appropriate.
- Launched the Anti-bribery policy in June 2017 to ensure council-wide compliance with the Bribery Act 2010.
- The creation of an Infrastructure Stakeholder Engagement group and customer survey are assisting in engaging early with business units to ensure that Infrastructure are able to provide support and enable business change.
- Health & Safety input to procurement and contract management across KCC and Alternative Service Delivery Models has helped ensure clarity of liability and a clear duty of care by all partners.

- We have provided information, advice and guidance on equality and diversity, supporting services with Equality Impact Assessments, responding to issues and ensuring the council best meets our Public Sector Equality Duty and equality objectives.
- We have continued to develop the Risk Management Framework for the authority, including implementing a new risk management system with enhanced functionality to aid improved risk analysis.
- Provided a supportive and proactive corporate assurance model which has provided advice on business case development and project and programme management, including assurance on major transformation programmes.

3. Modernise KCC's constitution and the way in which it is used as a rolling document to reflect the changing organisation, ensuring that decision making remains lawful, reasonable and proportionate.

- We have made preparations for updating KCC's constitution, advising Members on the necessary changes to ensure it reflects the changing organisation and supports effective decision making.
- Reviewed how KCC's modernised constitution can best support robust approaches for concluding contracts.
- Ensured the revised constitution reflects the new responsibilities of the Head of Paid Service.
- Progressed revisions to the constitution, ahead of approval at County Council in 2018.

4. Continue to provide robust advice and challenge to budget managers to facilitate accurate forecasting and enable solutions to be found.

- We have continued to provide advice and challenge to budget managers on an ongoing basis, providing greater additional support where required.
- Maintained our ongoing collaboration across KCC to meet our financial challenges and are working with services to develop solutions for specific activity based budgets.
- Collaborative working between Finance and SPRCA to develop a greater understanding of statutory responsibilities and demand informed the development of 2018/19 budget options.

5. Through the delivery of our ICT Strategy, HR change programmes and Asset Strategy, provide a platform for change as we move to new models to support service transformation and ensure that we are using our resources in the most effective way.

- Our joint working across the directorates has continued with further rationalisation of the property estate and the completion of the first phase of the new ways of working programme, supported by the cross-directorate Infrastructure Stakeholder Engagement group.
- Developed a refreshed Asset Management strategy for 2017-2022 which sets the framework for managing our property portfolio over the next 5 years.
- Developed effective governance to lead the business change programme bringing together ICT, Property and People programmes. This has facilitated the introduction of new enabling technology, such as moving applications and storage to the cloud, introduction of Skype for Business, the Windows 10 TRP refresh as well as working with Servelec to implement the new Swift system.
- Encouraged engagement in change through health and safety Management Standards exercises, provision of DSE Champion workshops for faster response to workstation design issues and promotion of flexible work arrangements as part of healthy workplace.

- Led a KCC-wide review of leadership and management development, including consultation and development of a Leadership Strategy to build leadership capability across KCC.
- Complementing the Leadership Strategy, we have developed a new Leadership Academy approach (HIV) to support talent management, succession planning and increase capability to management change and developed and agreed a revised Kent Manager for 2018/19.
- Re-tendered and commissioned a new learning management system for KCC with successful implementation and transfer of all e-learning. Further developments have been planned which will continue into 2018/19 including bringing all development into a single system and development of individual development plans and pathways.
- Reviewed KCC's Directors' OD and strategic OD Group structure to support the implementation of Organisational Development across Directorates, develop improved two-way relationship with Directorate OD Groups and ensure central OD budget continues to support KCC's strategic priorities and directorate requirements.

6. Support the continued development of our new delivery models, holding providers to account, maximising income generation and building strong relationships.

- Continuing review and development of our delivery model with Gen^2. This includes the development of robust procedures to enable us to hold our delivery partner and contractors to account in relation to delivery and performance, providing assurance to the authority that they are getting value for money as well as maximising all possible income streams.
- Developed a business case for the creation of an arm's length trading vehicle for the BSC, from which KCC would commission transactional Finance, HR and ICT services. Following a Cabinet decision in February 2018, shadow governance and future arrangements are being developed ahead of a final decision in May 2018 for go live on 1st July 2018.
- Providing advice and support to our new and existing companies, building relationships and challenging where appropriate.
- Successful launch of Invicta Law as an Alternative Business Structures (ABS) company in June 2017 with a 10-year contract to provide the council's legal work.
- Effective EODD support, including HR, to the design, implementation and ongoing support of Invicta Law, BSC, and The Education People.
- Providing democratic service support to the Governance & Audit and Policy & Resources sub-committees, looking at contract management and traded service arrangements.

7. Establish a new Strategic Commissioning function so commissioners are supported by a deep capability in commercial leadership and judgement, evidenced based decision making, and performance reporting and analysis. A review will be undertaken and implemented to best consolidate and rationalise data collection, analysis and reporting. Delivering both value for money and social value will be intrinsic to the new function.

- Launched the new Strategic Commissioning division in April 2017 bringing together functions across the commissioning cycle.
- Successfully integrated Public Health as an integral part of the Strategic Commissioning division and enhancing analysis through the Public Health Observatory.
- We have worked across KCC to complete a range of analyses including for the STP, improve data quality and governance arrangements, and worked with key partners in the NHS to make the KID a mainstream tool for the health and social care economy.

- Developed Commissioning Success to facilitate a new operating model and structure for the Strategic Commissioning division.
- Continuing to progress co-design discussions with service directorates to inform the future strategic commissioning operating model.
- Progressing a programme of contract reviews to enhance the discipline and quality of contract management across the authority.

8. Develop the new Kent Health and Wellbeing Strategy, which aligns with the delivery of the Sustainability and Transformation Partnership for Kent and Medway.

- We have advised the local authority to inform decision making, governance arrangements and relationship management in relation to the Kent Health and Wellbeing Board.
- Directly supported the Health and Wellbeing Board to ensure its statutory responsibilities are met.
- Worked with partners to develop a Kent and Medway Joint Health and Wellbeing Board which will have regard to local care and prevention.
- Provided support from across the directorate to advise Members and officers on the various Kent & Medway Sustainability and Transformation Partnership workstreams and support emerging health agendas.
- Co-ordination of expert advice, through the Strategic Health and Wellbeing Group, on the health of KCC's workforce and the wider Kent community. As a major employer, this is an important aspect of contribution.

9. Drive customer service improvements and service resilience across the authority, in our strategic relationships and through our supply chains.

- Robust forward planning is in place for the management of advice, guidance and support for the development of consultation activity, continually improving mechanisms for residents to have their say.
- Our Infrastructure Stakeholder Engagement group and customer survey of the service that infrastructure provides has provided important feedback and a baseline of the service. The results of which have been analysed and shared with our stakeholders. Action plans have been developed for areas of improvement and are being taken forward by Business Partners and IMT.
- Through policy development, training and the roll out of an in-house system for recording customer feedback we are supporting continuous improvement in the management and learning from compliments and complaints.
- Developing the new KCC Health and Safety policy statement to deliver our statutory duties and enhance compliance, including senior management health and safety training across the authority.
- Supporting senior managers to be fully aware of their business continuity and service resilience responsibilities, including activities such as the Challenger 'prepare' workshop and briefings on cyber security.
- Provided a robust organisational response to support DCLG's safety checks following the Grenfell Tower tragedy including testing of cladding materials and undertaking a comprehensive Fire Safety Audit.

10. Maximise opportunities to increase apprenticeships in Kent through the Apprenticeship Levy.

- We have actively promoted apprenticeships within KCC and the wider county including through communications and supporting the Made in Kent campaign which offers the opportunity for young people to experience an interview with an employer and create an action plan.
- Working with services, we have progressed the commissioning and placement of development frameworks.
- We continue to monitor and report on numbers of apprenticeships in KCC (including schools) and drive activity to reach and exceed our apprenticeship targets.
- Supported maximum draw down from the Apprenticeship Levy through our involvement in Trailblazer activity and initially focusing on conversion of existing staff to apprenticeship roles.

11. Continue to implement our Prevent duty ensuring all staff have the skills and knowledge they need.

- We have re-designed and delivered Prevent eLearning and continue to promote the mandatory training alongside monitoring/reporting of completion rates which are currently at 95%.
- We have supported staff briefing events and materials produced in support of our Prevent duties, ensuring all staff have a good level of awareness about the requirements of the Local Authority and partners.
- DivMTs have received Prevent updates as appropriate, with a commitment to cascading relevant information to staff.
- We have embedded arrangements as business as usual following participation in a national pilot to take on new responsibilities for the Channel process working closely with the Home Office and Kent Police.

E. Directorate operating environment

We face a challenging operating environment with rapidly changing demands, financial pressures and policy change. As a directorate, it is important we have a robust understanding of the issues facing the whole organisation so we can effectively support and advise our frontline services. We also need to understand those that will directly impact on our own operational directorate business. We will need to carefully consider the opportunities and risks this brings to plan effectively now, and over the medium term.

Medium Term Financial Plan implications

The delivery of Kent County Council's Medium Term Financial Plan is part of our response to the challenging reductions in public service funding. KCC has a strong financial management track record, built on robust budget setting and medium term financial planning, combined with a rigorous budget management and monitoring regime. In recent years the amount of money available from government has been decreasing while demand and cost for council services has been increasing, for example from inflation and the national living wage. We expect this trend to continue for the foreseeable future.

Since 2010, KCC has delivered £591 million of savings (£80m-£90m a year). To balance our 2018/19 budget, we need to meet a budget gap of £100 million out of the council's net budget of approximately £1 billion. We are proposing a 4.99% Council Tax increase for 2018/19 to help fund some of this, but this only partially meets the grant reductions and the rising costs and increasing demand. Therefore, there remains a gap in the amount of money we have and the amount we need to spend to continue to deliver services. We have to find £48 million of savings across the authority in 2018/19.

This trend looks set to continue in 2019/20 with forecast savings of £49 million required. There are no detailed Government spending plans beyond 2019/20 and thus KCC's revenue spending in the Medium Term Financial Plan (MTFP) can only include 2018/19 and provisional figures for 2019/20.

The sustained levels of savings required combined with unfunded spending demands require us to be even more creative and innovative in finding alternative sources of funding and new service solutions.

In 2018/19 Kent County Council will be participating in a Business Rate Retention pilot scheme for Kent and Medway, working with the 12 district councils, Medway Council and the Kent Fire and Rescue Authority. This will potentially deliver £9 million of additional resource for the county council towards further economic development and enhanced financial sustainability.

In the Strategic and Corporate Services directorate, we will continue to contribute towards meeting the savings targets within the MTFP through efficiency and productivity, improving commissioning and procurement, service transformation and increasing income generation. Over the last 5 years (2013/14 to 2018/19) our support services have been reduced by £18m (-20.5%) with £5.8m in savings and income generation required for the directorate in 2018/19. We also face a challenging position in relation to our capital budget, responding to the national funding position whilst ensuring our infrastructure is maintained to a safe standard and is sufficient to meet the needs of our communities. Uncertainty in relation to

capital funding is placing additional delivery pressures on the infrastructure teams to deliver the capital programme in line with the required service need.

Having met the unprecedented financial challenge in recent years it is becoming increasingly difficult to meet both our revenue savings targets and meet our statutory obligations within the capital and revenue resources we have available.

We will support our staff with the skills, knowledge and behavioural competencies to successfully adapt to change and deliver effective services. Through our business change programme and support to other directorates' change activity we aim to increase resilience, empowerment and new working practices. We will continue to work with service directorates and public sector partners to explore options to maximise capital receipts and also work with our traded services to support the exploration of new market opportunities to maximise income generation.

KCC's operating environment

As a directorate, our professional advice supports services to successfully respond to changing demands, pressures and expectations in public service delivery. We facilitate an informed approach to risk management and financial planning, new technology solutions, support for change management and advice on the customer experience. We also provide analysis on the implications and opportunities arising from demographic, legislative and policy change to ensure we are able to respond to these issues and remain fit for the future.

Demand and changing demographics

Kent continues to be a growing county, with inward migration a significant driver particularly from London. The county's population is expected to grow by 23% (396,300) between 2011 and 2031. This includes significant growth in older people with those aged 65 and above forecast to increase by 64% and those aged 80+ to increase by 94% *(NB. Figures based on draft GIF)*. More people are also living longer with more complex multiple conditions, placing a higher demand on public services. This is set against the backdrop of reductions in public sector finances, a growing NHS funding gap, and health and social care workforce pressures.

The way people access services also continues to rapidly change, with growing digital and social media use leading to changes in customer expectations over the choice and control of services and how they wish to access information. Whilst this creates resource pressures to adapt our services, it also presents opportunities to reform our public services to deliver in radically different ways which better meet customer needs and expectations.

Sharing data sets, customer insight and analysis across services and with other public sector partners provides an opportunity to utilise our business intelligence and build a deeper understanding of both customer needs and effective service responses to ensure the best use of our total resources. To continue to respond the changing demographics and demands, it is also important our contracts have sufficient flexibility to respond effectively.

Brexit

As the negotiations for exiting the European Union in 2019 continue, we will support the organisation to seize opportunities, consider potential implications for specific services and

understand wider impacts to the county's businesses and communities. Strategic and Corporate Services have an important role in facilitating shared organisational intelligence, co-ordinating a whole council response to key issues, briefing elected members and escalating significant risks to the Corporate Management Team and Cabinet where required. We will also maximise our internal and external networks to ensure KCC's voice is heard by government including through engaging with parliamentary select committees, governmental working groups, and utilising our Kent-based public sector relationships.

Workforce and Employment

KCC experiences impacts from legislative changes: increases to the National Living Wage, the incorporation of voluntary overtime into holiday pay and the challenge provided by sleep in payments and the living wage, which particularly add to the financial pressure and affordability issues for Kent's care market providers, with the level of NLW increase dependent on the growth of the economy (over 4% this year and pegged at 60% of median earnings by 2020). The health and social care sector also faces significant workforce planning issues to develop the skills we need to respond to the challenges set out in the Sustainability and Transformation Partnership. Uncertainty about the impact of Brexit and future changes to immigration rules add to this challenge in the medium term.

Changes in the national economy could affect market supply and demand for the public sector employment - slower growth could mean more supply with unemployment the lowest it has been for 12 years, but conversely changes to welfare and disability benefit could increase supply for the public sector workforce.

We continue to adapt our employment and reward package to respond to the changing psychological contract between us as an employer and the employee. There is an increased emphasis on managing performance this year which is also intended to enhance engagement levels. The Apprenticeship Levy could positively alter the nature of our and the wider workforce, increasing employment opportunities and bringing potential to think about training and development opportunities for apprentices in a different way to build future capacity and skills.

Political and regulatory change

2017-18 was a year of substantial national political change, with changing political dynamics as a result of the General Election in June 2017, ongoing Brexit negotiations with the EU, and significant national issues facing the country. Our directorate will support the council's response to national debates impacting on the local authority including expected changes through the Children's Social Work Act 2017 and an Adult Social Care Green paper. On a county level the County Elections in May 2017 were successfully managed and a comprehensive induction package provided to new Members. The continuing demand, financial and service pressures may present challenging political decisions in the coming year which will require support from across strategy and corporate services. The introduction of new General Data Protection Regulations in May 2018 will also require support from the directorate to ensure the council is effective in meeting the new legislative requirements.

Strategic and Corporate Services directorate operating environment

Alternative Service Delivery Models

Following the successful creation of a number of Alternative Service Delivery Models (ASDMs), it is crucial changes are embedded, developing arrangements so that KCC can effectively hold providers to account and facilitate the sustainable delivery of services. We will build on our learning from the experience of the transition to our new delivery models as we develop our arrangements.

As the ASDMs mature it is important they ensure value for money, provide a sustainable dividend return to KCC and grow third party trading income for a commercial return. Through exploring new markets and customer bases, ASDMs allow us to proactively generate demand for our services, maximising our income potential.

It is crucial governance arrangements enable the right balance between Council oversight and scrutiny and the flexibility to maximise growth. The potential for a holding company to help better arrange the diverse commercial interests that the Council wholly owns is currently being investigated and any further development will build on existing good practice governance arrangements.

Business Change

The progress towards becoming a strategic commissioning authority and development of Alternative Service Delivery Models present opportunities to ensure a skilled and motivated workforce able to work in innovative ways both internally and with partners.

The integration of infrastructure programmes for ICT and New Ways of Working within an overarching Business Change Programme will enable a cohesive offer of tools and support. Through greater utilisation of existing tools such as Cloud, Skype and Office 365 our workforce can maximise existing capabilities and improve our efficiency. The greater ICT functionality will be supported by a strong focus on staff development, aimed at improving staff resilience, building leadership and management capability across the organisation, with the skills, knowledge and confidence to drive forward transformation, and furthering a work culture which supports employee wellbeing.

The programme will effectively support service change and transformation programmes across the organisation, recognising the interdependences with strategic and corporate services change programmes and support services.

Strategic Commissioning

The formation of a new Strategic Commissioning function brings together a number of commissioning activities into one team. This will help develop greater consistency across the commissioning cycle and across the council. The new approach will require commissioners to work collaboratively and effectively with both service directorates and with the external market to ensure best value.

Improving our key commissioning relationships and partnerships are a key part of continuing to move towards a strategic commissioning authority culture and developing an efficient

commissioning workforce, empowered with the right skills, knowledge and behaviours to deliver commissioning programmes jointly with service directorates.

Health and Social Care Integration

The Kent and Medway Sustainability and Transformation Plan (STP) was published in November 2016. Following publication of the NHS Five Year Forward View: The Next Steps in March 2017, Sustainability and Transformation Plans became Sustainability and Transformation Partnerships, as focus shifts from plan development to design of future service and commissioning arrangements.

As the STP develops, KCC's engagement with health and social care partners will evolve, with the potential for policy and decision-making arrangements to change. It will be important for Strategic and Corporate Services to support KCC's engagement with the STP, providing advice and guidance to KCC and health colleagues and influence discussions going forward.

Following a review of the Kent Health and Wellbeing Board in 2017, our directorate will also play an important role in supporting the creation and effective operation of a joint Health and Wellbeing Board between KCC and Medway Council. This will provide a focus for democratic input into the local care and prevention workstreams of the STP and feed into the STP programme board.

Resilience

KCC has a wide range of statutory and regulatory duties with a duty of care to staff, service users, residents, providers and users of its assets. Local authorities also have a general duty to ensure that buildings under their control comply with appropriate statutory, regulatory and corporate standards. The Grenfell fire incident has led to a greater focus on local authorities' preparedness and response to mitigate potential risks to public assets. KCC has clear health and safety and asset management policies in place to support organisational resilience. Having responded effectively, including testing of cladding materials and undertaking a comprehensive Fire Safety Audit, we are in a position to address any recommendations from the Hackitt review and continue to ensure we are well placed to fulfil our statutory building regulation and health and safety responsibilities.

F. Risks

As we drive change, we need to ensure that we do all we can to manage our risk exposure to an acceptable level. As our external operating environment rapidly changes, this can increase risk which can have multi-faceted impacts that we need to tackle and mitigate. Our risk strategy is about balancing a healthy risk appetite with reward and we need to continue to take a focused approach to actively manage risk and pursue opportunities within an uncertain operating environment.

This is reflected in our directorate and corporate risk registers.

Directorate Risks

The key directorate risks and opportunities for the coming year are likely to relate to:

- Maximising opportunities presented by technology to support new ways of working.
- Ensuring that the directorate's workforce has sufficient capacity, the right skills and remains healthy and motivated to enable it to support the organisation to run effectively and efficiently.
- Confirming that inherent risks associated with bribery and corruption are continually highlighted, assessed, evaluated and mitigated on an ongoing basis.

Corporate Risks

The directorate is also instrumental in the management of several corporate risks including those relating to:

- Future financial and operating environment for local government: Additional spending demands and continued public sector austerity measures threaten financial sustainability of KCC, its partners and service providers.
- The continued evolution of the Council's strategic commissioning approach, particularly ensuring that there is clarity over which activities are defined as strategic commissioning as distinct from the specification of service outcomes, and that there is buy-in to a whole-council ethos to support the changes required.
- Opportunities and risks associated with alternative service delivery models, including risks of expected financial dividends not materialising; companies not acting in a way that fits with KCC's values; or inappropriate governance.
- Delivery of in-year savings within agreed budgets.
- Cyber-attack threats and their implications, such as significant business interruption or data protection breach.
- Ensuring adequate preparations for General Data Protection Regulations, which come into effect in May 2018.
- Maintaining a healthy and effective workforce through significant change.

Further details of these risks and their mitigations can be found in the directorate and corporate risk registers.

G. Directorate priorities for 2018-19

KCC's Strategic Statement

'Increasing Opportunities, Improving Outcomes' sets out what we want to achieve as an organisation from 2015 to 2020. It outlines our vision, the outcomes we want to achieve and how the way we work needs to change. The Strategic Statement sets out the approach that the organisation needs to take to deliver better outcomes, working with partners and providers.

The Strategic and Corporate Services Directorate effectively supports frontline services to deliver better outcomes for our customers, residents and businesses. We ensure that KCC's activity is outcome-focused by embedding them in our policy, financial, business planning and commissioning frameworks.

As a directorate we will work together, and facilitate cross-directorate action, to respond to the challenges and build on the good practice identified within KCC's Annual Report 2017, which was agreed by County Council in October 2017.

Equalities and Diversity

An important part of delivering our strategic outcomes is putting people at the heart of our decision making, with a strong focus on equalities. Our directorate equalities objectives are:

Strategic and Corporate Services equality objectives:

- Ensure our Public Sector Equality Duty standards (as described in KCC's Equality and Human Rights Policy) are consistently maintained and championed with service directorates;
- Identify and respond to any potential gaps in services relating to the delivery of the Public Sector Equality Duty;
- Develop our staff experience to ensure people feel valued and respected.

The detailed actions that each division will take to respond to the Annual Report challenges and equality objectives will be set out in our Divisional Business Plans.

Strategic and Corporate Services Directorate Priorities for 2018-19

Short Term Priorities

1. Modernise KCC's constitution and Member services to reflect the changing organisation and ensure that decision making remains lawful, reasonable and proportionate.

2. Ensure the Council is compliant with the General Data Protection Regulations from May 2018, updating relevant policies and procedures and with business information governance support provided including mandatory information governance training.

3. Respond to the Hackitt review to ensure we are well placed to fulfil our statutory building regulation and health and safety responsibilities.

4. Embed the Strategic Commissioning co-designed operating model and develop a deep capability in commercial leadership and judgement, evidence based decision making, and performance reporting and analysis, to best execute commissioning programmes as agreed with Service Directorates and strengthen contract management.

5. Maximise opportunities to increase apprenticeships, including attracting more young people into public services across Kent, through the Apprenticeship Levy.

6. Develop effective holding company governance and mature delivery model arrangements to ensure they can successfully and sustainably deliver, holding providers to account, maximising income generation and building strong relationships.

Medium Term Priorities

7. Develop a detailed understanding of spend and cost analytics alongside improving procurement and contract management practice to help ensure delivery of value for money.

8. Drive customer service improvements and service resilience across the authority, in our strategic relationships and through our supply chains, informed by robust intelligence, engagement and consultation.

9. Delivering our ICT, HR, OD and Asset strategies and change programmes to provide a platform for service transformation, embedding cultural change and co-design principles into our new delivery models including the Strategic Commissioning operating model, so that we are using our resources in the most effective way.

Business As Usual Priorities

10. Engage early and provide timely, evidence based advice to protect the authority's best interests with robust governance and assurance processes. Taking a flexible approach that is responsive to changing business needs and allows responsible risk-based decisions to be taken by officers and Members.

11. Lead on the revenue and capital budget process to identify savings targets for the Authority and continue to provide robust advice and challenge to budget managers to facilitate accurate forecasting and enable solutions to be found.

12. Continuous improvement of services commissioned to meet public health requirements, and delivery of key health protection and promotion advice to the public sector and the people of Kent.

13. Support the creation and effective operation of a joint Health and Wellbeing Board between KCC and Medway Council, and provide advice and support on the Sustainability and Transformation Partnership for Kent and Medway.

14. Support the Council to respond effectively to changes in our operating environment including the Children and Social Work Act 2017, lobbying government for a fair financial settlement for counties and consider implications of Brexit.

The directorate priorities will be delivered through our detailed Divisional Business Plans which also include specific actions for individual divisions and teams.

H. Organisational development priorities

To achieve our strategic outcomes and transformation services to ensure they are fit for the future, it is crucial we make the most of our staff and their talents. We need to ensure that we have a skilled and motivated workforce which is flexible and innovative, working with our communities and partners to deliver services and find solutions where necessary.

KCC's organisational development approach aims to improve organisational performance by better aligning KCC's strategic statement, leadership, people, culture, processes, structures, use of digital technology and partnerships with the outcomes our customers, residents, communities and businesses need.

The KCC OD vision is underpinned by our values: openness, invite contribution and challenge and personal accountability.

KCC OD Priorities

KCC's organisational development (OD) strategic priorities are set out in the Organisation Development Medium-Term Plan 2017-2020. The KCC OD priorities were identified by directorate Organisation Development Groups, the Directors' Organisation Development Group and the Corporate Management Team to support the delivery of the council's vision and outcomes.

KCC's OD priorities for the whole council from 2017-20 are:

- Leadership and Management Development
- Workforce planning, succession planning and talent management
- Digitally enabled workforce
- Apprenticeships
- Partnership working and integration
- Managing change and new operating models
- Resilience
- Workforce development

The Organisation Development Action Plan for 2018/19 sets out in more detail how these priorities will be delivered with the Organisation Development Groups.

Strategic and Corporate Services Directorate OD Priorities

Our directorate OD priorities reflect and support the KCC priorities.

A key focus for our directorate is on delivering the **Leadership and Management Strategy** to ensure we have the right leadership capabilities for the future.

In 2018-19, the Strategic and Corporate Services directorate will particularly focus on the following themes within the Leadership and Management Strategy:

1. **Clear authentic leadership**

2. **Trusted partnership working**

3. **Cultural change leader**

Alongside these, our directorate will also support:

4. **Business change:** We will support staff to make full use of technology and asset opportunities, alongside cultural and behavioural changes, to work in different ways and maximise our effectiveness and efficiency. We will promote personal responsibility with staff enabled to develop their skillsets through the right training. We will also build on the innovation and creativity of our staff to continuously improve and develop a supportive management culture which leads by example.

5. **Personal and team resilience:** Recognising that people are our most important asset, we will ensure we have the right tools and support in place to maintain a healthy and effective workforce during a time of significant change. Promoting personal responsibility for individuals to maintain their own health and wellbeing and empowering managers to effectively support their teams form key elements of a two-way accountability between staff and their managers.

6. **Commissioning authority capabilities:** We will develop the right skills and client-side capabilities as we mature our alternative service delivery model arrangements. Setting clear accountabilities and building effective relationship management skills will help ensure we strike the right balance between robust challenge on the delivery of service priorities with clear communication and partnership working with providers to resolve issues together quickly. We want to build strong relationships with service directorates to work collaboratively, supporting the effective delivery of programmes of commissioning activity, and develop key Strategic Commissioning capabilities including commercial leadership and judgement, evidence based decision making and analytical support.

I. Internal and external services

Services provided by divisions

Service Name	Internal or External	If external, please provide the contract end date.
Engagement, Organisation Design and Development		
Organisational Development	Internal	
EODD Business Partners	Internal	
Human Resources	Internal	
Business Management and Client Relationships	Internal	
Health and Safety	Internal	
Engagement and Consultation	Internal	
Kent Communications	Internal	
Contact Point and Digital Services	External	December 2025
Training delivery (commissioned through Business Services Centre)	Internal	Multiple contracts
Finance		
Capital Finance	Internal	
Chief Accountant	Internal	
Client Financial Services	Internal	
Client Management for BSC Services	Internal	
Directorate Finance Business Partners	Internal	
External Contracts	Internal	
Financial Analysis Support Team	Internal	
Insurance	Internal	
Internal Audit	Internal	
Pensions Administration	Internal	
Revenue and Tax Strategy	Internal	
Revenue Finance	Internal	
Schools, High Needs and Early Years Finance	Internal	
Treasury and Investments (including Pension Fund)	Internal	
Governance and Law		
General Counsel	Internal	
Democratic Services	Internal	
Information Resilience & Transparency	Internal	
Infrastructure		
Infrastructure Client Functions		
ICT Commissioning Function	Internal	
Property Services Commissioning Function	Internal	
Infrastructure Partnerships (KPSN, Kent Connects, One Public Estate)	Internal	KPSN – 2020
Business Relationship Management	Internal	
Strategic Commissioning		
Commissioning Outcomes	Internal	
Commissioning Support	Internal	
Performance and Analytics	Internal	
Public Health	Internal	
Strategy, Policy, Relationships and Corporate Assurance		
Strategic Policy	Internal	
Strategic Business Advisers	Internal	
Strategic Relationships	Internal	

Corporate Risk	Internal	
Corporate Equalities	Internal	
Corporate Assurance	Internal	
Kent Children's Safeguarding Board	Internal	

Services provided by alternative service delivery models

Service Name	Internal or External	If external, please provide the contract end date.
Services provided by Invicta Law (commissioned by General Counsel)		
Legal Services	External	2026
Services provided by the Infrastructure Business Service Centre		
HR Services (commissioned by EODD)		
HR transactional services	Internal	
Staff Care Services including Occupational Health	Internal	
Financial Services (commissioned by Finance)		
Cashiers	Internal	
Debt Recovery for Sundry Debt	Internal	
Payments	Internal	
Infrastructure Services (commissioned by Infrastructure)		
Access to Networks	Internal	
Provision of email and secure email services	Part Internal, part commissioned	
Mobile Phone / iPad / iPhone / 3G dongle	Part Internal, part commissioned	
ICT Service Desk	Internal	
Project Management	Internal	
Education Information Services	Internal	
Schools Personal Service	Internal	
Services provided by GEN^2 (commissioned by Infrastructure)		
Managing agent property services	External	Multiple contracts

J. Significant service activity

The most significant service activity for the directorate over the next three years is summarised in the table below. 'Significant activity' includes a consideration of financial value, risk, complexity and political profile.

Name	Summary of activity	Lead service	Date for Key Decision (if required)	Public consultation required
Part I) Significant service changes *(e.g. service delivery change requiring a Key Decision)*				
The Education People (Education Services Company)	Supporting the growth and development of The Education People, including advising on the HR aspects of Edseco Ltd and establishing ongoing HR support to the company	All divisions	N/A	N/A
Invicta Law	Supporting the growth and development of Invicta Law	General Counsel	N/A	N/A
Business Services Centre	Supporting the growth and development of the BSC, including establishing a contract for the supply of transactional HR and Occupational Health Services to KCC and continual review to ensure delivery of specification requirements	Infrastructure, EODD and Finance	N/A	N/A
Brexit	Support the co-ordination of council wide activity to assess and prepare for Brexit	SPRCA	N/A	N/A
Children's Social Work Act 2017	Support the review and appraisal of options for discharging safeguarding duties across statutory partners	SPRCA	N/A	N/A
Joint Health and Wellbeing Board	Support the creation and effective operation of a joint Health and Wellbeing Board between KCC and Medway Council	SPRCA	N/A	N/A
Adult Social Care Green Paper	Support the Council to effectively respond to the forthcoming Adult Social Care green paper	SPRCA	N/A	N/A

Name	Summary of activity	Lead service	Date for Key Decision (if required)	Public consultation required
Commissioning Success	Delivering the Commissioning Success Operating Model.	Strategic Commissioning	N/A	N/A
Vulnerable Families service provision	Review and amend vulnerable families pathway within Health Visiting Service	Public Health	September 2018	No
Family Weight Management	Family Weight Management Review and implementation	Public Health	September 2018	Not expected
Continuous improvement of mandated public health programmes	Continuous monitoring, review and improvement of mandated public health programmes, including: • Health Visiting Reviews for children under 5 • National Childhood Measurement Programme • Comprehensive Open Access Sexual Health Services • NHS Health Checks • Drug and Alcohol Treatment Services • Dental Health Surveys and Promotion • Public Health Advice to CCGs • Advice and Assurance on Health Protection Arrangements • NHS Health Checks	Public Health	N/A	No
Part II) New strategies and policies ***(to be developed and agreed in the year ahead, in scope of the new Strategy and Policy Control Framework)***				
Communication principles	Development of KCC's communications principles	EODD – Kent Communications	No	No
People Strategy	Development of overarching HR strategy for the organisation	EODD – HR and OD	No	No
Engagement Strategy	Development of new strategy, including review of Customer Service policy.	EODD – HR and OD	No	No

Name	Summary of activity	Lead service	Date for Key Decision (if required)	Public consultation required
Leadership and Management Strategy	Development of new strategy, including identification of key capabilities	EODD – HR and OD	No	No
Tobacco Control Strategy	Development of Kent strategy in line with the new national approach	Public Health	January 2019	Likely
Kent Healthy Weight Strategy	Development of Kent strategy in line with national approach and local need	Public Health	January 2019	Previous exercise conducted, but may need to refresh
Voluntary and Community Sector Policy evaluation	Evaluation of VCS policy including review of Kent Partners' Compact	SPRCA	No	No
Information Governance	Review of Information Governance policies in light of new GDPR regulations in May 2018	Governance & Law	TBC	TBC
ICT Policy	Update to ICT strategy	Infrastructure	No	No

K. Significant commissioning activity

The most significant commissioning activity for the directorate over the next three years is summarised below. 'Significant activity' includes a consideration of financial value, risk, complexity and political profile. Information on contracts over £50,000 is available on the contract register.

Name	Brief description of activity	Lead service	Expected value (£)	Date for Key Decision (if required)	Public consultation required
Agilisys contract	Servicing customer contact through Contact Point and supporting channel shift through digital transformation. 10-year contract, with annual value subject to change as paid on actuals.	Kent Communications	£36.3m	N/A	N/A
Total Facilities Management 1	Soft and hard FM services in Corporate Buildings (revenue)	Infrastructure (Property)	£15m p/a over 5 years	Q3 2018/19	N/A
Total Facilities Management 2	Hard FM services in Schools and Classcare (revenue)	Infrastructure (Property)	£15m	Q3 2018/19	N/A
Total Facilities Management 3	Schools Capital Maintenance Projects (capital)	Infrastructure (Property)	£32m	Q3 2018/19	N/A
Total Facilities Management 4	Soft FM services in Schools	Infrastructure (Property)	£8m	Q3 2018/19	N/A
MOA	Modernisation of Assets (capital)	Infrastructure (Property)	£3m p/a over 5 years	N/A	N/A
MOA+	Modernisation of Assets (capital)	Infrastructure (property)	£19.7m	Q1 2018/19	N/A
Asbestos Survey Framework	Implemented for the provision of various Asbestos Surveys	Infrastructure (Property)	N/A	N/A	N/A
Asbestos Services Framework	Implemented for the provision of various works and services relating to Asbestos	Infrastructure (Property)	N/A	N/A	N/A
Principal Contractors Framework	Implemented for the provision of pre-construction and or construction works.	Infrastructure (Property)	N/A	N/A	N/A
Microsoft Software True-Up Licensing	Annual 'True-Up' of Software licencing agreement	Infrastructure (ICT)	£1.1m p/a	Q1 2018/19	N/A

Name	Brief description of activity	Lead service	Expected value (£)	Date for Key Decision (if required)	Public consultation required
Microsoft Software Licensing Agreement	Software licencing agreement, expiring in June 2018. Procurement in 2017 for new contract from 2018 to 2021.	Infrastructure (ICT)	£3.5m	Q1 2018/19	N/A
Specialist Computer Centre computer hardware	Existing contract continues roll-out for replacement devices until May 2019. Procurement during 2018.	Infrastructure (ICT)	£1.6m p/a	Q4 2017/18	N/A
Daisy Updata Communications Ltd (KPSN)	Current contract until May 2020. Review in 2017 to decide during 2018 whether to extend or procure a new service from 2020.	Kent Public Services Network	£3.5m p/a	Between Q2 2017/18 and Q1 2018/19	N/A
Managed Document Service	Current contract expires September 2019. Procurement in early 2018.	Infrastructure (ICT)	£0.75m	Q1 2018/19	N/A
Liberi (LCS)	Existing contract extended to April 2019.	Infrastructure (ICT)	£0.05m	Q1 2017/18	N/A
Social Care	New Social Care System to support Adult Transformation	Infrastructure (ICT)	£8.3m	By 2020	N/A
Microsoft Cloud Navigator	Implementation of business capabilities to support new ways of working	Infrastructure (ICT)	£2.0m	By 2019	N/A
Sexual Health Services	Review and re-commissioning of sexual health services	Public Health	£12.7m p/a	September 2018	Not expected
Positive Relationships Service	Review and re-commissioning of Positive Relationships Service	Public Health	£195k p/a	June 2018	Not expected
Mental Health Programme Commissioning	Commissioning of EU funded Step by Step programme	Public Health	£58k	September 2018	Not expected

NB. Commissioning activity where Strategic Commissioning are working jointly with service directorates to deliver is included within the relevant service directorate business plan.

L. Resources

In 2017-18 KCC transitioned to a new organisational structure to support the move towards becoming a strategic commissioning authority. The finalisation of this structure and changes to embed the new operating model will lead to changes in the way we present our financial and staff resources information, across directorates and divisions. The current resource information reflects the 2017-18 organisational structure and will be updated in due course to reflect our new operating model.

Financial resources

The total net 2018-19 budget for the Strategic and Corporate Services Directorate is £69.5m.

Division	Staffing	Non staffing	Gross expenditure	Income	Grants	Net cost
	£000s	£000s	£000s	£000s	£000s	£000s
Strategic Management & Directorate Budgets	495.2	2,291.6	2,786.8	-729.6	-4,217.0	-2,159.8
Engagement, Organisation Design & Development	5,431.1	9,459.0	14,890.1	-1,415.7	-90.0	13,384.4
Finance	11,027.8	5,362.1	16,389.9	-5,053.3	-904.8	10,431.8
General Counsel	2,277.9	1,792.6	4,070.5	-160.0	-35.0	3,875.5
Infrastructure	2,719.4	46,279.3	48,998.7	-13,678.3	-336.0	34.984.4
Strategic Commissioning	7,060.9	535.3	7,596.2	-300.9	-41.0	7,254.3
Strategy, Policy, Relationships & Corporate Assurance	1,787.3	347.0	2,134.3	-436.0	0.0	1,698.3
Public Health	2,895.7	71,262.2	74,157.9	-6,573.9	-67,584.0	0.0
Business Services Centre	18,973.6	5,044.7	24,018.3	-24,018.3	0.0	0.0
Total	**52,668.9**	**142,373.8**	**195,042.7**	**-52,366.0**	**-73,207.8**	**69,468.9**

Further details on financial resources are available in the Medium Term Financial Plan *and* Budget Book.

Staff resources

The Strategic and Corporate Services Directorate currently has 1,162.1 FTE (full time equivalent) staff.

Division	FTE
Engagement, Organisation Design and Development	123
Finance	240
Governance and Law	55
Infrastructure	483
Strategic Commissioning	174
Public Health	60
Strategy, Policy, Relationships and Corporate Assurance	25
Corporate Director's office	3
Total	1,162.1

NB: The draft FTE numbers reflect actual numbers in post as at February 2018 and exclude agency staff and vacancies, as these are not recorded in the HR system. Infrastructure figures exclude GEN[2] staff, but include BSC staff count of 444.09 FTE.

(NB. Staffing figures are based on January 2018 data – to be updated in March 2018 based on February 2018 data.)

M. Performance indicators and targets

Targets and floor standards will be reviewed following publication of final 2017-18 outturns. Where possible, KPI's are linked to the 2018-19 Directorate Priorities (**Section G**) or reflect core business (BAU).

Key Performance Indicators

KPI Ref	2018-19 Priority Ref	Indicator Description	2017-18 Forecast[a]	2018-19 Floor	2018-19 Target
CS01	Priority 8	Percentage of callers to Contact Point who rated the advisor who dealt with their call as good (quarterly)	97%	90%	95%
CS04	Priority 8	Percentage of calls to Contact Point which were answered	94%	80%	95%
CS05	Priority 8	Percentage of calls to Contact Point answered in 40 seconds	72%	70%	80%
CS07	Priority 8	Percentage of complaints responded to in timescales (quarterly)	89%	80%	85%
FN01	Priority 11	Percentage of pension correspondence cases completed within the specified 15 day timescale from the receipt of the request	98.9%	95%	98%
FN02	Priority 11	Percentage of retirement benefit cases completed within a 20 day timescale from receipt of all the required paperwork	98.2%	85%	90%
FN05	Priority 11	Percentage of Sundry debt under 60 days old (NEW)	N/A	57%	75%
FN06	Priority 11	Percentage of Sundry debt over 6 months old (NEW)	N/A	20%	15%
FN07	Priority 11	Percentage of invoices received by accounts payable within 30 days of their received date	82.9%	80%	85%
FN08	Priority 11	Percentage of invoices received by accounts within 30 days of their received date which were input to oracle by the KCC due date	98.5%	94%	97%
FN11	Priority 11	% of financial assessments fully completed (provision on SWIFT) within 15 days of receipt of the referral	90.0%	85%	90%
GL01	Priority 10	Council and Committee papers published at least five clear days before meetings	98%	96%	100%
GL02	Priority 10	Freedom of Information Act requests completed within 20 working days	91%	90%	90%

KPI Ref	2018-19 Priority Ref	Indicator Description	2017-18 Forecast[a]	2018-19 Floor	2018-19 Target
GL03	Priority 10	Data Protection Act Subject Access requests, completed within 40 calendar days	82%	85%	85%
HR09	Priority 9	Percentage of training that delivers commissioned learning outcomes	100%	90%	95%
HR23	Priority 2 and 9	Percentage of staff who have completed all 3 mandatory learning events (quarterly)	87%	80%	90%
ICT01	Priority 8	Calls to ICT Help Desk resolved at the first point of contact	72%	65%	70%
ICT02	Priority 8	Positive feedback rating with ICT help desk	99%	90%	95%
ICT03	BAU	Working hours where Kent Public Sector Network available to staff	99.9%	99.0%	99.8%
ICT04	BAU	Working hours where ICT Service available to staff	99.3%	98%	99%
ICT05	BAU	Working hours where email are available to staff	100%	98%	99%
PI01	Priority 11	Percentage of rent due to KCC outstanding at 60 days	26%	15%	5%
PI03	Priority 9 and 11	Percentage of annual net capital receipts target achieved	71%	90%	95%
PI04	Priority 8	Facilities and maintenance requests through the TFM Helpdesks resolved in accordance with SLC timings	93%	80%	90%
NEW	Priority 3	Percentage of completed corporate themed Health and Safety audits sent to recipients within 10 working days (as per the stated audit procedure) against targeted total for that quarter.	New	85%	90%
PH01	Priority 12	Number of the eligible population aged 40-74 years old receiving an NHS Health Check	42,000	33,280	41,600
PH09	Priority 12	Participation of Year R (4-5 year old) pupils in the National Child Measurement Programme	95%	85%	90%
PH10	Priority 12	Participation of Year 6 (10-11 year old) pupils in the National Child Measurement Programme	95%	85%	90%
PH11	Priority 12	Percentage of people quitting at 4 weeks, having set a quit date with smoking cessation services	51%	42%	52%

KPI Ref	2018-19 Priority Ref	Indicator Description	2017-18 Forecast[a]	2018-19 Floor	2018-19 Target
PH02	Priority 12	Percentage of clients accessing GUM services offered an appointment to be seen within 48 hours	100%	72%	90%
PH12	Priority 12	Number of new clients accessing the One you Kent service being from the 2 most deprived quintiles	60%	50%	62%
PH13	Priority 12	Percentage of young people exiting specialist substance misuse services with a planned exit	92%	68%	85%
PH03	Priority 12	Successful completion of drug and alcohol treatment of all those in treatment	25%	22%	28%
PH04	Priority 12	Percentage of mothers receiving an antenatal visit/contact with the Health Visitor Service	50%	40%	50%
PH15	Priority 12	Percentage of new birth visits delivered by the Health Visitor Service within 30 days of Birth	97%	76%	95%
PH16	Priority 12	Percentage of infants due a 6-8 week visit who received one by the Health Visiting Service	90%	64%	80%
PH20	Priority 12	Status completion rate of women with a breastfeeding status at 6-8 weeks (Health Visiting Service)	93%	85%	95%
PH17	Priority 12	Percentage of infants receiving their 1 year review at 15 months by the Health Visiting Service	87%	64%	80%
PH18	Priority 12	Percentage of children who received a 2-2½ year review with the Health Visiting Service	83%	64%	80%
PH04	Priority 12	Number of mandated universal checks delivered by the health visiting service	71,000	52,000	65,000
PH19	Priority 12	No. and % of sign-ups to the Live Well Kent service from the most deprived quintiles	60%	40%	50%

Further detail on performance is available in the Quarterly Performance Report and Directorate Dashboard.

Activity Indicators

Ref	Indicator Description	Threshold	Q1	Q2	Q3	Q4	2018-19 Expected Total
CS08	Number of calls answered by Contact Point	Upper	136,600	152,800	127,200	148,900	565,500
		Lower	95,600	101,600	105,900	81,200	384,300
CS12	Number of visits to KCC website (000s)	Upper	1,350	1,350	1,350	1,350	5,400
		Lower	1,150	1,150	1,150	1,150	4,600
FN01b	Pension correspondence processed	Upper	1,300	1,600	1,500	1,500	5,900
		Lower	1,100	1,500	1,110	1,110	4,820
FN02b	Retirement benefits paid	Upper	540	520	660	660	2,380
		Lower	490	500	545	545	2,080
FN07b	Number of invoices received by KCC	Upper	29,337	28,245	29,300	32,222	119,104
		Lower	24,936	24,008	24,905	27,388	101,237
FN11b	Number of financial assessments completed	Upper	2,512	1,712	2,315	1,927	8,466
		Lower	2,135	1,455	1,968	1,638	7,196
GL02b	Freedom of Information Act / Environmental Information Regulations requests completed	Upper	540	525	550	605	2,220
		Lower	510	500	510	550	2,070
GL03b	Data Protection Act Subject Access requests	Upper	82	78	95	95	350
		Lower	67	78	41	66	252
HR12	Number of current change activities being supported	Upper	75	75	75	75	75
		Lower	60	60	60	60	60
HR13	Total number of E-learning training programmes completed	Upper	11,250	11,250	11,250	11,250	45,000
		Lower	8,750	8,750	8,750	8,750	35,000
HR16	Number of registered users of Kent Rewards	Upper	21,750	2,2500	23,250	24,000	24,000
		Lower	21,600	22,200	22,800	23,400	23,400
HR21	Number of current people management cases being supported	Upper	85	85	85	85	85
		Lower	70	70	70	70	70
ICT01b	Calls to ICT Help Desk	See note [b]					
PI02a	Total rent outstanding (£'000s)						
PI04b	Number of TFM helpdesk requests responded to						
	Life expectancy gap in years between least and most deprived areas	See note [c]					

Ref	Indicator Description	Threshold	Q1	Q2	Q3	Q4	2018-19 Expected Total
	Number receiving a NHS health check over the 5-year programme						
	Number of attendances at KCC commissioned sexual health clinics						
	Number of adults accessing structured substance misuse treatment services						

Notes:
[a] 2017-18 forecasts for KPI's based on latest available data
[b] Activity to be tracked against last year's activity
[c] Activity actuals reported only

Activity indicators reflect the Key Performance Indicators and support the monitoring of core business activity.

N. Monitoring and review

The Corporate Director has robust processes in place for monitoring and review of the directorate business plan. This includes regular updates on the delivery of the Medium Term Financial Plan and the directorate business plan at the Strategic and Corporate Services Directorate Management Team (DMT), with a strong focus on financial, risk and performance monitoring. DMT also provides regular oversight and management action on internal audit recommendations.

In addition, each Director has their own monitoring and review process in place for their divisional business plan, undertaken with their Divisional Management Team and senior managers. The Corporate Director has regular 1:1's with Directors to review progress on the divisional business plan priorities.

The directorate also holds responsibility (through the Strategy, Policy, Relationship and Corporate Assurance division) for the business planning framework for the authority. As such, each summer there is a review of the previous year's business planning process to identify what works well and improvements that could be made for the coming year.

As part of this process, the Strategic and Corporate Services Directorate Management Team are kept regularly informed on the review as it progresses, and help to advise on recommendations to improve the business planning framework each year. This informed recommendations to Corporate Management Team and Cabinet Members in December 2017, with subsequent updates to management guidance.

The Policy and Resources Cabinet Committee plays an important role in providing robust oversight of significant contracts and receives regular reports from Corporate Assurance on the authority's major projects and programmes. Corporate assurance is also provided to the Business Change Programme, Strategic Commissioning Board and Budget and Programme Delivery Board as required to inform decision making and effective risk management. Independent assurance and review is also provided through the programmed work of the Governance and Audit Committee.

In 2019-20, we intend to continue to report on progress on the 2018-19 directorate priorities, as part of the directorate business plan.

From: Susan Carey, Cabinet Member for Customers, Communications and Performance

David Cockburn, Corporate Director for Strategic and Corporate Services

To: Policy & Resources Cabinet Committee – 16th March 2018

Subject: **Risk Management: Strategic and Corporate Services**

Classification: **Unrestricted**

Past Pathway of Paper: None

Future Pathway of Paper: None

Electoral Division: All

Summary: This paper presents the strategic risks relating to the Strategic and Corporate Services directorate, in addition to the risks featuring on the Corporate Risk Register for which the Corporate Directors are the designated 'Risk Owners'. The paper also explains the management process for review of key risks.

Recommendation(s):

The Cabinet Committee is asked to consider and comment on the risks presented.

1. Introduction

1.1 Directorate business plans are reported to Cabinet Committees each March / April as part of the Authority's business planning process. The plans include a high-level section relating to key directorate risks, which are set out in more detail in this paper.

1.2 Risk management is a key element of the Council's Internal Control Framework and the requirement to maintain risk registers ensures that potential risks that may prevent the Authority from achieving its objectives are identified and controlled. The process of developing the registers is therefore important in underpinning business planning, performance management and service procedures. Risks outlined in risk registers are taken into account in the development of the Internal Audit programme for the year.

1.3 Directorate risk registers are reported to Cabinet Committees annually, and contain strategic or cross-cutting risks that potentially affect several functions across the Strategic and Corporate Services directorate, and often have wider

potential interdependencies with other services across the Council and external parties.

1.4 Strategic and Corporate Services Directors also lead or coordinate mitigating actions in conjunction with other Directors across the organisation to manage risks featuring on the Corporate Risk Register. The Directors in the Strategic and Corporate Services directorate are designated 'Risk Owners' (along with the rest of the Corporate Management Team) for several corporate risks. These risks and their mitigations are presented to the Committee for comment in appendix 1.

1.5 A standard reporting format is used to facilitate the gathering of consistent risk information and a 5x5 matrix is used to rank the scale of risk in terms of likelihood of occurrence and impact. Firstly, the current level of risk is assessed, taking into account any controls already in place to mitigate the risk. If the current level of risk is deemed unacceptable, a 'target' risk level is set and further mitigating actions introduced with the aim of reducing the risk to a tolerable and realistic level. If the current level of risk is acceptable, the target risk level will match the current rating.

1.6 The numeric score in itself is less significant than its importance in enabling categorisation of risks and prioritisation of any management action. Further information on KCC risk management methodologies can be found in the risk management guide on the 'KNet' intranet site.

2. Financial Implications

2.1 Many of the strategic risks outlined have financial consequences, which highlight the importance of effective identification, assessment, evaluation and management of risk to ensure optimum value for money.

3. Policy Framework

3.1 Risks highlighted in the risk registers relate to strategic priorities and outcomes featured in KCC's Strategic Statement 2015-2020, as well as the delivery of statutory responsibilities.

3.2 The presentation of risk registers to Cabinet Committees is a requirement of the County Council's Risk Management Policy.

4. Risks relating to the Strategic and Corporate Services (StCS) directorate

4.1 There are currently three directorate risks featured on the Strategic and Corporate Services directorate risk register (appendix 2), all of which are rated as 'Medium' risk. Many of the risks highlighted on the register are discussed as part of regular items to the Cabinet Committee. It should be noted that the

directorate register is underpinned by risk registers for each division that are considered for escalation in accordance with KCC's risk management policy. There are currently 65 divisional risks across the ST directorate (excluding the Strategic Commissioning function, which is reviewing its risk profile as the division takes shape from April 2018).

4.2 Since the last report in March 2017, a new risk has been added to the directorate register relating to anti-bribery and corruption, with the directorate recognising the importance of continued awareness and vigilance, even though there have not been any substantiated allegations of bribery in the directorate to date.

4.2.1 A risk relating to operation of effective 'client-side' arrangements across the directorate was previously being considered for inclusion on the directorate register but has instead been factored into the two corporate risks relating to the evolution of KCC as a strategic commissioning authority, and opportunities and risks associated with alternative service delivery models.

4.2.2 In addition there were two workforce related risks, one concentrating on the challenge of maintaining a healthy and effective workforce across STCS through significant change and the other focused on capacity and capability concerns. These two risks have since been merged to cover workforce capacity, capability and wellbeing due to the natural relationship between them.

4.2.3 There was previously a risk referencing a potential failure to utilise transactional and reporting systems in use by the Council. This risk has been revised to take a broader view of the opportunities presented by technology to support new ways of working.

4.3 Two changes have been made to the Strategic and Corporate Services led risks. The delivery of in-year savings within agreed budgets has reduced from a score of 16 (red) to 3 (green), as the forecast overspend is reducing leaving the unfunded asylum costs as our biggest remaining in-year financial risk. In addition, the risk that was added to the corporate risk register last autumn relating to Alternative Service Delivery Models (ASDMs) has been raised from its initial score of 9, to 12 (still remaining amber), reflecting the challenge for new ASDMs to achieve target financial dividends as they 'start up'.

4.4 Mitigations for risks are identified and implemented on a regular basis as required. For example, the directorate has been assessing where the inherently higher risk areas for bribery are and targeting training and awareness in those areas, as part of an anti-bribery action plan that has been implemented. In addition, a Business Change Programme has been established to ensure benefits of technology advances and projects are fully adopted and viewed as key enablers for change.

4.5 While KCC had no contracts with Carillion, the Company's highly publicised collapse has brought into focus again the potential risks relating to supplier collapse. These risks are being considered as part of the contract management review process overseen by KCC's Strategic Commissioner and

reported periodically to this Committee. Directorate resilience groups are also being asked to review and consider the sufficiency of contingent actions built into service continuity plans across the council.

4.5 While there are no specific BREXIT-related opportunities and risks on the Strategic and Corporate Services directorate register currently, this situation is being kept under review and may well change as more information becomes available to aid effective assessment of risks.

4.6 Inclusion of risks on this register does not necessarily mean there is a problem. On the contrary, it can give reassurance that they have been properly identified and are being managed proactively.

4.7 Monitoring & Review – risk registers should be regarded as 'living' documents to reflect the dynamic nature of risk management. Directorate Management Teams formally review their risk registers, including progress against mitigating actions, on a quarterly basis as a minimum, although individual risks can be identified and added to the register at any time. Key questions to be asked when reviewing risks are:

- Are the key risks still relevant?
- Have some risks become issues?
- Has anything occurred which could impact upon them?
- Has the risk appetite or tolerance levels changed?
- Are related performance / early warning indicators appropriate?
- Are the controls in place effective?
- Has the current risk level changed and if so is it decreasing or increasing?
- Has the "target" level of risk been achieved?
- If risk profiles are increasing what further actions might be needed?
- If risk profiles are decreasing can controls be relaxed?
- Are there risks that need to be discussed with or communicated to other functions across the Council or with other stakeholders?

5. Recommendation

Recommendation:

The Policy & Resources Cabinet Committee is asked to consider and comment on the directorate risk register and relevant corporate risks outlined in appendices 1 and 2.

6. Background Documents

6.1 KCC Risk Management Policy on KNet intranet site.

7. Contact details

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Strategic and Corporate Services Directorate-led Corporate Risks

MARCH 2018

Corporate Risk Register - Summary Risk Profile

Low = 1-6	Medium = 8-15	High =16-25

Risk No.*	Risk Title	Current Risk Rating	Target Risk Rating	Direction of Travel since March 2017
CRR0009	Future financial and operating environment for local government	16	12	⇩
CRR0011	Evolution of KCC's Strategic Commissioning approach	9	6	Risk Revised
CRR0013	Delivery of in-year savings within agreed budgets	3	2	⇩
CRR0014	Cyber-attack threats and their implications	16	12	⇔
CRR0039	Information Governance – Introduction of General Data Protection Regs	12	8	NEW
CRR0040	Opportunities and risks associated with alternative service delivery models	12	4	NEW
CRR0041	Maintaining a healthy and effective workforce through significant change	8	8	NEW

*Each risk is allocated a unique code, which is retained even if a risk is transferred off the Corporate Register. Therefore there will be some 'gaps' between risk IDs.

NB: Current & Target risk ratings: The 'current' risk rating refers to the current level of risk taking into account any mitigating controls already in place. The 'target residual' rating represents what is deemed to be a realistic level of risk to be achieved once any additional actions have been put in place. On some occasions the aim will be to contain risk at current level.

Likelihood & Impact Scales					
Likelihood	Very Unlikely (1)	Unlikely (2)	Possible (3)	Likely (4)	Very Likely (5)
Impact	Minor (1)	Moderate (2)	Significant (3)	Serious (4)	Major (5)

Risk Register - Corporate Risk Register

Current Risk Level Summary	Green	Amber	Red	Total
	1	4	2	7
Current Risk Level Changes	1 -13	1 3		2 -10

0	0	0	0	0
0	0	1	2	0
1	0	1	1	0
0	0	0	1	0
0	0	0	0	0

Risk Ref	Risk Title and Event	Owner	Last Review date	Next Review Date
CRR0009	**Future financial and operating environment for Local Government**	Andy Wood	20/12/2017	20/03/2018

Additional unfunded spending demands and continued public sector austerity measures threaten financial sustainability of KCC, its partners and service providers.
In order to set a balanced budget the council is likely to have to continue to make significant year on year savings. This will only add to the unprecedented era of real term spending reductions which councils have faced since 2010.
Quality of KCC commissioned / delivered services suffers as financial situation continues to worsen.
Insufficient Government Grant available to provide sufficient number of school places.

Cause	Consequence	Current Risk	Previous Current Risk	Control / Action		Control / Action	Target Date	Days Overdue	Target Risk Level
The operating environment for local government is likely to continue to change during the coming years, presenting both opportunities and risks for the Council and its partners / service providers. Government funding is set to continue reducing over the medium term, especially in 2018/19 and 2019/20 in the final years of the current spending review and four year settlement. Thereafter there is more uncertainty and the 100% business rate retention scheme due to be implemented by 2020 may present opportunities but also threat to the Council. Continuing budget challenges will necessitate difficult decisions being made regarding the future of services. Limits on our ability to levy additional council tax without a referendum are also likely to remain for the foreseeable future. The Local Government, Cities and	Unsustainable financial situation. Potential for partner or provider failure – including sufficiency gaps in provision. Reduction in resident satisfaction and reputational damage.	High 16 Serious (4) Likely (4)		• Engage with Government for a fair-funding needs formula for Grant distribution and tariffs/top ups under business rate retention.	Andy Wood	A -Accepted	31/03/2018		Medium 12
				• Work proactively with Government regarding how the new business rate retention scheme can be most effectively implemented.	Dave Shipton	A -Accepted	31/01/2019		
				• Engage with Government for a fair Basic Need allocation to meet the demand for school places.	Keith Abbott	A -Accepted	31/03/2018		
				• Processes in place for monitoring delivery of savings and budget as a whole.	Andy Wood	Control			
				• Robust budgeting and financial planning in place via Medium Term Financial Planning (MTFP) process, including stakeholder consultation.	Andy Wood	Control			
				• KCC Strategic Statement 2015-2020 and annual report outline key strategic outcomes that the Authority aims to achieve during this period.	Paul Carter	Control			
				• Financial analysis conducted after each budget statement	Dave Shipton	Control			

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Devolution Act could have wide-ranging implications, including the potential for significant Local Government reorganisation. The EU referendum result in 2016 and June 2017 General Election result has added additional uncertainty to the environment, meaning major legislative change is unlikely.				• Ongoing oversight of implications relating to proposed Local Authority pension fund changes	Nick Vickers	Control			
				• Engagement with CCN, other local authorities and Government on potential opportunities and issues around devolution and public reform	David Whittle	Control			
				• Support being provided to the Leader of KCC in his role as Chair of the County Councils Network (CCN)	David Whittle	Control			
				• KCC Quarterly Performance Report monitors key performance and activity information for KCC commissioned or delivered services. Regularly reported to Cabinet.	Richard Fitzgerald	Control			

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Risk Ref	Risk Title and Event	Owner	Last Review date	Next Review Date
CRR0011	**Evolution of KCC's Strategic Commissioning approach** Insufficient management capacity and / or capability in key skill areas to support sustained change. Lack of clarity over which activities that can be defined as strategic commissioning as distinct from the specification of service outcomes. Lack of buy-in to whole- council ethos to support the changes required.	Vincent Godfrey	20/12/2017	20/03/2018

Cause	Consequence	Current Risk	Previous Current Risk	Control / Action		Control / Action	Target Date	Days Overdue	Target Risk Level
The Authority is developing a strategic commissioning approach, as it looks to transform and respond to the challenging local government environment. It is a journey in changing the systems, culture and approach the organisation takes to achieving its strategic outcomes. The approach aims to meet the need for comprehensive, professional strategic commissioning advice to all directorates across the Authority and requires a whole council ethos, as well as clarity of responsibility and accountability.	Potential to fall short of achieving benefits if changes introduced are not fully embedded.	Medium 9 Significant (3) Possible (3)		• Restructure of the Strategic Commissioning division to develop a vehicle for achievement of business strategy	Vincent Godfrey	A -Accepted	30/04/2018		Low 6
				• A co-design approach has been taken to develop the Strategic Commissioning division and the way it works, with active involvement of stakeholders.	Amanda Beer	Control			
				• Cabinet Member role for Strategic Commissioning created	Paul Carter	Control			
				• Building capacity and capability in commissioning is a key area of KCC's Organisation Development action plan	Julie Cudmore	Control			
				• Senior role of Strategic Commissioner appointed, reporting to the Head of Paid Service, to oversee the delivery of strategic commissioning expertise	David Cockburn	Control			
				• Rolling programme of reviews of contract management arrangements for major contracts embedded into Business as Usual and reported on regularly	Vincent Godfrey	Control			
				• A co-design approach has been taken to develop the Strategic Commissioning division and the way it works, with active involvement of stakeholders.	Vincent Godfrey	Control			
				• KCC Commissioning Framework introduced to establish several core commissioning principles in everything we do as an authority	Vincent Godfrey	Control			
				• Commissioning Success: A strategy to improve lives by ensuring every pound spent in Kent is delivering better outcomes for Kent's residents, communities and businesses through successful commissioning developed as part of the co-design process	Vincent Godfrey	Control			

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				• KCC has established a Strategic Commissioning Division to strengthen commissioning capability, and lead and shape commissioning activity	Vincent Godfrey	Control			

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Risk Ref	Risk Title and Event	Owner	Last Review date	Next Review Date
CRR0013	**Delivery of in-year savings within agreed budgets** Robust plans to achieve the required savings are not developed in time to enable implementation and realisation of benefits. Plans are not aligned with Cabinet Member priorities.	Andy Wood	20/12/2017	20/03/2018

Cause	Consequence	Current Risk	Previous Current Risk	Control / Action		Control / Action	Target Date	Days Overdue	Target Risk Level
The ongoing difficult public finances situation and economic uncertainty continue to mean significant reductions in funding to the public sector and Local Government in particular, at a time when spending pressures on councils are increasing. KCC has already made significant cost savings and still needs to make significant ongoing year-on-year savings in order to "balance its books".	Urgent alternative savings need to be found which could have an adverse impact on service users and/or residents of Kent. Potential adverse impact on council transformation plans. Reputational damage to the council.	Low 3 Minor (1) Possible (3)	16 ↘ -13	• NOTE: Level of risk is expected to decrease during the year by effective operation of existing controls.	Andy Wood	A -Accepted	31/03/2018		Low 2
				• Robust budgeting and financial planning in place via Medium Term Financial Planning (MTFP) process	Andy Wood	Control			
				• Controls and mechanisms remain robust	Andy Wood	Control			
				• Process for monitoring delivery of savings is in place, including a Budget & Programme Delivery Board to scrutinise progress	Andy Wood	Control			
				• Robust monitoring and forecasting of arrangements in place relating to the KCC budget as a whole	Andy Wood	Control			
				• Continued engagement with the Home Office for a fair settlement for Unaccompanied Asylum Seeking Children (UASC), particularly Care Leavers	Matt Dunkley	Control			
				• Procedures for appropriate consultation in place when decisions relating to changes in services are being considered.	Diane Trollope	Control			
				• Six monthly update reports on progress against budgeted savings presented to Governance & Audit Committee	Corporate Directors CD	Control			
				• Indicative cash limits and savings targets allocated to Corporate Directors to allow early planning.	Corporate Directors CD	Control			

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Risk Register - Corporate Risk Register

Risk Ref	CRR0014	Risk Title and Event	Owner	Last Review date	Next Review Date
		Cyber attack threats and their implications Successful cyber-attack (e.g. 'phishing' scam) leading to loss or unauthorised access to sensitive business data. Significant business interruption caused by a successful attack.	Amanda Beer	20/12/2017	20/03/2018

Cause	Consequence	Current Risk	Previous Current Risk	Control / Action		Control / Action	Target Date	Days Overdue	Target Risk Level
The Council has a duty to protect personal and other sensitive data that it holds on its staff, service users and residents of Kent. KCC repels a high number of cyber-attacks on a daily basis, although organisations across all sectors are experiencing an increasing threat in recent times and must ensure that all reasonable methods are employed to mitigate them (within resource constraints), both in terms of prevention and preparedness of response in the event of any successful attack. KCC's ICT Strategy will move the Authority's technology to cloud based services. It is important to harness these new capabilities in terms of both IT security and resilience, whilst emerging threats are understood and managed. In information terms the other factor is human. Technology can only provide a level of protection. Our staff must have a strong awareness of their responsibilities in terms of IT and information security.	Data Protection breach and consequent Information Commissioner's Office (ICO) sanction. Damages claims. Reputational Damage. Potential significant impact on business interruption if systems require shutdown until magnitude of issue is investigated.	High 16 Serious (4) Likely (4)		• Further develop procedures to address breaches, including a retained specialist capability.	Kathy Stevens	A -Accepted	31/12/2018		Medium 12
				• Implementation of ICT Transformation Programme includes actions to further strengthen ICT resilience, with systems and software compliance with various UK Standards	Michael Lloyd	A -Accepted	31/03/2018		
				• Staff are required to abide by IT policies that set out the required behaviour of staff in the use of the technology provided. These policies are reviewed on an annual basis for appropriateness.	Kathy Stevens	Control			
				• External reviews of the Authority's security compliance are carried out to maintain accreditation and confirm best practice is applied.	Kathy Stevens	Control			
				• Persistent monitoring of threats, network behaviours and data transfers to seek out possible breaches and take necessary action.	Kathy Stevens	Control			
				• Systems are configured in line with best practice security controls proportionate to the business information being handled. Systems are risk assessed and reviewed to ensure compliance is maintained.	Kathy Stevens	Control			
				• Further training introduced relating to cyber crime, cyber security and social engineering to raise staff awareness and knowledge.	Michael Lloyd	Control			
				• Continual awareness raising of key risks amongst the workforce and manager insight	Michael Lloyd	Control			
				• Electronic Communications User Policy, Virus reporting procedure and social media guidelines in place	Michael Lloyd	Control			

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				• Data Protection and Information Governance training is mandatory and requires staff to refresh periodically. Progress rates monitored regularly.	Benjamin Watts	Control			
				• Messages to encourage increased awareness of information security amongst staff are to be communicated to align with key implementation milestones of the ICT Transformation Programme.	Diane Trollope	Control			

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Risk Ref	Risk Title and Event	Owner	Last Review date	Next Review Date
CRR0039	**Information Governance – Introduction of General Data Protection Regulations (GDPR)** Failure to prepare adequately for the introduction of the new regulations. Information security incidents resulting in loss of personal data or breach of privacy / confidentiality.	Benjamin Watts	20/12/2017	20/03/2018

Cause	Consequence	Current Risk	Previous Current Risk	Control / Action		Control / Action	Target Date	Days Overdue	Target Risk Level
The Council is required to maintain the confidentiality, integrity and proper use of data and has a number of controls already in place to manage this. In May 2018 General Data Protection Regulations (GDPR) come into effect that introduce significantly increased obligations on all data controllers, including the Council. This will require significant preparation.	Information Commissioner's Office sanction (e.g. undertaking, assessment, improvement, enforcement or monetary penalty notice issued against the Authority). Serious breaches under GDPR could attract a fine of €20m or 4% annual global turnover. Increased risk of litigation. Reputational damage.	Medium 12 Serious (4) Possible (3)		• Finalise implementation of any outstanding actions arising from 2016 Information Commissioner's Office (ICO) audit.	Benjamin Watts	A -Accepted	28/02/2018	5	Medium 8
				• Review and update privacy notices to include legal basis (where applicable) and name/contact details of Data Protection Officer. Introduce new privacy notices as required for service areas where they don't currently exist	Caroline Dodge	A -Accepted	31/03/2018		
				• Review and revise procedures to comply with new enhanced individual's rights / consider repercussions of Subject Access Requests free of charge and reduce timescales.	Caroline Dodge	A -Accepted	31/03/2018		
				• Review and update procedures/protocols for investigating and reporting data breaches	Caroline Dodge	A -Accepted	31/03/2018		
				• Appoint a Data Protection Officer as a designated contact with the ICO.	David Cockburn	A -Accepted	31/03/2018		
				• Staff are required to complete mandatory training on Information Governance and Data Protection and refresh their knowledge every two years as a minimum.	Amanda Beer	Control			
				• Staff are required to complete mandatory training on Information Governance and Data Protection and refresh their knowledge every two years as a minimum.	Benjamin Watts	Control			
				• A number of policies and procedures are in place including KCC Information Governance Policy; Information Governance Management Framework; Information Security Policy; Data Protection Policy; Freedom of Information Policy; and Environmental Information Regulations Policy all in place.	Benjamin Watts	Control			

				• Cross-directorate Information Governance Group in place to support the SIRO	Benjamin Watts	Control			
				• Management Guide on Information Governance in place, highlighting key policies and procedures.	Caroline Dodge	Control			
				• Information Resilience and Transparency team in place, providing business information governance support.	Caroline Dodge	Control			

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Risk Ref	Risk Title and Event	Owner	Last Review date	Next Review Date
CRR0040	**Opportunities and risks associated with alternative service delivery models** Expected financial dividends not met or return on investment takes longer than planned to achieve. One or more company acts in a way that does not fit with KCC's values. Council attempts to manage or run individual companies rather than acting as shareholder to extract the maximum value and benefit for the council in terms of both financial return and delivery of our identified outcomes as the owner of the businesses.	KCC Shareholder Board		20/03/2018

Cause	Consequence	Current Risk	Previous Current Risk	Control / Action		Control / Action	Target Date	Days Overdue	Target Risk Level
KCC has established a number of wholly-owned companies delivering a wide range of professional services that can bring benefits such as a change in culture and a more commercial approach to delivering services; more freedom to invest; the ability to secure new external clients; and the ability to grow the business and return a dividend to the Council as shareholder. As with any new company start up, there will also be risks to be managed. With the number of wholly-owned companies potentially increasing, the council has reached a cross-over point where the wider objectives of the shareholder (KCC) is of at least the same importance as the individual needs of the new companies.	Additional pressures on Council budget. Reputational damage. Companies may not be able to take advantage of commercial opportunities if decision-making is restricted.	Medium 12 Significant (3) Likely (4)	9 3	• Conduct review of KCC Company Governance and ownership.	Paul Carter	A -Accepted	30/04/2018		Low 4
				• Training is being delivered to members of the Shareholder Board in the first two quarters of 2018/19 to support the knowledge required and to regularly reflect lessons learned.	Benjamin Watts	A -Accepted	31/10/2018		
				• Robust business cases developed for proposed new companies, subject to Member and Officer scrutiny - including consideration of market potential , governance arrangements etc	Paul Carter	Control			
				• Cultural and change factors are built into the planning for proposed creation of alternative service delivery models	Julie Cudmore	Control			
				• Governance: shareholder and company boards exist for KCC-owned companies with respective roles, with matters reserved for shareholder decision outlined.	Benjamin Watts	Control			
				• To develop exit strategies in relation to all businesses from a commissioning and shareholder perspective against various potential outcomes	Benjamin Watts	Control			
				• Alongside the exploration of the HoldCo, the Council is also effecting changes to the constitution and Member scrutiny to support effective oversight and input by Members.	Benjamin Watts	Control			
				• KCC's Group Audit function conducts audits for KCC-owned companies	Robert Patterson	Control			

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Risk Ref	Risk Title and Event	Owner	Last Review date	Next Review Date
CRR0041	**Maintaining a healthy and effective workforce through significant change** Low morale or stress related to organisational change or other factors. Increased sickness levels. Lack of depth / resilience of key personnel or teams. Increasing demands on staff leads to insufficient capacity.	Corporate Management Team		20/03/2018

Cause	Consequence	Current Risk	Previous Current Risk	Control / Action		Control / Action	Target Date	Days Overdue	Target Risk Level
KCC's workforce makes a vital contribution to the delivery of the Council's strategic outcomes, through its energy, commitment and hard work. Staff across the organisation need to be healthy, motivated and have the right skills to help the organisation develop. It is important that this continues through challenging times, with significant change becoming the new reality and further year-on-year efficiencies being required to meet difficult budgetary challenges.	Negative impact on productivity and levels of service.	Medium 8 Serious (4) Unlikely (2)		• Staff care services provide professional occupational health, counselling (Support Line), coaching and mediation services to help ensure staff are physically, emotionally and mentally well.	Mark Scott	Control			Medium 8
				• Employee engagement strategy in place	Paul Royel	Control			
				• Arrangements in place for active monitoring and response to absence	Paul Royel	Control			
				• Significant and positive engagement with staff representatives	Paul Royel	Control			
				• Wellbeing initiatives and health promotions for staff	Paul Royel	Control			
				• iResilience tools available	Amanda Beer	Control			
				• Suite of key performance indicators being monitored as early warning indicators e.g. retention, absence	Amanda Beer	Control			
				• Annual staff survey (Employment Value Proposition – EVP) builds insight by looking at the perceived balance between what the organisation offers staff and what employees bring to the job	Amanda Beer	Control			
				• Directorate Organisation Development group shares best practice and facilitates communication on key OD issues	Julie Cudmore	Control			
				• Service redesigns take account of capacity and capability issues ensuring resources are allocated appropriately	Corporate Management Team	Control			

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APPENDIX 2

Strategic and Corporate Services Risk Register

FEBRUARY 2018

Summary Risk Profile

Low = 1-6	Medium = 8-15	High =16-25

Risk No.*	Risk Title	Current Risk Rating	Changes to Current Risk Level since March 2017	Target Risk Rating
STCS 03	Maintain a healthy and effective workforce across STCS through significant change		Closed	
STCS 04	Full utilisation of transactional and reporting systems		Closed	
STCS 07	Capacity and capability challenges relating to corporate support functions		Closed	
ST0021	Anti-bribery and corruption	9	New	9
ST0022	Maximising opportunities presented by technology to support new ways of working	9	Risk revised from STCS 04	6
ST0023	Workforce capacity, capability and wellbeing	8	Risk merged from STCS 03 and STCS 07	8

*Each risk is allocated a unique code, which is retained even if a risk is transferred off the Directorate Register. Therefore there will be some 'gaps' between risk IDs.

NB: Current & Target risk ratings: The 'current' risk rating refers to the current level of risk taking into account any mitigating controls already in place. The 'target residual' rating represents what is deemed to be a realistic level of risk to be achieved once any additional actions have been put in place. On some occasions the aim will be to contain risk at current level.

Likelihood & Impact Scales					
Likelihood	**Very Unlikely (1)**	**Unlikely (2)**	**Possible (3)**	**Likely (4)**	**Very Likely (5)**
Impact	**Minor (1)**	**Moderate (2)**	**Significant (3)**	**Serious (4)**	**Major (5)**

Risk Register - Strategic and Corporate Services

Current Risk Level Summary

Green	Amber	Red	Total
0	3	0	3

Current Risk Level Changes

0	0	0	0	0
0	0	0	0	0
0	0	2	0	0
0	0	0	1	0
0	0	0	0	0

Risk Ref	Risk Title and Event	Owner	Last Review date	Next Review Date
ST0021	**Anti-Bribery and Corruption** Bribery or corruption activity in the ST directorate goes undiscovered or is discovered once material losses have been experienced.	Strategic & Corporate Services Directorate Management Team	20/02/2018	20/05/2018

Cause	Consequence	Current Risk	Previous Current Risk	Control / Action		Control / Action	Target Date	Days Overdue	Target Risk Level
A recent internal audit took place to review how well the Council is managing the risks associated with bribery and corruption and the Authority's compliance with the Bribery Act Policy. To date no substantiated allegations of bribery have been found, although some areas for improvement in the control environment were identified. There will be inherent risks of varying levels associated with particular functions across the directorate.	Financial loss Reputational loss	Medium 9 Significant (3) Possible (3)		• ST senior and middle managers received bribery awareness presentation as part of Challenger and T200 sessions	Paul Rock	Control			Medium 9
				• Whistleblowing policy – staff are aware of the process (on KNet and through line managers) and are enabled to highlight any concerns about irregular activity including bribery and corruption.	Paul Royel	Control			
				• KCC Anti-Fraud and Corruption Strategy updated and ratified by Governance and Audit Committee in October 2016	Robert Patterson	Control			
				• Alternative Service Delivery Vehicles i.e. Commercial Services, GEN2 and Invicta Law have adopted appropriate anti-bribery policies	ST Client Side Leads	Control			
				• Implementation of Anti-bribery action plan	Strategic & Corporate Services Directorate Management Team	Control			
				• Bribery and corruption controls being regularly reviewed by the Directorate Management Team	Strategic & Corporate Services Directorate Management Team	Control			

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				• Extended CMT Bribery risk assessment workshop conducted and areas of increased risk identified.	Strategic & Corporate Services Directorate Management Team	Control			
				• Staff are required to routinely declare any offers of gifts and/or hospitality they receive including those offers that are declined	Strategic & Corporate Services Directorate Management Team	Control			
				• Staff in identified higher risk areas complete the refreshed bribery & corruption eLearning package.	Strategic & Corporate Services Directorate Management Team	Control			

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Strategic and Corporate Services

Risk Register - Strategic and Corporate Services

Risk Ref	Risk Title and Event	Owner	Last Review date	Next Review Date
ST0022	**Maximising opportunities presented by technology to support new ways of working** Key stakeholders do not engage with the new technology solutions and therefore they are not utilised.	Strategic & Corporate Services Directorate Management Team	20/02/2018	20/05/2018

Cause	Consequence	Current Risk	Previous Current Risk	Control / Action		Control / Action	Target Date	Days Overdue	Target Risk Level
KCC is dependent on the ongoing development and use of technology solutions to support organisational transformation and enable new ways of working. Effective systems are also necessary to enable proactive extraction and reporting on data for the purposes of making better, more and informed decisions. It is important that the ST directorate utilises the tools available while being mindful of the financial and wider resource implications, in order to set a good example for the rest of the organisation.	Manual and less efficient systems continue to be used. Potential to achieve associated benefits such as financial efficiencies and improved collaborative working are limited	Medium 9 Significant (3) Possible (3)		• Further roll-out of Collaborative Planning to achieve full coverage	Andy Wood	A -Accepted	30/09/2019		Low 6
				• Roll out of Business Change programme across the directorate and KCC to ensure benefits of technology advances and projects are fully adopted and viewed as key enablers in the wider change programme.	Amanda Beer	A -Accepted	07/09/2018		
				• Roll out of Transformation Programme; Cloud Navigator Phase 1 implementation	Michael Lloyd	A -Accepted	31/03/2018		
				• Roll out of ICT Transformation Programme; Windows 10/User Access Device roll-out	Michael Lloyd	A -Accepted	28/02/2018	5	
				• Robust programme and project management in place for the roll-out of the ICT Transformation Programme	Michael Lloyd	Control			
				• Roll-out of ICT Transformation Programme; implementation of Skype for Business (Unified Comms replacement)	Michael Lloyd	Control			
				• Significant numbers of staff/managers are using key existing tools such as HR self-service, I-procurement, Collaborative Planning, Oracle Business Intelligence and e-learning tools.	Strategic & Corporate Services Directorate Management Team	Control			

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Risk Register - Strategic and Corporate Services

Risk Ref	Risk Title and Event	Owner	Last Review date	Next Review Date
ST0023	**Workforce capacity, capability and wellbeing** Insufficient capacity to maintain day-to-day delivery on top of supporting change. Lack of appropriate skills and competencies as the directorate develops. Low morale or stress related to organisational change or other factors. Lack of depth / resilience of key staff or ineffective workforce planning.	Strategic & Corporate Services Directorate Management Team	20/02/2018	20/05/2018

Cause	Consequence	Current Risk	Previous Current Risk	Control / Action		Control / Action	Target Date	Days Overdue	Target Risk Level
The Strategic and Corporate Services directorate plays a vital role in supporting the organisation to run effectively and efficiently. To do this, the workforce needs to have sufficient capacity, be healthy, motivated and have the right skills.	Levels of service drop or support for key change initiatives cannot be given in required timescales.	Medium 8 Serious (4) Unlikely (2)		• Attendance management policies and training for managers in place.	Paul Royel	Control			Medium 8
				• Wellbeing initiatives and health promotions for staff.	Paul Royel	Control			
				• Suite of KPIs being monitored as early warning indicators e.g. retention, absence.	Amanda Beer	Control			
				• iResilience Tools available	Amanda Beer	Control			
				• Employee Value Proposition Survey (EVP) - annual staff survey conducted to look at the balance between what the organisation offers it employees and what they feel they bring to KCC in return. Draws out issues around job pressure for example.	Amanda Beer	Control			
				• Effective operation of the Managing Stress at Work policy	Flavio Walker	Control			
				• Service redesigns take account of capacity and capability issues ensuring resources are allocated appropriately.	Strategic & Corporate Services Directorate Management Team	Control			
				• Bids put forward to transformation fund for additional resource if required.	Strategic & Corporate Services Directorate Management Team	Control			
				• Project based approaches adopted and resource mapping in place where required to aid capacity planning.	Strategic & Corporate Services Directorate Management Team	Control			

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				• Resource requirements reviewed regularly in light of projected workload.	Strategic & Corporate Services Directorate Management Team	Control			

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

Ben Watts (General Counsel)

To: Policy and Resources Cabinet Committee –16 March 2018

Subject: **Work Programme 2018/19**

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 2018/19.

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 2018/19

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 2018/19.

6. Background Documents

None.

7. Contact details

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Appendix A

WORK PROGRAMME – 2018/19
Policy and Resources Cabinet Committee

Agenda Items
Friday 11 May 2018
Standard Items   • *Performance Dashboards - Vincent Godfrey & Richard Fitzgerald*   • *Work Programme*   • *Contract Management update*   • Update of Policy Framework (D Whittle – minute 27, 15 September 2017 (deferred from March to May on 6 February 2018)   • Asbestos Policy   • Business Service Centre – bi- annual performance report   • Exposures/ impacts/risk presented by major entities   • ICT Security Annual Report   • Armed Forces Covenant annual report   • 18/00009 Property Asset Management Strategy 2018-2023 (deferred from March – email of 23 February   • Gen2 update (added at agenda setting meeting on 19 December 2017 and deferred from March – email of 06 March 18)
Friday 29 June 2018
Standard Items   • *Performance Dashboards - Vincent Godfrey & Richard Fitzgerald*   • *Work Programme*   • *Contract Management update*   • Invicta Law Update (B Watts) (added at agenda setting meeting on 19 December 2017)
Thursday 6 September 2018
Standard Items   • *Performance Dashboards - Vincent Godfrey & Richard Fitzgerald*   • *Work Programme*   • *Contract Management update*   • Total Facilities Management – Bi-annual report   • Corporate Assurance – bi-annual report

Tuesday 20 November 2018

Standard Items

- *Performance Dashboards - Vincent Godfrey & Richard Fitzgerald*
- *Work Programme*
- *Contract Management update*

- Annual Equalities and Diversity report
- Total Facilities Management – Bi-annual report
- Business Service Centre – Bi- annual performance report

Friday 18 January 2019

Standard Items

- *Performance Dashboards - Vincent Godfrey & Richard Fitzgerald*
- *Work Programme*
- *Contract Management update*

- 2018/19 Budget and Medium Term Financial Plan

Friday 8 March 2019

Standard Items

- *Performance Dashboards - Vincent Godfrey & Richard Fitzgerald*
- *Work Programme*
- *Contract Management update*

- Total Facilities Management – Bi-annual report

- Directorate Business Plans (D Whittle)
- Risk Register

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