

POLICY AND RESOURCES CABINET COMMITTEE

Friday, 11th May, 2018

10.00 am

Darent Room - Sessions House





AGENDA

POLICY AND RESOURCES CABINET COMMITTEE

Friday, 11 May 2018, at 10.00 am
Darent Room - Sessions House

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

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

UNRESTRICTED ITEMS

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

1 Introduction/Webcast announcement

2 Apologies and Substitutes

To receive apologies for absence and notification of any substitutes present

- 3 Declarations of Interest by Members in items on the Agenda
To receive any declarations of interest made by Members in relation to any matter on the agenda. Members are reminded to specify the agenda item number to which it refers and the nature of the interest being declared.

- 4 Minutes of the meeting held on 16 March 2018 (Pages 7 - 14)
To consider and approve the minutes as a correct record.

- 5 Strategic and Corporate Services Performance Dashboard (Pages 15 - 30)
To receive and note a report that shows progress made against targets for Key Performance Indicators

- 6 18/00009 Asset Management Strategy 2018-2023 (Pages 31 - 60)
To consider and endorse, or make recommendations to the Cabinet Member for Corporate and Democratic Services on a proposed decision

- 7 18/00025 Kent County Council's Asbestos Policy and Procedures (Pages 61 - 138)
To consider and comment on the proposed decision by the Cabinet Member for Corporate and Democratic Services to approve the adoption of the Asbestos Policy and Procedures

- 8 Strategy and Policy Control Framework Bi-Annual Update (Pages 139 - 154)
To receive a report which provides a six-month progress update on the Strategy and Policy Control Framework, including an analysis of the current Strategy and Policy Register. The report also outlines the improvements in managing the process since September 2017, challenges, and the planned next steps for managing the control framework

- 9 Legal Update (Pages 155 - 156)
To receive a report that provides a legal update regarding the impact on KCC of issues regarding Carillion PLC

- 10 Work Programme (Pages 157 - 160)
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.

EXEMPT ITEMS

- 11 Contract Management Review Group - 6-month progress review (Pages 161 - 166)
To receive a report which sets out how the programme of contract management reviews is conducted, a 6-month progress review, some high-level findings and feedback.
- 12 Business Services Centre Trading Company - Progress update and performance report (Pages 167 - 176)
To receive a report on the progress to date in relation to the new service delivery model for the Business Services Centre through the creation of an arm's length trading vehicle from which KCC would commission transactional Finance, HR and ICT services and an update on performance to date.
- 13 Property LATCO Commissioned Services Update (Pages 177 - 180)
To receive a report that provides an update on the service delivery
- 14 ICT Security Annual Report (Pages 181 - 186)
To receive an update on ICT security and cyber threats

Benjamin Watts
General Counsel
03000 416814

Wednesday, 2 May 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 on Friday, 16 March 2018

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

ALSO PRESENT: Miss 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 Miss G Little (Democratic Services Officer)

UNRESTRICTED ITEMS

60. Apologies and Substitutes

(Item 2)

Apologies were received from Mr P Lake and Ms K Constantine. Mr Simkins and Mr Farrell attended as substitutes respectively.

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

(Item 3)

None were declared

62. Minutes of the meeting held on 2 February 2018

(Item 4)

RESOLVED that the minutes of the meeting held on 2 February 2018 are correctly recorded and that they be signed by the Chairman.

63. Update on Interim Hackitt Review

(Item 5)

Flavio Walker (Head of Health and Safety) and Karen Ripley (Strategic and Corporate Services) were in attendance for this item.

1. Mrs Ripley provided an update on the key findings of the Hackitt Review Interim Report and how they affected the way in which Kent County Council managed its estate. The six areas for change included: regulation and guidance; roles and responsibilities; competence; process compliance and enforcement; residents' voice and raising concerns; and quality assurance. The Council had reviewed and progressed its implementation of the corporate landlord model which would provide the Council with the

ability to have a single view of all its asset holdings and ensure requirements could be met. Mrs Ripley assured Members that as the Hackitt review reached its final conclusions, Kent County Council would continue to review its approach and report to the Committee. The final publication of the Hackitt Review was planned for Spring 2018.

2. In response to Members' questions regarding whether Kent County Council had a specific provider to carry out building control, Mrs Ripley said that the Council used a range of auditors which were determined by the terms of the contract, however, they were usually local authority assessors or approved inspectors whose primary responsibility was the examination of building regulations, not Kent County Council's specifications.
3. Members queried the accountability of the architect responsible for the structure of buildings and Mrs Ripley said that it would depend on the contract whether they would be employed directly or procured by to carry out a specific piece of work. If the Council had a Design and Build contract the Council would do the initial work and the architect would work for the contractor. An independent certifier who would carry out an independent assessment to ensure any building met the required specification. All information relating to the architect responsible and the relevant specification would be retained for the purpose of potential defects as the Council would need to know who to address.
4. Mr Chard (who is also Chairman of the Fire Authority) assured the Committee that there would be a national response following the publication of the Hackitt Review.
5. RESOLVED that:
 - (1) The findings of the Hackitt Review Interim Report and how this might affect the way in which the Council manages its own estate be noted; and
 - (2) On publication of the final Hackitt Review Report planned for Spring 2018, a further paper making recommendations be presented to the Policy and Resources Cabinet Committee.

64. 18/00142 Policy and Practice for the Management of Hot and Cold Water Systems

(Item 6)

Flavio Walker (Head of Health and Safety) and Karen Ripley (Strategic and Corporate Services) were in attendance for this item.

1. Mr Hotson (Cabinet Member for Corporate and Democratic Services) introduced the report which outlined Kent County Council's strategy on the management of water systems across its property portfolio and asked the Committee to endorse the adoption of the Policy and Code of Practice for the Management of Hot and Cold-water Systems to ensure legislative requirements could be met.

2. In addition to this, Mrs Ripley said the policy clearly defined Kent County Council's role, responsibility and commitment in preventing or minimising the risk from legionella bacteria. The policy also identified liability for the maintenance of non-KCC buildings and where liability could not be established, the Council carried out routine risks assessments to ensure that KCC staff who occupied that area were aware of the risks and could take appropriate steps to manage them as far as reasonably practicable.
3. In response to Members' enquiries, Mr Walker said that KCC had a range of buildings and that the audit remit did not currently cover academies or free schools. However, there had been a three-month assessment programme to ensure schools were compliant with KCC's practice standards for water hygiene and discussions had taken place between the Health & Safety Team and schools to ensure correct measures had been taken to prevent legionella. Kent County Council also provided statutory compliance training free of charge for site personnel who were responsible for carrying out monthly audits.
4. RESOLVED that:
 - (1) The adoption of the Code of Practice for the Management of Hot and Cold-Water Systems Policy be endorsed; and
 - (2) A written report be provided to the Committee following the SFA's response and a copy of this be sent to Mr Bird.

65. Senior Information Risk Owner Update

(Item 7)

Ben Watts (General Counsel) was in attendance for this item.

1. Mr Watts introduced the report which provided an update regarding the implementation of the forthcoming General Data Protection Regulation (GDPR) and advised Members that, as the newly proposed Senior Information Risk Owner (SIRO), he would be responsible for ensuring effective management of information in all its forms and locations. Following the enhanced obligations placed on Kent County Council by the GDPR, discussions had taken place with Members regarding the possibility of insurance against fines that could be imposed by the Information Commissioner's Office (ICO). Mr Watts informed Members that officers were looking into whether Kent County Council's existing policy covered indemnity for Members and that an email would be sent out in due course. Mr Watts said that Kent County Council was a Member-led authority and therefore, it was crucial that the correct advice and support was given to Members on managing sensitive data. He reminded Members that the GDPR was an EU regulation and that all officers and Members had a responsibility to manage and protect data. Mr Watts said that Information Governance Training should be the first piece of training any Member should complete upon starting their role within the Council and failure to complete it could leave them open to challenge. In order to strengthen data protection for individuals, all Members were required to complete the training by 25 May 2018. Mr Watts recognised that this was a challenging proposal, however, as the SIRO it was important to protect the authority.

2. In response to Members' concerns regarding the training dates, Mr Watts said that training would be pushed back by a week to ensure high attendance. He said that the training would also be extended to both District and Parish Town Council colleagues.
3. In response to questions Mr Watts said that it was not possible to identify the resources required at such an early stage.
4. In response to Members' enquiries Mr Watts said that whilst they were rightly concerned about the need for insurance in the event of a fine, the Information Commissioner's Office's approach had always been to recognise an individual's effort to comply with regulations; and therefore it was essential all Members completed the electronic training.
5. RESOLVED that the report be noted and the proposed decision that Members be required to complete the Information Governance, Data Protection and General Data Protection Regulation training be endorsed.

66. Strategic and Corporate Services Directorate Business Plan 2018-19 (Draft)
(Item 8)

David Whittle (Director, Strategy, Policy, Relationships and Corporate Assurance) and Liz Sanderson (Strategic Business Advisor, Corporate, Strategy Policy, Relationships and Corporate Assurance) were in attendance for this item.

1. Mr Cockburn (Head of Paid Service & Corporate Director of Strategic and Corporate Services) introduced the report which set out the draft Strategic and Corporate Services Directorate Business Plan. The Business Plan set out the annual priorities as part of a rolling three-year plan. These included: modernisation of Kent County Council's constitution; ensuring the Council was compliant with the General Data Protection Regulations; responding to the Hackitt review; strategic commissioning; maximising opportunities for apprenticeships and the delivery of ICT, HR, OD and asset strategies to drive transformation and cultural change. Mr Cockburn drew Members' attention to the list of priorities set out on pages 88 and 89, the significant service activity set out on pages 94 to 96 and the significant commissioning activity set out on pages 97 and 98. The Committee was asked to consider and comment on the draft Strategic and Corporate Services Directorate Business Plan prior to its publication in April 2018.
2. Mr Whittle undertook to amend the Business Plan to reflect the continuing existence of the Commissioning Advisory Board.
3. Members enquired about whether a planned review of the SHQ buildings should be incorporated within the Corporate Services Directorate Business Plan. Mr Whittle undertook to consider how this could be reflected within the Corporate Services Directorate Business Plan.
4. In response to Members' enquiries regarding the quantitative and qualitative nature of the Key Performance Indicators, Mr Whittle agreed

that the report focused on quantitative rather than qualitative data and undertook to consider how qualitative information could be better reflected within the Corporate Services Directorate Business Plan.

5. Mr Whittle agreed to liaise with Mr Fitzgerald on the potential to include an additional column within the report stating the rationale for performance targets. Mr Whittle stated this should have been included in the draft report and would be included in future years.
6. In response to Members' queries, Mr Whittle agreed to include reference to National Education Schools Funding Formula funding in the Corporate Services Directorate Business Plan.
7. With regard to Key Performance Indicators FN07 and FN08 on page 101 of the report, Mr Whittle agreed to review the wording which was unnecessarily complicated.
8. RESOLVED that the Cabinet Committee endorsed the proposed decision to note that the final Directorate Business Plan 2018-19 would be published online in April 2018.

67. Risk Management: Strategic and Corporate Services
(Item 9)

David Whittle (Director, Strategy, Policy, Relationships and Corporate Assurance) and Mark Scrivener (Corporate Risk Manager) were in attendance for this item.

1. Mr Whittle introduced the report which presented the strategic risks relating to the Strategic and Corporate Services directorate in addition to the risks that already featured within the Corporate Risk Register for which the Corporate Directors were designated 'Risk Owners.' The report also explained the management process for the review of key risks. Mr Whittle explained that the investigation and scrutiny of the Risk Registers was important to the risk framework and that risk scores were changed in accordance to the feedback received from Members.
2. In response to Members' questions, Mr Scrivener said that risks relating to a supplier collapse within private schools or private care providers were built into the Business Continuity Plan and were different from 'supplier failure.' Exit strategies and controls had been added to the Corporate Risk Register to manage supplier failure.
3. Mr Scrivener said the Risk Register was a living document which reflected the dynamic nature of risk management and as risks changed constantly it was difficult to capture it within a report. Mr Whittle said that the report had focused on Members ability to look at the efficiency, actions and controls however he agreed to review the covering paper with a view to provide more context.
4. Ms Carey said a seminar had been held recently that focused on risk management, how the risk profile had changed over the years and how this compared with other local authorities.

5. RESOLVED that the directorate risk register and the corporate risks outlined in appendices 1 and 2, be noted.

68. Work Programme 2018/19
(Item 10)

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

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.

69. 18/00008 Review of KCC Company Ownership and Governance
(Item 11)

Ben Watts (General Counsel) and Andy Woods (Corporate Director of Finance) were in attendance for this item.

1. Richard Long (Cabinet Lead for Traded Services) introduced the report which provided an update on the governance, management and development of the proposed holding company for KCC's wholly-owned trading vehicles.
2. Mr Watts provided a brief summary regarding the proposed arrangements for Member scrutiny and the governance arrangements for the Holding Company. He said that following previous discussions a Member panel would be created and would be included in the Council's informal governance framework as part of the Council's revised Constitution that would go to full County Council in May 2018.
3. In response to a question, Mr Wood said a decision had yet to be taken regarding the format of accounts.
4. RESOLVED that the report be noted.

70. Contract Management Review- Agilisys
(Item 12)

Vincent Godfrey (Strategic Commissioner) was in attendance for this item.

1. Ms Carey (Cabinet Member for Customers, Communications and Performance) introduced the report which set out details of a review of the Agilisys contract which had been conducted using the National Audit Office Framework. The contract was first reviewed in October 2016 and again in January 2018 and the report set out the comparison of both reviews and provided details of high-level findings.

2. Mr Godfrey said that contract management was a key component of the commissioning cycle and that a sub-group of the Budget and Programme Delivery Board had been convened to review contracts with the objective of disseminating best practice, which in turn improved value for money and the management of risks. The sub-group to date had considered twenty-six contracts from various services.
3. RESOLVED that the report be noted.

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

To: Policy and Resources Cabinet Committee – 11 May 2018

Subject: Strategic and Corporate Services Performance Dashboard

Classification: Unrestricted

Summary:

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

Recommendation(s):

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

1. Introduction

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

2. Performance Dashboard

- 2.1. The Strategic and Corporate Services Performance Dashboard is attached in Appendix 1.
- 2.2. This is the fourth and final Dashboard report for the current financial year and includes performance results up to the end of March 2018.
- 2.3. Some results are subject to a time delay and March results were not available for all indicators at the time of reporting. Indicators where the results relate to time periods before March are indicated within the report.
- 2.4. The Dashboard includes twenty-seven (27) Key Performance Indicators (KPIs) detailed in the Strategic and Corporate Services Directorate Business Plan 2017/18.
- 2.5. The Dashboard also includes a range of activity indicators which help give context to the Key Performance Indicators.

- 2.6. Key Performance Indicators are presented with RAG (Red/Amber/Green) alerts to show progress against targets. Details of how the alerts are generated are outlined in the Guidance Notes, included with the Dashboard in Appendix 1.
- 2.7. End of year performance is reported as Green for 16 indicators, Amber for seven indicators, with four indicators Red.

3. Recommendation(s):

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

4. Background Documents

The Strategic and Corporate Services Directorate Business Plan

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

5. Contact details

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

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

Strategic and Corporate Services Performance Dashboard

Financial Year 2017/18

Results up to March 18

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Produced by Strategic Business Development and Intelligence

Publication Date: April 2018



Guidance Notes

Key Performance Indicators

All Key Performance Indicators are provided with RAG (Red/Amber/Green) ratings

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

RAG Ratings

GREEN	Target has been achieved
AMBER	Floor Standard* achieved but Target has not been met
RED	Floor Standard* has not been achieved

*Floor Standards are set in Directorate Business Plans and if not achieved must result in management action

Activity Indicators

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

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

Key Performance Indicator Summary

Engagement, Organisation Design and Development (EODD)	RAG
CS01 : Callers who rate the advisors in Contact Point as good	GREEN
CS04 : Calls to Contact Point answered	AMBER
CS05 : Calls to Contact Point answered in 40 seconds	AMBER
CS07 : Complaints responded to in timescale	GREEN
HR22 : Delivery of Health & Safety Action Plan against stated outcomes	GREEN
HR24 : HR Commissions that deliver stated outcomes	GREEN
HR11 : Percentage of staff who feel informed	GREEN
HR09 : Training that delivers commissioned learning outcomes	GREEN
HR23 : Staff who have completed all 3 mandatory learning events	RED

Finance	RAG
FN01 : Pension correspondence processed within 15 working days	GREEN
FN02 : Retirement benefits paid within 20 working days of all paperwork received	GREEN
FN07 : Invoices received by Accounts Payable within 30 days of KCC received date	AMBER
FN08 : Invoices received on time by Accounts Payable processed within 30 days	GREEN
FN09 : Outstanding total debt over 6 months old	AMBER

Finance (continued)	RAG
FN10 : Outstanding debt over 6 months old which is secured	AMBER
FN11 : Financial assessments fully completed within 15 days of referral	GREEN

Governance and Law	YTD RAG
GL01 : Council and Committee papers published at least five days before meetings	AMBER
GL02 : Freedom of Information Act requests completed within 20 working days	RED
GL03 : Data Protection Act Subject Access requests completed within 40 calendar days	RED

Infrastructure	YTD RAG
ICT01 : Calls to ICT Help Desk resolved at the First point of contact	GREEN
ICT02 : Positive feedback rating with the ICT help desk	GREEN
ICT03 : Working hours where Kent Public Sector Network is available to staff	GREEN
ICT04 : Working hours where ICT Service available to staff	GREEN
ICT05 : Working hours where Email is available to staff	GREEN
PI01 : Rent due to KCC outstanding over 60 days	AMBER
PI03 : Annual net capital receipts target achieved	RED
PI04 : Reactive tasks completed in Service Level Agreement standards	GREEN

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

Key Performance Indicators

Ref	Indicator description	Year End	RAG	Target	Floor Standard	Previous Year
CS01	Percentage of callers who rate the advisors in Contact Point as good	98%	GREEN	95%	90%	98%
CS04	Percentage of calls to Contact Point answered	94%	AMBER	95%	80%	97%
CS05	Percentage of calls to Contact Point answered in 40 seconds	70%	AMBER	80%	70%	83%

Activity Indicators

Ref	Indicator description	Year End	In expected range?	Expected Activity		Previous Year
				Upper	Lower	
CS08	Number of calls answered by Contact Point (000s)	602	Above	593	536	504
CS12	Number of visits to the KCC website, kent.gov (000s)	5,503	Above	5,200	4,400	5,058

CS04 & 05 – Call pressures created by the three-yearly renewal of concessionary fares, impacted significantly on performance in the final quarter, when call volumes exceeded the agreed forecast. The average call handling time has also increased over the last 12 months, as there has been reductions in call types, such as “Golden Number” due to the introduction of Netcall, which had low handling times. Other calls such as Blue Badges with a longer call time have increased, putting greater pressure on Contact Point staffing resource.

CS08 – There have been higher than forecast call volumes, particularly in relation to specific service lines such as Blue Badges, Speed Awareness and concessionary fares. We continue to work with the supplier to move the call volumes to the expected range over the coming months.

CS12 - The last quarter saw increased visits for concessionary bus pass renewals and winter weather pages, compared to last year. Earlier in the year, the KCC Election attracted an additional 200,000 page views. Roadworks content, and the refreshed library section also contributed to higher than expected volumes.

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

Key Performance Indicators – Quarterly (December data)

Ref	Indicator description	Year to Date	YTD RAG	Target	Floor Standard	Previous Year
CS07	Percentage of complaints responded to in timescale	89%	GREEN	85%	80%	86%
HR22	Delivery of Health & Safety Action Plan against stated outcomes	98%	GREEN	80%	75%	New
HR24	Percentage of HR Commissions that deliver stated outcomes	100%	GREEN	80%	75%	New

Activity Indicators (March data)

Ref	Indicator description	Year End	In expected range?	Expected Activity		Prev. Yr
				Upper	Lower	
HR12	Number of current change activities being supported	79	Above	75	60	77
HR16	Number of registered users of Kent Rewards	17,660	Below	20,000	18,500	19,330
HR21	Number of current people management cases being supported	82	Yes	85	70	98

HR12 – The number of change activities increased due to the start of several policy reviews and restructure or redesign projects.

HR16 - A data cleanse exercise took place over the last quarter to identify and remove users that are no longer eligible to use the site, this has resulted in a large decrease in registered users for Kent Rewards.

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

Key Performance Indicator – Annual

Ref	Indicator description	Latest Year	RAG	DoT	Target	Floor Standard	Previous Year
HR11	Percentage of staff who feel informed	82%	GREEN	↑	74%	70%	74%

Activity Indicators

Ref	Indicator description	Latest Year	In expected range?	Expected Activity		Prev. Yr
				Upper	Lower	
HR20	Number of staff who responded to the annual staff survey	1,563	Above	1,200	1,100	1,767

HR20 – The number of responses to the staff survey was good this year and above the expected range, although down on last year.

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

Key Performance Indicators

Ref	Indicator description	Year End	RAG	Target	Floor Standard	Previous Year
HR09	Percentage of training that delivers commissioned learning outcomes	100%	GREEN	95%	90%	100%
HR23	Percentage of staff who have completed all 3 mandatory learning events	78%	RED	90%	85%	N/a

Activity Indicators

Ref	Indicator description	Year End	In expected range?	Expected Activity		Prev. Yr
				Upper	Lower	
HR13	Total number of E-learning training programmes completed	45,819	Above	35,000	25,000	52,256

HR23 – The fall in completion of the 3 mandatory learning events corresponds with the majority of staff needing to complete refresher training as they have now reached their 2 year anniversary date. It is likely that many have made a decision to wait until the new GDPR e-learning module was available (27 April 2018) rather than complete the previous module. Delta now generates individual and line manager email alerts to prompt completion of mandatory training one month before the expiry date and changes to the monthly reporting will highlight refresher dates 3 months in advance. The quality of training continues to be rated high and shows that learning outcomes are being met.

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

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

Key Performance Indicators

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

Activity Indicators

Ref	Indicator description	Year End	Prev. yr
FN01b	Pension correspondence processed	5,339	5,370
FN02b	Retirement benefits paid	2,008	2,238
FN07b	Number of invoices paid by KCC	119,375	140,648

FN07 – The total number of invoices received increased this month (expected at year end). This target remains Amber again this month. There are reminders to budget managers of the importance of timely submission of invoices to finance for payment.

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

Key Performance Indicators

Ref	Indicator description	Year End	RAG	Target	Floor Standard	Previous Year
FN08	Invoices received on time by Accounts Payable processed within 30 days	98%	GREEN	96%	93%	99%
FN09	Percentage of outstanding total debt over 6 months old	57%	AMBER	55%	60%	N/a
FN10	Percentage of outstanding debt over 6 months old which is secured	42%	AMBER	45%	38%	N/a
FN11	Percentage of financial assessments fully completed within 15 days of referral	92%	GREEN	90%	85%	N/a

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Activity Indicators

Ref	Indicator description	Year End	Prev. yr
FN09b	Value of debt due to KCC (£000s)	22,827	19,681
FN11b	Number of financial assessments received	7,559	N/a

FN09 - Although overall debt has reduced considerably this month the amount of debt over 6 months old remains consistent.

FN10 - Opportunity to secure debts are constantly explored by the Debt Recovery Teams.

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

Key Performance Indicators

Ref	Indicator description	Year End	YTD RAG	Target	Floor Standard	Previous Year
GL01	Council and Committee papers published at least five clear days before meetings	99%	AMBER	100%	96%	100%
GL02	Freedom of Information Act requests completed within 20 working days	89%	RED	95%	90%	95%
GL03	Data Protection Act Subject Access requests completed within 40 calendar days	79%	RED	90%	85%	82%

Activity Indicators

Ref	Indicator description	Year End	Prev. yr
GL01b	Committee meetings	161	178
GL02b	Freedom of Information requests	2,109	2,024
GL03b	Data Protection Act Subject Access requests	290	281

GL01 – Performance improved after the May election when some information was not available in time for publication for the Annual County Council meeting in May and Selection and Member Services Committee in June.

GL02 & GL03 – Members received a detailed report in relation to the challenges faced in this area and the work being done by staff in response to those challenges at the February Cabinet Committee. The report explained the resourcing available to manage requests and the considerable increase in the number and complexity of requests over recent years. The Information Resilience & Transparency Team continues to provide advice on the most efficient ways to prepare records to save time and resource. Guidance is also available on KNet and is issued with every referral.

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

Key Performance Indicators

Ref	Indicator description	Year End	RAG	Target	Floor Standard	Previous Year
ICT01	Calls to ICT Help Desk resolved at the First point of contact	71%	GREEN	70%	65%	71%
ICT02	Positive feedback rating with the ICT help desk	98%	GREEN	95%	90%	99%
ICT03	Working hours where Kent Public Sector Network (KPSN) is available to staff	99.8%	GREEN	99.8%	99%	99.9%
ICT04	Working hours where ICT Service available to staff	99.8%	GREEN	99%	98%	99.2%
ICT05	Working hours where Email is available to staff	100%	GREEN	99%	98%	100%

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Activity Indicators

Ref	Indicator description	Year End	Prev. yr
ICT01b	Calls to ICT Help Desk	56,961	69,566
ICT02b	Feedback responses provided for ICT Help Desk	7,542	9,896

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

Key Performance Indicators

Ref	Indicator description	Year End	Month RAG	Target	Floor Standard	Previous Year
PI01	Percentage of rent due to KCC outstanding over 60 days	8%	AMBER	5%	15%	9%
PI03	Percentage of annual net capital receipts target forecast to be achieved (£22m)	50%	RED	100%	90%	34%

Activity Indicator

Ref	Indicator description	Year End	Prev. yr
PI01b	Total rent outstanding (£'000s)	1,122	1,418

PI01 – The Infrastructure are working with Gen2 Finance and Estates to ensure that all outstanding debt are addressed and processes in place to collect all outstanding debts including legal action and working with individuals to establish the most appropriate way of removing the debt. In addition, Gen2 finance are working towards all eligible tenants moving to Direct Debt method of payment, which will reduce the threat of this risk even further. All of which has had a positive effect that the over 60-day debt ending the year finishing the year at £93,300 (8.3% of the total debt). Of this £63.3K relates to six debts, five have plans in place to secure the money owed either via payment plans or legally, the sixth at the time of writing has been settled.

PI03 – The disposal team in collaboration with the Property Commissioning has been trying to balance the pressures of bringing assets to the market in the shortest possible time and achieving the best price. Unfortunately, this has meant the rephasing of some sales from 17/18 to 18/19 due to various reasons including the sales taking longer than expected, the property being withdrawn, and potentially being re-used by the authority, or issues with planning permission. Therefore, as of the 31st March £11.05m of capital receipt had been received, which although not meeting the yearly target provides the best results for the authority in optimising the receipts from disposing of a finite supply of property assets.

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

Key Performance Indicators (February data)

Ref	Indicator description	Year to Date	YTD RAG	Target	Floor Standard	Previous Year
PI04	Percentage of reactive tasks completed within Service Level Agreement standards	97%	GREEN	90%	80%	89%

Activity Indicator

Ref	Indicator description	Year to date	Prev. yr YTD
PI04b	Number of reactive tasks responded to	18,383	16,638

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

Rebecca Spore Director of Infrastructure

To: Policy and Resources Cabinet Committee, 11th May 2018

Decision No: 18/00009

Subject: Asset Management Strategy 2018-23

Classification: Unrestricted

Past Pathway of Paper: Cabinet Members Meeting 23rd April 2018

Future Pathway of Paper: Cabinet Member Decision

Electoral Division: ALL

Summary:

Kent County Council holds a property portfolio with an asset value of circa £1.87 billion. In addition, KCC runs an ambitious capital programme where receipts from the disposal of surplus assets are reinvested in line with the Council's priorities.

To ensure KCC extracts maximum financial, operational and social value from its estate it is imperative that it continuously aligns to KCC's outcomes contained within its various policies and objectives and looks to the future to determine a plan to follow and assess its success against.

Primarily, this draft Property Asset Management Strategy 2018 - 2023 sets out the vision and objectives for KCC's estate for the next 5 years and responds to the changing context the Council is operating within, including service reviews and advances in technology which are changing the way we use our assets. The move is towards a better utilised, right sized estate which is relevant to KCC's service delivery whilst maximising the opportunity through its investment funds to deliver income to the Council.

In addition, the report provides a review of KCC's New Ways of Working Strategy, a key Corporate Programme initiated under the last Asset Management Plan. This sought to align the way KCC works to modern methods, considering how office space should be utilised using modern practices and technology to drive greater efficiency and effectiveness.

Recommendation(s):

The Policy and Resources Cabinet Committee is asked to consider and endorse, or make recommendations to the Cabinet Member for Corporate and Democratic Services on the proposed decision to:

1. Note the Estate's present position and achievements through the implementation of the last Asset Management Strategy 2012–2017.
2. Note the proposed policy statement including the vision and mission for the estate.
3. Note the six themes which the Strategy will focus upon to deliver the vision for the estate.
4. Agree the adoption of the Asset Management Strategy 2018-2023 attached as appendix 1 to this report and the development of delivery plans.

1. Introduction

- 1.1 This report introduces and recommends the adoption of a new five-year asset management strategy for its property estate commencing 2018 until 2023 which will replace KCC's present Asset Management Strategy which came to an end in 2017.
- 1.2 A Property Asset Management Strategy is an effective tool to drive an Estate's efficiency and effective management by setting out objectives and performance criteria. Property assets are a considerable cost to the delivery of services and to ensure value for money is being obtained by KCC, the Estate needs to deliver its function adequately and appropriately in accordance with the needs of the organisation. In line with industry best practice The Asset Management Strategy will be a key enabler for Council Transformation and business change, delivering improved outcomes and increased opportunities.
- 1.3 To ensure KCC extracts maximum financial, operational and social value from its estate, it is imperative that it continuously aligns it to KCC's outcomes contained within its various policies and objectives and looks to the future to determine a plan to follow and assess its success against. The new format of the document, whilst similar, takes account of how KCC is going through an ongoing change at some pace and therefore specific targets, priorities etc. will now be established in Infrastructure's Annual Business Plan.
- 1.4 This Asset Management Strategy will be the document referenced in all key property management strategies going forward, such as, KCC's Capital programme, Asset Utilisation Programme, etc. The strategy will ensure that these and other similar programmes tie into KCC's wider change activity. The document also pulls together where the estate is contributing to the delivery of KCC's policies and plans such as the Kent Environmental Strategy.
- 1.5 This report will set out the main achievements through the 2012-2017 Asset Management Strategy to date. Lastly, in view of its importance in respect of delivering changes to the estate, this report will also provide a brief review of New Ways of Working progress in the last reporting period (June 2016-March 2018) on the delivery of its agreed strategy and implementation.
- 1.6 It provides an update on actions being taken to continue to deliver this integrated change management programme for KCC and the two East Kent projects which came to the Property Sub-Committee for a decision in June 2016 and have recently been completed.

2. Financial Implications

- 2.1 Presently the revenue budget for managing the Corporate Estate in 2017-18 is approximately £27m. This budget excludes the cost of assets presently managed within the Directorates and are due to transfer to central management in 2018.
- 2.2 KCC's estate is considerable and this is demonstrated by its asset value for accounts purposes for the estate at £1.87 billion. This is not a market value (presently we only hold this information for vacant assets and those identified within the disposals programme – currently 67 assets are estimated in this programme to produce £101 million).
- 2.3 The work undertaken for this Asset Management Strategy identified that despite the considerable work and targeting to reduce the operational asset base, the estate remains large.
- 2.4 The new Asset Management Strategy clearly focuses the need to *review, reduce and renew* its estate to more sustainable proportions but use this process to improve the overall quality of the estate to support better service outcomes and for it to become more manageable in a reducing budget environment. The Strategy will therefore set a direction for all programmes and strategies sitting beneath it that can deliver over the term significant revenue savings and capital investment resources.

3. Statutory and Policy Framework

- 3.1 Kent County Council is bound to a breadth of statutory duties and functions which it delivers throughout the organisation through its various services. They also deliver KCC's vision contained in its Strategic Statement 2015-2020 to "Increasing Outcomes, Improving Opportunities".
- 3.2 From the foundation of statute and KCC's Strategic Statement, it also has a considerable number of operating strategies and transformations relevant to the delivery of outcomes.
- 3.3 The services that deliver these outcomes in turn occupy and deliver services mainly from KCC's operational estate. Matters such as the Estate's asset's suitability, sufficiency, condition and management can therefore impact on the organisation's ability to deliver services effectively and efficiently.
- 3.4 The management of property assets itself is also bound by a complex framework of statutory requirements such as compliance matters, use, financial matters etc. and KCC's own Constitution (particularly The Property Management Protocol) that need to be adhered to.
- 3.5 An Asset Management Strategy focuses the Estate and how it is serviced, it aligns with the organisation's objectives, direction, management etc. and ensures a consistency in decision making and performance requirements. The Draft Asset Management Strategy 2018 – 2023 attached at appendix 1 to this report considers the organisation's strategic drivers which have provided the basis for the alignment and performance of Kent's estate and vision.

4. Asset Management Strategy 2018 – 2023.

- 4.1 As described above, the proposed Strategy for 2018-2023 replaces the previous Asset Management Strategy 2012–2017. It takes stock of the Estate at the end of the last strategy period; the strategy and requirements of Kent County Council going forward and sets the direction the Estate must take over the next five years.
- 4.2 Since the last 2012-2017 Strategy, the public sector has continued to experience resource pressure despite the rising expectations from the public in respect of the services being delivered. The Council has also imbedded its commissioning approach and the way in which services are delivered is changing which impacts on the way that we manage our property estate. Whilst there are some parts of the building stock which are in good condition historically investment in our assets has not kept pace with the requirement. The findings and learning from the Hackitt Review may also have an impact on how KCC and public bodies manage statutory compliance across its estate as we move into the next planning period. The general market in Kent remains buoyant however the market remains risk adverse and fragile.
- 4.3 These significant changes inevitably have led to an examination of priorities and the direction that asset management should follow. The new Strategy has redefined the Policy for KCC’s estate as follows:

“We are committed to managing our property assets in a way that will provide best value to the people of Kent on a sustainable basis, supporting the delivery of services to the right place in an appropriate environment. We will seek to maximise opportunities to generate income streams through our asset base.”

- 4.4 In addition to this policy realignment, the strategy has recognised that the shape of the portfolio needs to take account of service transformation and improvement of customer experience, the continued budget pressures being experienced by the organisation and the need to deliver greater management rigour in respect of matters such as compliance amongst other things identified within the document.
- 4.5 The vision encapsulates property as a service so not only applies to the estate but how we would like the service itself to look:

“A professional, ambitious and dynamic property service, working in partnership with our customers, building occupiers, suppliers and partners to optimise asset performance and income in the delivery of our property services and solutions.”

- 4.6 The mission statement builds on this to specifically consider Property Services’ mission on how it may contribute to the estate and how the estate in turn contributes to KCC;

“To be a leading Public-Sector Organisation for asset management with a proactive approach to driving the best from its asset base and service delivery”

- 4.7 Finally the strategy sets out six themes from which decisions and direction of management should refer and which takes account, in property terms, the Council’s strategies. These are:

1. Innovation and customer focus
2. Safe warm dry and statutory compliant Estate

3. Effective asset and estate management
4. An efficient adequate and appropriate estate for the organisation. This theme also includes the requirement from the portfolio to contribute income / receipts to the Council's overall financial position.
5. Maximise Opportunities for Regeneration & Growth
6. Reduce the impact of the estate on the environment and vice versa.

5. Asset Management Strategy 2012-2017 to date & New Ways of Working Review

5.1 Objectives and Targets of the 2012-2017 Strategy.

The outgoing 2012– 2017 Asset Management Strategy sought to implement significant changes, centred on five key 'Vision Themes', to the way in which the portfolio was managed and maintained and set some ambitious targets.

Key achievements include:

- The freehold portfolio has been reduced by 31% and the leasehold portfolio by 65%.
- Completed the Corporate Landlord implementation phase 1 and reconfigured the portfolio holding structure into three holding portfolios – Operational, Investment and Policy Return
- Established a new property delivery model
- Lead on the facilitation of One Public Estate in Kent and the establishment of the Kent Estates Partnership
- Reduced running costs across the estate by 27% and delivering against the £10 million total place saving identified in 2011.
- Total Facilities Management Contract implemented
- Improvement of compliance rigour and Business Continuity
- Closed the previous PEF Funds and established a new PIF fund to delivering an income return to the Council
- Delivered against the Environmental Targets in the Kent Environmental Strategy
- Delivered the New Ways of Working programme and have completed 3 major office acquisitions
- Delivered circa £40million capital receipts and developed a pipeline of £101 million over the next 4 years
- Delivered the capital programme and responded to urgent business needs

5.2 The New Ways of Working Programme was a key programme bringing together property, HR and ICT to support our staff work in different ways. As part of the programme existing offices and new consolidated office provision was re-configured to create a range of work environments and 'opportunities' for staff and colleagues to adopt modern working practices.

The New Ways of Working programme has delivered:

- Reduction in office estate of 15,250 square metres
- Reduction in workstations by approximately 33% across the county and in storage by approximately 50%

- Increased utilisation from 30% to 70%
- £7.8m capital receipts
- £4.5m average annual revenue savings
- £20.4m benefits in NPV terms
- Delivered across 5 years and due to complete in 2018
- Provided improved working environments for staff

5.3 Whilst good progress was made during the course of the last programme, the proposed asset management plans seeks to build on progress to date. The following areas have been identified for future improvements:

- Continue to develop the initiatives already underway to harvest greater efficiencies in the ways in which we do business and provide services to the people of Kent with particular focus on driving increased estate utilisation and growing income opportunities.
- Develop a longer time-horizon for the work that we do, particularly with respect to asset utilisation, premises consolidation and the capital programme, so that we can improve engagement with stakeholders, achieve greater 'buy-in' and more robust outcomes
- Establish, record and maintain suitable metrics by which we can measure the performance of our endeavours and the consequent performance of the asset base. E.g. Condition/ Utilisation data
- Develop our processes to improve communication amongst stakeholders and subject matter experts to promote a more holistic basis for decision-making, seeking to minimise abortive work or expenditure
- Improve the identification of dependencies between work programmes / initiatives and seek to ensure that they are managed in ways that leverage the maximum benefit across the whole activity portfolio

6. Next Steps

6.1 Once the New Asset Management Strategy is agreed, which sets out the high level framework plans to be developed to support each of the themes, this is to be integrated into the annual business plan for Infrastructure. This will include objectives and targets aligned to each of the themes that can be monitored and reported against.

7. Conclusions

7.1 The New Asset Management Strategy 2018 – 2023 replaces the previous one from 2012-2017. It takes account of some of the significant changes that have happened over the last 5 years, lessons learnt and future direction of the organisation.

7.2 The strategy is vital to set out a new policy and vision for Kent County Council's estate from which consistent review, management, performance measurement and decision making can be referenced.

- 7.3 The draft document is attached at appendix 1 and Cabinet Members are invited to comment upon the content but specifically the policy, vision, mission and themes it sets out.
- 7.4 The New Ways of Working programme will complete by 2018. Outcomes overall are positive despite the challenges regarding matters of building dilapidations, not meeting modern requirements and scope changes. Funding shortfalls have been found from budgets where the programme has addressed work that they would normally fund.

8. Recommendation(s)

Recommendation(s):

The Policy and Resources Cabinet Committee is asked to consider and endorse, or make recommendations to the Cabinet Member for Corporate and Democratic Services on the proposed decision to:

1. Note the Estate's present position and achievements through the implementation of the last Asset Management Strategy 2012–2017.
2. Note the proposed policy statement including the vision and mission for the estate.
3. Note the six themes the Strategy will focus upon to deliver the vision for the estate.
4. Agree the adoption of the Asset Management Strategy 2018-2023 attached as appendix 1 to this report and the development of delivery plans.

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Asset Management Strategy – A Five Year Plan 2018 - 2023

25th April 2018 (Draft)

Date: 25th April 2018

Document: AM Strategy 2018-2023 v.4.0
 Version: v.4.0
 Status: Draft for approval at P and R committee
 Authors: Mark Cheverton KCC Strategic & Corporate Services
 Approved By: Not Approved

Document History

Version:	Reason for Change:	Author/Editor:	Date:
v 1.0	Draft format – Gen2 Branded	Martin Stevens	24 Feb 2017
v 1.1	First draft KCC Branded	Martin Stevens	27 Apr 2017
v.2.0	Second draft for review by IMT	Martin Stevens (Ed)	11 May 2017
v.3.0	Review by Director	Mark Cheverton	15 April 2018
V4.0	Review by CMM	Karen Ripley	25 April 2018
V5.0	Final document with and P and R changes	tbc	tbc

Reviewers

Version :	Reviewer:	Role:	Date Reviewed:
1.1	Rebecca Spore; Victoria Seal; Rosalind Aaby; Elizabeth Luxton; Victoria Kellett; Martin Stevens	Representing KCC as “Owner” of Strategy and Gen ² as consultant service provider	27 Apr – 10 May 2017
2.0	Mark Cheverton; Rebecca Spore	Direction change editor following a number of issues arising during 2017 drafting (e.g. Fire Safety Report	February 2018 to April 2018

Approval & Sign-off

Version :	Approved by:	Role:	Date:
3.0	Rebecca Spore	Director of Infrastructure	20 April 2018

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Asset Management Strategy 2018 – 2023

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PART 1 – Background and Context

Introduction and Purpose

Kent County Council is committed to creating an effective and efficient estate which provides value for money for the taxpayer, reduces our environmental impact, maximises opportunities to generate income streams from its assets and supports transformation in the way that the council uses its estate to deliver its services. The Council's Asset Management Strategy sets the strategic framework within which the corporate real estate portfolio will be managed over the next five years. It is intended to guide future decisions concerning the acquisition, use and disposal of property assets to meet the operational and strategic needs of the Council and its constituent directorates and directly feeds into the Infrastructure Business Plan.

It seeks to ensure that the property portfolio is sustainably and efficiently managed, adapted if necessary and remains fit-for-purpose for the future in support of frontline delivery and an increasingly flexible workforce as we embrace new technologies and different commissioning models.

Our property assets and the way in which we use and husband them are key in supporting and enabling us to transform the way in which we, together with our partners, deliver public services to meet the needs of our citizens. To achieve this, it is essential that we have an agile, innovative and forward thinking asset management strategy in place.

Context

Scale: KCC's estate comprises of 1816 property holdings.

Diversity: The council operates a corporate landlord model (with asset resources being "allocated" and managed centrally); the Council as stated in its Constitution owns all property assets centrally and all decisions relating to their acquisition, holding and disposal are taken by the Cabinet Member for Corporate and Democratic Services (with appropriate delegated authority to the Director of Infrastructure). Property holdings range from administrative office buildings, operational buildings situated in the community (such as schools and libraries), more complex operational sites (such as waste transfer sites and depots), custodian assets (like windmills and monuments) to income producing assets (such as business parks and buildings let to tenants providing more community-based services. They are held on a mixture of tenures, freehold, leasehold and licences. Increasingly as the Council has embraced new commissioning and service models it also utilises assets through a range of contracting and grant agreements in the delivery of services.

No. of Properties by Tenure	2013	2017
Freehold	1,838	1,271
Leasehold	392	139
Held under Licence		37
Church Schools		58
Local Agreement		4
Mixed & 'Other'		307
Total:	2,230	1,816

The Council is a Local Education Authority and runs community schools where repair and maintenance are devolved to the schools themselves. KCC also holds a number of lease arrangements following statutory transfers to academies, foundation trusts and diocese. The portfolio split is as follows:

Non-School	1,613	1,090
School	617	726
Total:	2,230	1,816

The School Estate is split as follows:

No. of School Sites by Tenure	2013	2017
Freehold	617	394
Leasehold		14
Church Schools		56
No Legal Interest		108
Mixed & 'Other'		154
Total:	617	726

Financial and Policy Performance: The Estate's Investment portfolio has increased in size since the last asset management strategy was written 5 years ago and now contributes in the

order of £2.3m per annum (As of March 2018). In accordance with its previous asset management strategy and in recognition of a significant proportion of our income producing assets being let to enable community based services to operate, the investment portfolio was divided to separate “commercial investment” assets and “policy / social return assets. Whilst its investment portfolio comprises more traditional assets such as business space, offices and workshop accommodation for example, the policy return portfolio comprises spaces for community activities, nursery accommodation and even sports facilities (Cyclopark for example). In the last few years as the investment Portfolio has been maturing, KCC has been improving the way it monitors investment performance through the adoption of standard practices of investment management and this improvement is continuing where it will be using the data to develop key performance indicators which will drive better management of the portfolio. The policy return portfolio may not yield the same financial returns as commercial investments, the assets provide a means to the delivery of valuable services in the County and work is ongoing to determine how this can be quantified in a meaningful way in property terms to develop objective measures of performance; in the meantime, policy outcomes are being identified and recorded for each asset (e.g. number of nursery places created for assets let to nurseries).

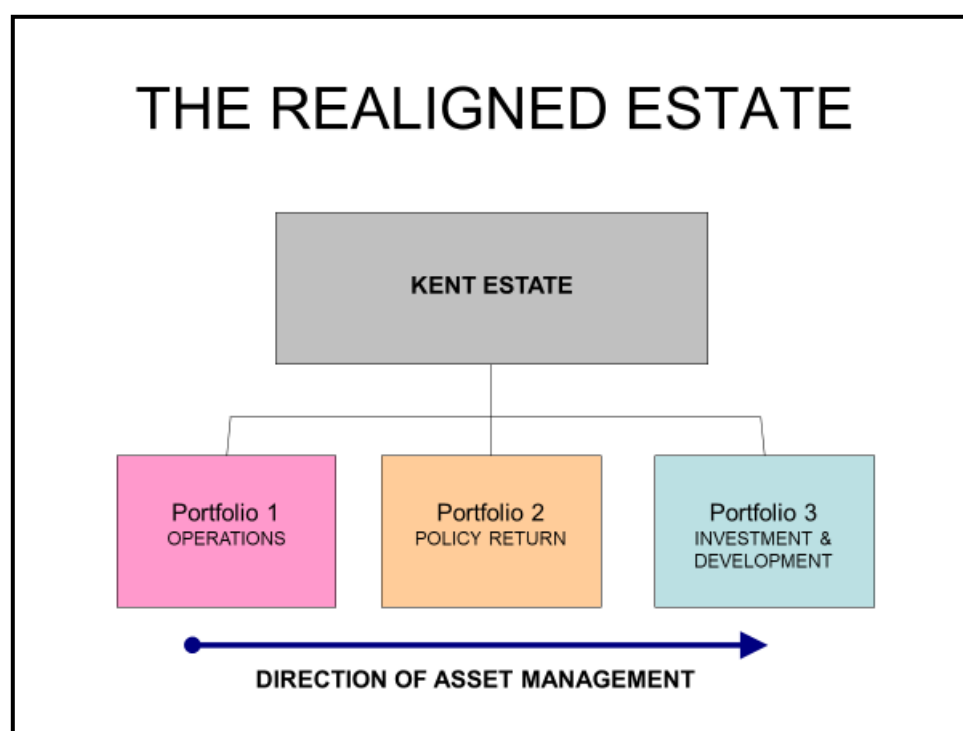
Condition: The condition of the council’s assets varies considerably, and the portfolios hold buildings from newly built assets to some which are several hundred years old and subject to heritage interest. The Fire Safety report undertaken during the latter half of 2017 identified on the whole that the Estate’s condition had suffered as public sector resources have eroded and that whilst basic statutory compliance and health and safety along with basic “wind and weather tight” elements too is, in the main, being addressed, this is coming under strain and KCC faces significant challenges in this area during the period of this asset management strategy. General decoration and work to enhance operational service delivery from assets is becoming critical in a significant proportion of the portfolio and the review process now being undertaken to consider use of assets is looking at how best the portfolio can be realigned to address this issue strategically.

Utilisation: The County Council is transforming itself towards a Commissioner of services rather than a provider of them. In addition, the world generally is moving on in how it would like its services delivered with for example greater emphasis being demanded for delivery through technology. Having said this, the Council needs to balance such expectations with the core requirements of needing physical space to deliver certain services. This is a significant challenge and likely to become one of the biggest change factors in the coming asset management periods to drive the size, shape and resource requirement for the estate. With the nature of property, change takes time to achieve and with budget constraints, innovation driving an expectation to improve and the current baseline where changes to the estate compared to its size have been minimal. As this review progresses it is clear that utilisation of the estate can be significantly improved, and operational use rationalised.

Structure of the Estate

Since the last Asset Management Strategy, the Estate has been re-stacked into 3 portfolios and these are then further broken into sub-portfolios to ensure that they are considered in terms of an assets key features and performance requirements

The structure of the estate is illustrated below:



Portfolio – Operations

This portfolio comprises all assets which are used to deliver services and administrate. The key objectives of this portfolio are:

- Provide adequate and appropriate space for the service (Including maintenance and running)
- Optimise occupancy
- Ensure statutory compliance
- Minimise expenditure

Examples of the types of property in this portfolio include Administration and frontline offices, depots, children centres, Country Parks, Waste Management sites, Gypsy Traveller sites.

Portfolio – Policy Return

This portfolio comprises all assets which are occupied by non-KCC services and tenants performing a community function or where the asset has been transferred under statute under a peppercorn, retaining its “public use”. The key objectives of the portfolio are:

- Mitigate holding cost
- Ensure the terms of the tenancy arrangement are fulfilled
- Ensure statutory compliance is undertaken (by KCC / tenant / landlord / occupier, depending on terms of occupation)
- Maintain & improve KCC’s overall property holding position
- Ensure management is appropriate to occupier / arrangement in place.

Examples of this type include Academies, Long leaseholds, Services commissioned with leases or another type of occupational arrangement, small holdings, Community group tenancies, Nursery leases, Managed housing acquired as caretakers’ houses or CPO.

Portfolio – Investment & Development

This portfolio comprises of assets which are being held by KCC solely for the purposes of income generation, future development from which it may derive a return and disposal property where the capital raised is used to reinvest in other investment/development or support the Council's capital investment programme to modernise / improve its service delivery. Objectives are essentially:

- Increase and optimise income
- Mitigate holding cost
- Enforce the terms of the tenancy arrangement in accordance with the lease
- Maintain & improve KCC's overall property holding and value position
- Balance a resilient income producing portfolio within acceptable risk parameters.
- Optimise capital value and development return within risk parameters

These assets include commercially tenanted assets, operational assets where part is let out at market value, Land, Surplus assets for disposal / development, Ransom strips.

Property Services

The Councils property service function sits within the Infrastructure Division with Strategic and Corporate Services. The Infrastructure division includes property and technology services along with the business service centre. The council asset base has an estimated asset value for its accounting purposes of £1.87 billion overall, annual resource spend of those properties in the corporate landlord including rates, rent, maintenance, utilities is in excess of £18.3 million. Alongside the management of the Councils property portfolio the function is responsible for the delivery of the council's capital.

During the last asset management strategy period, the property function was realigned towards the Council's vision to establish itself as a Commissioner of services. Strategic services are now retained in house which establishes and defines KCC's property need in respect of assets and their management. It commissions its management requirement for estate and facilities management, repairs, maintenance and statutory compliance assurance, asset disposal services including agency etc. and capital programme and project management to GEN2 (KCC's wholly owned Property Management Company), its Total Facilities Management Contractors and other specialist organisations as required. During this Asset Management Strategy period, the commissioning of all these services will be reviewed and where appropriate re-commissioned in line with the Councils policies. A Category strategy will be developed with the strategic commissioning function which will support the delivery of the Asset Management Plan.

Operating Context

The council has set out its strategic objectives in the council's 2015 – 2020 Strategic Statement – Increasing Outcomes, Improving Opportunities. The way that the Council is delivering its services and the way that we want to work are changing as we introduce new technologies and drive new commissioning and delivery models. The Councils estate remains a key enabler in driving business change across the Council.

The demand for property services continues to increase to meet service demand though this is predominantly through the need to align the estate to ensure it remains relevant to KCC's overall direction and drive change to meet the Estate's management demands. The financial



context from both a revenue and capital perspective continues to remain challenging with a continuing drive to reduce operating costs and efficiencies.

We have seen a shift in traditional property markets from commercial and retail to a residential focus. Whilst the national market has showed signs of slowing the local market in Kent has continued to perform strongly with the Council continuing to release vacant properties for disposal.

The Hackitt Review following the tragic events at Grenfell will, as it reaches its conclusion, likely direct changes in legislation and the operational property policies and strategies that are required to manage assets and key statutory compliance areas. The council continues to experience significant demand for school places and continues to have large school building programme to meet its statutory duty. This document has been prepared having regard to best management practice as outlined in the Public Sector Asset Management Guidance and will remain in place until 2023 (though kept under review to ensure it remains relevant to any significant change within KCC, statutory and best practice requirements), with the action plan developed annually as part of the Infrastructure Business Plan.

PART 2 - Asset Management, Vision, Mission and Policy Vision

“A professional, ambitious and dynamic property service, working in partnership with our customers, building occupiers, suppliers and partners to optimise asset performance and income in the delivery of our property services and solutions.

Mission

“To be a leading Public Sector Organisation for asset management with a proactive approach to driving the best from its asset base and service delivery

The Asset Management Policy

We are committed to managing our property assets in a way that will provide best value to the people of Kent on a sustainable basis, supporting the delivery of services to the right place in an appropriate environment. We will seek to maximise opportunities to generate income streams through our asset base.

We will:

- **embed a culture of innovation** that maximises the use of technology that supports new ways of working and business change across the council.
- deliver our services in a **customer focused** way which is consistent with KCC's values and behaviours **Keep our properties safe, dry and warm** through the implementation of a well-managed, rigorous compliance regime, clear maintenance plans and efficient facilities management.
- **Drive efficiency through the management of the estate** to drive transformation to meet the evolving and changing requirements of the organisation, ensuring the estate provides the right space, in the right place and on the best terms. This also includes maximising income and overall value from the estate through proactive portfolio management.
- **Manage our estate effectively** using best practice, project and estate management methodologies, adopting clear policies and action plans to meet our strategic goals; developing clear reporting processes to involve and inform Members and internal departments in decision making

- **Maximise regeneration & growth** through effective procurement and linking public sector requirements with regeneration opportunities
- **Protect the environment** through best use of appropriate technologies, utilising available financing to support implementation and meet the objectives of the Kent Environment Strategy and the Carbon Reduction Action Plan

To deliver these outcomes we will:

- Complete the transfer of the remaining complex Directorate managed assets into the Corporately managed estate in accordance with financial requirements to minimise the impact of budget changes, but to ensure particularly that KCC is meeting statutory compliance duties and knows its position in this regard.
- Promote the Asset Management Policy, this Asset Management Strategy and Annual Management Plan(s) Engage with internal departments, public sector organisations, community organisations and other stakeholders to understand needs and asset collaboration opportunities
- Enhance and improve data integrity, management and reporting to support decision making and enable best-in-class delivery of estate management and facilities management services
- Review and develop key policies and procedures to support delivery, protect the estate and ensure best practice
- Take a holistic approach to the portfolio; understand the whole-life costs of properties and set clear performance targets for the operational and investment portfolios
- Understand and balance risks between the performance of our assets and the needs of our service users and stakeholders
- Introduce greater financial rigour into our processes in order that income is maximised, and costs are mitigated without impacting on matters such as statutory compliance and health and safety.
- Improve how matters of compliance in all areas are monitored and actioned particularly in ensuring that across the Council its departments, devolved management arrangements, commissioned services etc. there is but ONE VIEW between them that is definitive as far as can be achieved through employment of technology amongst and evolved best practice.
- Adopt best practice in the use of planning processes, programme and project management tools
- Train and develop our people to support the implementation of our strategies and plans
- Assign clear roles and responsibilities to all staff in the provision and maintenance of assets
- Be realistic in our ambitions; clear in our advice; innovative in approach and effective in delivery
- Seek and support opportunities to use technology to drive a new asset footprint for the Council and ensure that it is an effective enabler to Council Transformation that delivers improved outcomes and increased opportunities.



PART 3 – SIX Themes in Focus

To run KCC’s portfolio effectively, the Asset Management Strategy will consider the six objectives identified under the Property Policy in part 2 to ensure that they are correctly focused and provide more detail and guidance to their relevance and application to the estate.

These are:

THEME 1: A CULTURE OF INNOVATION AND CUSTOMER FOCUS	THEME 2: AN ESTATE WHICH IS SAFE WARM DRY AND PROACTIVELY COMPLIANT	THEME 3: EFFECTIVE ASSET AND ESTATE MANAGEMENT
THEME 4: AN EFFICIENT ESTATE THAT IS ADEQUATE AND APPROPRIATE (including maximising income and value)	THEME 5: MAXIMISE REGENERATION & GROWTH IN KENT	THEME 6: REDUCE THE IMPACT OF THE ESTATE AND SERVICES ON THE ENVIRONMENT AND THE ENVIRONMENTS IMPACT ON THE ESTATE.

Action Plans

To keep the strategy, live and relevant it will be refreshed on an annual basis by Property & Infrastructure Support and is reflected in the Infrastructure Business Plan. Each theme is supported by Asset Management Action Plan with detailed work-streams, actions and performance measures which will be working part of the document and link into the Property and Infrastructure Support Business Plan.

Detailed Property Policies & Procedures

The themes are underpinned by a suite of detailed online policies and procedures, which can be found on KNet. They are regularly updated to keep pace with changes in national policy, legislative requirements and business needs. They set out a clear set of practical guidelines for our staff and contractors on specific topics.

THEME 1: INNOVATION & CUSTOMER FOCUS

What this means:

In managing the estate we will adopt KCC's values and behaviours to determine how the estate should be realigned and managed and ensure that options are explored fully with them including change facilitated by technology and new practice.

Outcomes and Focus:

- Review the operational estate with services and realign portfolios and assets with the requirements defined by the service, ensuring assets are appropriate and adequate for purpose.
- Challenge the estate's size and occupation by utilising technology and applying new working practices where services deem them appropriate and further challenge how KCC holds its assets including the portfolio structure.
- Apply appropriate targets for service level and occupation as the organisation matures its commissioning model.
- Actively participate to deliver a vision of a One Public Estate through the Kent Estate Partnership
- Modernise and improve service delivery through better utilisation of technology, data collection and management and communication and engagement.

Performance Measurement Basket

Annually through the Directorate Business Plan, priorities will be identified through the work flow and appropriate performance measures applied. Performance measures for this theme may include (but are not limited to): Number of assets where a review is complete, increase in number of assets considered "performing" in terms of utilisation and improvement to operational requirement satisfaction, Improvement in the rate of occupation of assets, Improvement in appropriate financial target.

THEME 2: SAFE WARM DRY AND PROACTIVELY COMPLIANT

What this means:

Assets in the operational estate will be safe for its users including its staff working in the building and on the building too, KCC's customers, visitors to the asset and members of the public in general. KCC will know its compliance position for its estate identifying and rectifying at the earliest opportunity where it needs to rectify areas of non-compliance. Operational assets will be maintained as far as possible to ensure there is no service disruption as a result of failure of the assets function.

Outcomes and Focus:

- Ensure KCC's policies and procedures in respect of safety and compliance remain up to date. And maintain appropriate records centrally so KCC has "one clear view" of its safety and compliance risk.
- Undertake a programme of condition surveys across the whole estate and prioritise inspections to the fabric where there may be safety and compliance issues.
- Complete works in a timely way to minimise any safety and statutory compliance risks that are found to be carried by the Council.
- Prioritise work to assets which if not undertaken may impact on services delivered by the Council.
- Ensure that its lease / tenancy management function is undertaking all necessary checks whether with KCC's landlord or its tenants within what might be reasonably expected to ensure it is carrying out its duties to mitigate risk.
- Develop greater improvement to ensure services to assets are delivered more efficiently and that there is better information on maintenance.
- Support Inclusive environments that provide appropriate and safe environments for all staff and service users;
- Focus to develop Lifecycle costs and use them to increase understanding and plan maintenance and financial costs of running the estate.

Performance Measurement Basket

Annually through the Directorate Business Plan, priorities will be identified through the work flow and appropriate performance measures applied. Performance measures for this theme may include (but are not limited to): improvement outcomes to compliance management, reduction in compliance and safety matters attributable to the asset performance, time lost through assets not being adequately maintained, areas of risk to safety, compliance, energy performance, maintenance deficiency affecting service delivery etc. are dealt with to time requirements.

THEME 3: EFFECTIVE ASSET AND ESTATE MANAGEMENT

What this means:

Strategically and operationally, the estate including operational, policy return and investment portfolios will be managed to ensure that assets contribute positively to KCC's services, aims and objectives and that a degree of flexibility is adopted to ensure the property service remains relevant to the changing requirements of the organisation.

Outcomes and Focus:

- Ensure that KCC's 5 year asset management strategy to 2023 can be adapted and prioritised through the property service business plan and delivery plan as appropriate so that planning and action on the estate remains relevant in a fast paced changing organisation.
- Invest in new technologies where there is a business case to do so which improves the collection and use of data, enables decisions, improves the implementation of those decisions and the pace and accuracy of delivery.
- Develop new processes and procedures drawing on best practice and standards to enable the function of the service to operate more effectively improving end user experience which can be measured.
- Reduce duplication and multiple handling improving speed and impact of service delivery and enable resources to be prioritised in the most effective way.
- Utilise the Council's commissioning process, applying it in the right way to ensure that the needs of the service are identified and prioritised and that the service is procured to be the most appropriate for the Estate.
- The right data is collected to inform better decisions from planning to operational delivery.
- The service overall is delivered as effectively as possible taking account of Public Sector budgetary constraints.

Performance Measurement Basket

Annually through the Directorate Business Plan, priorities will be identified through the work flow and appropriate performance measures applied. Performance measures for this theme may include (but are not limited to): Appropriate data improvement relating to time, cost and quality measurement of the operation of services, contractors, consultants etc., improvement in customer satisfaction results, continual process / procedure improvement based on feedback.

THEME 4: AN EFFICIENT ADEQUATE AND APPROPRIATE ESTATE

What this means:

KCC's estate meets the requirements of KCC's service objectives, policies and objectives and will continue to be reviewed and change to ensure that its assets remain relevant and contribute towards excellent service delivery within the financial constraints of the organisation.

Outcomes and Focus:

- The various portfolios perform and operate to the level or above the level identified as being required to deliver KCC's statutory services, its policy objectives and wider service needs.
- Optimise the utilisation of the Estate ensuring that assets and their spaces are appropriate to deliver the aims and objectives of KCC and that adequate space and facilities are provided.
- Work with the various departments and Directorates within the Council and its external partners and stakeholders to develop options to meet requirements.
- Build on the achievements of the New Ways of Working programme to facilitate the transformation of KCC to a modern organisation adopting up to date working practices and ensure that new ways of working is tied in to other Council change activity.
- Where appropriate design the estate to meet the future challenges, the organisation faces and plan to deliver an estate that will support the outcomes of the organisation.
- Work positively with KCC's external partners to make synergies and facilitate greater integration for space sharing and reducing overall costs to the public sector where it can.
- Ensure the estate contributes to the Council's income through ensuring its investment portfolio and surplus estate perform to agreed criteria balancing risk with a revenue stream.
- Identify where space is no longer required by the organisation and dispose of it as appropriate to contribute to KCC's Capital Investment Programme.
- Ensure expenditure to deliver the capital programme is scrutinised and pared to a level that delivers best value to KCC overall.
- Participate in development opportunities where it can so that return to the Council is maximised.
- Ensure the estate is managed within Council's budget requirements

Performance Measurement Basket

Annually through the Directorate Business Plan, priorities will be identified through the work flow and appropriate performance measures applied. Performance measures for this theme may include (but are not limited to): Financial performance indicators for income and

expenditure for the estate, returns that reflect KCC's risk exposure, benchmarks that consider use, asset utilisation, rate of reduction of the estate, its cost, its future cost requirement etc., capital receipts realised against realistic targets, improvement in suitability and sufficiency statistics,

THEME 5: MAXIMISE REGENERATION & GROWTH IN KENT

What this means:

Maximising all opportunities to regenerate key areas of Kent, making best use of assets and capital for the benefit of future generations of Kent and considering strategically locating new assets to not only meet service policy objectives overall but also drive positive change to local areas.

Outcomes and Focus:

- Provide support to the Economic Development Team to obtain best value from all assets and focusing Capital Expenditure on new buildings and developments, where possible, in areas requiring regeneration and growth across the county;
- To work with the KCC Housing team to facilitate and support delivery of the Housing Strategy;
- Support the use of local Small / Medium Enterprises and Kent business where possible in the work that we do;
- Promote the use of apprenticeships and skills / training opportunities.
- Deliver key projects with regeneration objectives and support infrastructure and development projects to facilitate better economic, housing and community wellbeing across the County.

Performance Measurement Basket

Annually through the Directorate Business Plan, priorities will be identified through the work flow and appropriate performance measures applied. Performance measures for this theme may include (but are not limited to): Measures against targets appropriate to the regeneration project and support of it from the estate itself or services provided, houses, community wellbeing and employment facilitated through disposals, measurement of time / cost / quality / risk against key projects being delivered by KCC or in partnership with others, use of s106 contributions measurement against outcomes.

THEME 6: REDUCE THE ESTATE'S ENVIRONMENTAL IMPACT AND THE ENVIRONMENT'S IMPACT ON THE ESTATE.

What this means:

Reduce the carbon foot print and natural utility use through modernising its portfolios where it can demonstrate a positive case for doing so, seek other funding to make such changes where it can but there are no resources for doing so and to reduce where it can assets situated in zones where there is a risk of adverse weather impacting on the services it accommodates and having identified plans in place to react appropriately where assets are affected.

Outcomes and Focus:

- Support the delivery of the Kent Environment Strategy and KCC corporate commitments through the delivery of the agreed “property” targets and support where the service / estate can deliver other identified targets.
- Ensure as part of the asset review process that an asset's environmental impact is considered and where it can put a mitigation scheme in place to reduce it.
- Consider the use of modern technologies to improve energy performance and a reduction in utilities
- Develop a design guide to adhere to for any future new builds and refurbishments.
- Work centrally to support the KCC and services' Business Continuity Plans and ensure that the property service can respond on any requirement arising from a need to implement.
- Know which buildings are at risk from climate impact events and have a plan in place should there be an event occurrence.
- Reduce where it can buildings at risk from a climate impact event (e.g. flooding) relocating services where possible to do so over time to areas of limited risk.

Performance Measurement Basket

Annually through the Directorate Business Plan, priorities will be identified through the work flow and appropriate performance measures applied. Performance measures for this theme may include (but are not limited to): Performance targets set out in the Kent Environment Strategy, reduction in EPC and DEC out-turns, reduction in utility and energy usage, reduction in the number of buildings in areas prone to extreme climate events.

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KENT COUNTY COUNCIL – PROPOSED RECORD OF DECISION

DECISION TO BE TAKEN BY:

Eric Hotson, Cabinet Member for Corporate and Democratic Services

DECISION NO:

18/00009

For publication**Key decision***

Yes. The decision is relevant to the whole of Kent (i.e. more than 2 electoral divisions)

Subject: Asset Management Strategy 2018-23**Decision:**

As Cabinet Member for Corporate and Democratic Services, I propose to:

1. Note the Estate's present position and achievements through the implementation of the last Asset Management Strategy 2012–2017.
2. Note the proposed policy statement including the vision and mission for the estate.
3. Note the six themes which the Strategy will focus upon to deliver the vision for the estate.

And therefore:

4. Agree the adoption of the Asset Management Strategy 2018-2023 attached as appendix 1 to this report and the development of delivery plans.

Reason(s) for decision:

1. The existing Asset Management Strategy 2012-2017 has now expired.
2. Kent County Council is undergoing significant change and KCC requires a new Asset Management Strategy that will ensure that its Estate continues to align with its evolving service design and policy.

Cabinet Committee recommendations and other consultation:

The matter will be considered by the Policy and Resources Cabinet Committee at its meeting on 11 May 2018. Any comments made will be taken into account when the decision is being made

Any alternatives considered:

None. The Strategy was written to align with KCC's Policies and Objectives.

Any interest declared when the decision was taken and any dispensation granted by the Proper Officer:

.....
Signed

.....
date

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

To: **Policy and Resources Cabinet Committee – 11 May 2018**

Decision No: **18/00025**

Subject: **Kent County Council's Asbestos Policy and Procedures**

Key decision

Classification: **Unrestricted**

Past Pathway of Paper: Previous Policy 2015

Future Pathway of Paper: N/A

Electoral Division: All Divisions

Summary: The policy (attached at appendix A) on the management of asbestos in KCC buildings has been reviewed.

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

Recommendation(s):

The Policy and Resources Cabinet Committee is asked to consider and comment on the proposed decision by the Cabinet Member for Corporate and Democratic Services to approve the adoption of the Asbestos Policy and Procedures as attached at appendix A.

1. Introduction

- 1.1 The report outlines the Council's strategy / policy on the management of asbestos 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 asbestos management.
- 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 program of risk assessments / survey programme, forms an integral part of the statutory compliance package which is managed on a day to day basis by GEN2 as our managing agent. The asbestos survey costs are split out below in 2.2 for the Corporate landlord buildings and schools.

2.2 Total cost for Corporate Landlord approximately £100,000

Total cost for Schools approximately £320,000

2.3 Remedial works of Corporate landlord and school buildings relating to asbestos can be difficult to correctly estimate as it is dependent on the size and complexity of the situation.

The Report

3.1 The previous asbestos policy within the Council was approved in 2015. 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 asbestos related diseases
- 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 an asbestos 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 asbestos as part of the Council's overall planned preventative maintenance and statutory maintenance regime.

4. Conclusions

4.1 The Asbestos Policy and Procedures meets all statutory and best practice requirements.

5. Recommendation(s):

The Policy and Resources Cabinet Committee is asked to consider and comment on the proposed decision by the Cabinet Member of Corporate and Democratic Services to approve the adoption of the Asbestos Policy and Procedures as attached at Appendix A.

6. Background Documents

- 6.1 KCC - The Asbestos Policy and Procedures
- 6.2 Health and Safety at Work etc Act 1974
- 6.3 The Control of Asbestos Regulations 2012

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Infrastructure Policy & Guidance

Asbestos Policy & Procedures

Key Document Information	
Document Owner:	Rebecca Spore
Job Title	Director of Infrastructure
Team	Strategic and Corporate Services
Created on / by	March 2015
Updated on / by	March 2018 / Steve Hamilton
Reference & Version Number	PI/ /02
Next Review Due	April 2020

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 Kent County Council properties

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POLICY STATEMENT

The Council, recognises its duties under the Health and Safety at Work etc Act 1974 and The Control of Asbestos Regulations 2012, towards its tenants, employees, visitors, pupils, customers, contractors and members of the public. The Council undertakes to protect people from exposure to asbestos during works of any nature or arising from the condition of Council premises, infrastructure assets or structures and to manage all installed Asbestos Containing Materials (ACM's) responsibly.

The Council will do this by ensuring that an asbestos policy and code of practice for the management of buildings, infrastructure assets or structures is in place, which details how asbestos will be managed throughout its building portfolio.

All works on ACM's will only be undertaken by licensed contractors.

INTRODUCTION

This is Kent County Councils (KCC) asbestos policy and guidance. The asbestos policy was introduced in 2005 and has been revised and updated to consider implications of the new HSG 264 Survey guide issued by the Health and Safety Executive (HSE) in January 2010 and the new Control of Asbestos Regulations 2012. This document sets out the policy, arrangements and procedures that are to be used to manage asbestos in properties where KCC has a management or tenancy/occupier responsibility. The document sets out how the Council will carry out its own management duties and provide assistance to those who are required to implement these procedures.

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

2. Background

Asbestos is a naturally occurring mineral that was used in a range of building materials to make them more rigid, fire and sound resistant.

Asbestos was extensively used as a building material in the UK from the 1950's, through to the mid 1980's. Asbestos fibers can potentially cause lung and other respiratory diseases, if inhaled over long periods of time. Symptoms of disease can remain hidden for long periods, typically around 30 years after exposure.

According to the Health and Safety Executive (HSE) asbestos is most commonly found in asbestos cement products, textured coatings, floor tiles, textures and composites, sprayed coatings, asbestos insulating board, and lagging. It can also be found in some historic household products such as ironing boards and oven gloves.

Although it is now illegal to use asbestos in the construction or refurbishment of any premises, many ACM's which were used in the past, remain in place. It is reassuring that if such materials are in good condition and not disturbed or damaged the risk is contained.

They can, however, become a danger to health if damage or disturbance allows fibres to be released into the air where people can breathe them in. As a result, the HSE state that all products which are in a stable condition may remain safely in situ if they are properly managed. They may be removed when major refurbishment or demolition is undertaken provided the removal is closely controlled. Asbestos only needs to be removed if it is likely to conflict with works, or if it is considered that it will now pose a greater risk due to the intended use of a particular space or location.

3. Legislative Requirements

The requirements for an asbestos management system are set out in Regulation 4 of the Control of Asbestos Regulations 2012. Regulation 4 requires Duty Holders to assess and manage the risks from asbestos in non-domestic premises. The Duty Holder is defined in the Regulation as being those that have contractual maintenance or repair responsibilities, or in the absence of a contract or tenancy, those that are in control of the premises.

Duty Holders must therefore:

- Take reasonable steps to find materials likely to contain asbestos.
- Presume materials contain asbestos unless there is strong evidence to suggest they do not.
- Assess the risk of the likelihood of anyone being exposed to asbestos from these materials.
- Make a written record of the location and condition of the known and presumed ACM's and keep it up to date.
- Assess and monitor the condition of ACM's and presumed ACM's.
- Repair or remove any damaged material that contains or is presumed to contain asbestos or because of the likelihood of disturbance and its location.
- Implement, review and monitor the Asbestos Management Plan and the arrangements made to put it in place.
- Information on the location and condition of ACM is given to people who may disturb them during work activities.
- Controls are in place to prevent exposure to workers and others.
- Take steps to ensure that these actions are carried out.

NB: New Buildings – A Docubox will be held on site with a letter from the architect or a management Survey, confirming that there are no ACM's in the building.

This document addresses each of these requirements and sets out the Council's procedures to ensure compliance.

Who is the Policy aimed at?

This Asbestos Policy is aimed at:

- All employees.
- Contractors.
- Persons charged with the responsibility for the management of asbestos at sites owned or operated by KCC.
- Persons managing and maintaining buildings, or who carry out maintenance and installation work for buildings occupied by KCC.
- Those parties working outside the County Council whose activity has some link to ensure that third parties comply with their duties to protect others.

Where there is more than one Duty Holder, the relative contribution to be made by each such person in complying with the requirements of legislation will be determined by the nature and extent of the maintenance and repair obligation owed by that person or body.

Who is at risk from Asbestos?

People who may be at risk from asbestos include:

All people, who carry out building maintenance or installation work on KCC owned or leased building(s) might disturb asbestos. This would also apply to persons who cause accidental damage, for instance trolleys banging into wall panels or erecting displays. Examples of such people include caretakers, handypersons, teachers, kitchen staff, custodians, porters, Parent Teacher Association members, and smaller local contractors, jobbing builders, decorators, electricians and plumbers etc. in fact, anyone using the building.

What type of work is included?

The policy applies to all types of maintenance or installation work in your premises.

Examples include:

- Painting and decorating.
- Minor installations such as wall hooks, shelves, white boards or window blinds.
- General building and maintenance work.
- Demolition and alteration work.
- Installation of electrical, telephone or computer cabling.
- Installation of boiler room, heating, air-conditioning and plumbing systems.
- In summary, any work which may disturb ACM's.

4. Vacant and Non KCC Properties

KCC's property portfolio comprises more than 1800 buildings and inevitably a number of these are held vacant. Please refer to Appendix 8 for full details of how these properties should be managed.

Staff who are required to visit buildings not owned by KCC, must ensure that they have completed the 'KCC Risk Assessment Form – The 5 Steps Approach' before entering the premises (see appendix 14).

5. Duty Holders and Nominated Persons

Who is responsible?

KCC is the 'Duty holder' as defined under legislation as it retains main responsibility for the maintenance and / or repair of its building portfolio. Where there is a tenancy agreement or contract, the extent of the duty will depend on the nature of that agreement.

The Duty Holders responsibilities cannot be delegated, but duty holders can nominate others to do all or part of the work to assist in complying with the duties. Anyone who is nominated to do some work as a result of this, must know what it is they have to do and be able to do it safely. They should be competent to do this work.

Examples of those who have been nominated by KCC include KCC Managers, Gen² staff, TFM Contractors, Head Teachers, Managers in Social Services Registered Residential Care Centers, Respite Care Centers, Day Care Centers; Officers in Charge of Locality Offices, Libraries, Landscape Services Depots, or Youth and Community Centres; and Facilities Managers or Officers in Headquarters or Key Offices, etc.

If you have an obligation to any extent in relation to the maintenance or repair of non-domestic premises or any means of access to or from such premises, then this policy applies to you in your role as a 'Nominated Person' by KCC.

The Duty Holder has a duty to ensure that the policies and procedures set out in this document are implemented. Training and information will be provided to enable local nominated persons to perform their duties.

6. Survey Information

There are two main types of survey: -

- Management survey
- Refurbishment and Demolition survey.

Management Survey

KCC will provide all properties constructed pre 2000 with a Management Survey (as defined in HSG 264). The survey work will be carried out in accordance with legal requirements and HSE codes of practice, by organisations appointed and approved by the Council, which will be carried out every 3 years. Buildings constructed after 2000 and holding a letter from architects stating that asbestos is not present will not form part of this program. Any property previously surveyed and where no asbestos was detected will be included in the 3 year programme so as to provide a current up to date register.

The survey will involve a systematic visual inspection of the property and should identify the exact locations of asbestos which has been identified including likely and presumed occurrences. Where material is suspected to contain asbestos representative samples will be taken and these will be analysed by a United Kingdom Accreditation Service (UKAS) laboratory.

KCC will provide information to the nominated person and/or occupiers of its premises, giving the precise locations of materials presumed or known to contain asbestos, based on the identified places within a survey which must be retained in the asbestos Docubox.

KCC will maintain a database of asbestos surveys to the buildings it owns or occupies, as far as is reasonably practicable.

The survey report will identify:

- The areas and items that were inspected and their condition
- Any areas or items that could not be inspected.
- All items confirmed as containing asbestos.
- Items suspected of containing asbestos that were disproven by analysis.

The survey will also collect the information necessary for completion of the risk classification scheme. A copy of the form to be used is included as Appendix 3. The survey report must be kept in the Docubox on site. It is important that the Docubox in every KCC building is kept readily accessible and available for inspection by other parties who may need to check the records for ACM's e.g. the Fire and Rescue Services, Contractors etc.

If the Docubox is unavailable, please contact GEN² on 03000 416888 or email: asbestos.enquiries@kent.gov.uk.

Section 3 of the survey report provides a summary of the asbestos found and the areas which were not accessed. The nominated persons are responsible for ensuring that the actions identified on the survey forms are carried out and the appropriate records are maintained. Where necessary they should seek assistance from GEN².

Refurbishment and Demolition Survey

If any maintenance or refurbishment work is to be carried out which involves disturbance to areas and items that have not been surveyed or where there is insufficient evidence to prove / disprove the presence of ACM's that maybe disturbed during these works a Refurbishment and Demolition survey must be carried out. This survey involves a destructive inspection to gain access to areas such as floors, ducts, ceiling voids, riser voids, partition wall voids. This type of survey often results in considerable damage and therefore should only be undertaken after consultation with GEN² FM manager. Any additional survey report should be added to the information in the Docubox and added to the K2 system.

It is the responsibility of the Duty Holder and / or the Nominated Person to update the survey information if additional asbestos items are identified or if items are removed. Section 5 of the survey reports should be used to record any changes.

Both management and refurbishment and demolition survey reports outlined above will give a detailed review of ACM's contained within a building or structure. It will contain details of:

- The type of survey that was carried out – Management or Refurbishment and Demolition.
- Survey findings and recommendations including a site drawing/plan which highlights where the asbestos is within the building or structure.
- Bulk analysis report (where applicable) this is where samples of materials are taken during the survey to ascertain if they contain asbestos.
- It will provide a description and photographs of any ACM's found to enable you to monitor the condition.
- The locations of asbestos containing materials.
- Condition record summary and detailed condition record with condition scores.
- Schedule providing a register of all ACM's and the associated management actions.
- Nominated responsible persons section which is to be used to monitor condition and to detail any works that have been undertaken on the asbestos.

7. Presumption of Asbestos in Non-Accessed Areas

The duty to manage asbestos allows materials to be 'presumed' to contain asbestos. KCC follow this guidance and there are two different levels of 'presumption': -

- 1 Strong Presumption: If the material looks as if it is an ACM, or that it might contain asbestos. This conclusion can be reached through visual inspection alone by an experienced, well-trained surveyor familiar with the range of asbestos products.
- 2 A 'Default' Situation: Where material is presumed to contain asbestos because there is insufficient evidence (e.g. no analysis) to confirm that it is asbestos free.

KCC will provide within its Management Survey reports, information regarding areas and items that have not been accessed and therefore must be presumed to contain asbestos. (These items are currently listed in Section 3 of the reports)

Work must not be carried out which might disturb materials which are presumed to contain asbestos unless a full risk assessment has been carried out and appropriate actions have

been put in place to manage the materials. If it has been identified that a more intrusive survey is to be carried out (Refurbishment and Demolition), the original survey should be reviewed to note the condition of the materials that are to be disturbed. For KCC projects a Survey Request Form (Appendix 13) must be completed and sent with a marked-up plan to the TFM Contractor managing the project.

It is the responsibility of Duty Holders and/or nominated persons to ensure that the risk assessment is carried out prior to the work commencing. KCC will provide information on the management of areas and items that have not been surveyed.

8. Asbestos Risk Classification Scheme

Understanding the Survey

KCC has developed a risk classification scheme to provide a consistent approach to the management of all identified ACM's. The information required to implement the scheme is collected by the surveyor while they are carrying out the Management Surveys.

The characteristics of each ACM identified is allocated a score. The total score (together with the comments of the surveyor) will determine the Risk Classification. Each location or separate buildings on the same site will be scored individually and the results listed in of the survey reports.

Where testing of samples shows that materials do not contain asbestos the risk score will be zero. However, these will be recorded as part of the survey results for information purposes.

For details of the scoring system and descriptions of the characteristics see Appendix 11. The risk classification scheme is for guidance only and is provided as background information for prioritising risks associated with materials in differing state, in different locations and subject to factors to do with building occupation and use.

9. Maintaining and Updating Records

A copy of each management survey report will be issued to the property manager to be retained in the Docubox. It is intended that this report should be the asbestos register for the premises and it is therefore essential that it is maintained as an up to date record of all asbestos occurrences.

The survey reports must be updated by the Nominated person in the property, every time any remedial work is carried out that changes the asbestos materials that are identified in the survey reports.

The section (Asbestos Removal update) below each picture in the site register MUST be fully completed by the responsible person carrying out the work and witnessed by the Nominated Person or their delegate. If the form has been previously updated and there is no space available, a blank form can be used and should be placed securely within the report.

Re-Surveying

KCC will periodically audit a selection of the survey records to ensure they are kept up to date. All premises will be re-surveyed every 3 years as part of a rolling programme organised by the Authority. The purpose of re-surveying is to check the condition of previously noted ACM's, to check the accuracy of the survey report and how it is being used and to identify whether there is a need for remedial works to be carried out to ensure that the ACM's meet health and safety requirements. The re-survey will also identify any new or removed ACM's which may not have been logged in the previous survey.

10. Resultant Works

KCC as the 'Duty Holder' will ensure that any resultant works identified from the asbestos management survey are actioned within a reasonable timescale. All works will be carried out by an HSE licensed contractor following a tender process by GEN² from KCC's Asbestos framework.

KCC operate an Asbestos Framework that ensures competent people are conducting the survey, resultant works and where necessary laboratory testing. Completed surveys are sent to GEN² who will authorise any remedial works.

Kent County Councils nominated responsible person will arrange for the removal or encapsulation of ACM's. This will be undertaken when indicated by the Asbestos Survey or as part of a planned refurbishment scheme. Only a licensed asbestos removal contractor will carry out work directly interfering with or removing asbestos.

No works are to be undertaken by the company surveying the premises.

11. Decorating, Repair and Removal of Asbestos

These works should NOT be commissioned direct by the Site / Nominated Person without seeking advice from GEN² FM Manager – details supplied in appendix 1.

KCC requires that all contractors who propose to carry out any works involving materials that contain asbestos must be in possession of a HSE license issued under The Control of Asbestos Regulations 2012.

Although legally, some materials are able to be worked on without a license, KCC require that without exception and regardless of any exemptions, all work on asbestos is to be conducted by a contractor in possession of a HSE license that MUST cover appropriate activities.

This includes:-

- Sprayed coatings
- Thermal insulation
- Insulating board
- Textured coatings

Prior to the commencement of any building or maintenance work which involves asbestos insulation and coatings, work with asbestos insulating board, other ACM's or removal of asbestos from any plant, the licensed contractor shall complete an assessment of likely exposure, risk assessment and a plan of work

NOTE: Where the job is in progress and suspected asbestos is discovered; refer to Section 16 Management of Installed ACM's – Emergency Procedures.

Kent County Councils nominated responsible person will arrange for the removal or encapsulation of ACM's. This will be undertaken when indicated by the Asbestos Survey or as part of a planned refurbishment scheme. Only a licensed asbestos removal contractor will carry out work directly interfering with or removing asbestos.

No works are to be undertaken by the company surveying the premises.

12. Management and Building Work Conditions and Standards

For building or maintenance work which involves working with ACM's the risk assessment and plan of work must be in writing and submitted to the Contract Administrator or Employers Agent, acting on behalf of KCC. Written approval of the assessment and plan of work must be obtained before commencement of any work with asbestos. Generic assessments and plans of work are only acceptable for repetitive tasks carried out in the same manner in similar locations. NB: This is in addition to any statutory notification required of the contractor. Such documentation is to be kept in the Docubox at the premises.

Where the work method is varied due to a change in specification or an instruction to carry out additional works, an amended risk assessment and plan of work must be prepared and approved before commencement. Small variations to work methods (site specific) may be amended by a competent supervisor and communicated to the relevant parties - KCC/ GEN² / Contractor/Consultant/HSE (where notifiable).

Every contractor shall aim to prevent the exposure of employees to asbestos and the following measures shall be implemented wherever possible to reduce the risk of exposure:

- A copy of the plan of work and assessment (relating to exposure levels)
- A copy of license for work with asbestos, where appropriate
- A copy of the FOD ASB5 notification form, where appropriate
- A copy of the waiver, where appropriate
- A copy of the work programme
- A copy of the current Employers' and Public Liability Insurance certificate
- Copies of all relevant medical certificates, where appropriate
- Copies of all relevant training certificates and face fit certificates
- Copies of all relevant plant testing certificates
- A copy of the waste carrier's registration, where appropriate
- Copies of all consignment notes, where appropriate
- Control of Substances Hazardous to Health (COSHH) assessments for all products in use
- Risk assessments appropriate for the proposed work
- Copies of air monitoring certificates and bulk sample analysis, where appropriate

All contractors carrying out work with any ACM in any building to which this policy applies, must keep a site folder with all relevant documentation as listed above where required, in accordance with their HSE license conditions and ensure their staff have reviewed these documents before commencing any asbestos removal.

13. Management of Installed Asbestos Containing Materials (ACM's)

INFORMATION

KCC will provide Nominated Persons at each property with information concerning the ACM's within the property and how they should be managed.

Each property will be issued with a Docubox which contains all relevant Asbestos management data. This includes but is not limited to:

Introductory letter from -Director of Infrastructure

A1 – Why have we got a Docubox?

A2 – Who is Who?

A3 – Who is responsible for what? (to be completed by the establishment)

A4 – What is Asbestos/Why is Asbestos dangerous?

A5 – What are the most commonly found types of Asbestos?

A6 – What does the law say about Asbestos?

A7 – How does a survey get produced?

A8 – What do I do when the survey arrives?

A9 – What do I have to do when planning works?

A10 – What are my responsibilities as a contractor? (copies to be given to contractors)

A11 – What needs to be done if Asbestos is suspected of being damaged?

A12 – What do I do if the building suffers fire damage?

A13 – Who am I going to call for help/advice?

Building Diagram (typical locations for the most common asbestos containing materials)

- KCC's Asbestos Management Plan – Policy and Code of Practice for the Management of Asbestos in Buildings.
- The latest asbestos Management Survey.
- Any additional surveys that is currently relevant.

Make sure anyone who needs to know about the Docubox and its contents is made aware and follows procedures, including voluntary workers, contractors and staff.

Each Property Manager/Nominated Person will be responsible for ensuring that relevant contractors/visitors to the property are made aware of contents of the Docubox and where necessary the actions they are required to take before commencing work.

The responsibility matrix which can be found in the Asbestos Docubox (A3 as above) outlines the tasks that must be performed by local management. It is the responsibility of the Nominated Persons to complete the responsibility matrix and identify who is responsible for carrying out the duties identified.

14. Management of Installed Asbestos Containing Materials

Maintenance Works

KCC will not undertake (or commission) work to any building without adequate information on the nature, condition and extent of any installed ACM which is likely to be disturbed. The Asbestos Survey Data will be consulted in all cases and works orders shall indicate that this has occurred. If no survey has been carried out and no data is available, it is the Duty Holder's / Nominated Persons responsibility to arrange for a full management survey of the building to be carried out (if necessary in conjunction with a refurbishment or demolition survey); to ensure the safety of the worker/contractor. Where the survey indicates the likelihood that asbestos will be disturbed, a licensed contractor shall undertake the work regardless of any exemptions.

KCC undertakes not to purchase or install any ACM's (or where relevant, equipment containing ACM's) and will require all suppliers to declare that any product they supply is asbestos free.

KCC commissions its property maintenance, major refurbishment and new-build projects to external contractors who are on the KCC Consultants Framework or the Preferred Contractor Database; who are directed to view and comply with this policy.

The database and the policy can be found on the KCC Property Website <http://www.kelsi.org.uk/policies-and-guidance/health-and-safety-guidance/premises-and-contractor-management>

KCC will periodically carry out quality audit checks to ensure compliance with this Policy.

When drawing up specifications for any building and maintenance works, the appointed consultant/Nominated Person and/or Premises Manager will take all reasonable precautions to determine whether asbestos is present including consulting the premises survey/register. Any information regarding the presence of asbestos shall be passed onto contractors, together with a warning that despite thorough survey inspections not all asbestos material may have been found or identified.

15. Management of Installed Asbestos Containing Material

Local Nominated Persons

Local Nominated Person must inform all staff (including key holders) and trade union representatives of the location and contents of the Asbestos Docubox including specifically of the management survey report (where applicable).

The full Asbestos Docubox containing the Asbestos Survey and all other relevant documents must always be available to the Emergency Services and anyone else who needs to see it.

All staff, including trade union safety representatives must also be given details by the Nominated Person of any intended work.

Contractors carrying out maintenance or installation work involving interference with the building must check the building plan and survey in the Docubox to see where asbestos-containing materials may be present. They should record this has been done on the works log sheet in **Appendix A** of the survey report (or on separate premises record systems) and where appropriate on the job completion certificate.

Prior to the commencement of any building or maintenance work, the contractor shall ensure that a suitable and sufficient risk assessment is completed as required by Regulation 3 of the Management of Health and Safety at Work Regulations 1999.

This will be done by a competent person i.e. a person having received adequate information, instruction and training to carry out risk assessments.

Safe Working Permits

Nominated Persons or those instructed to do so, will issue contractors a safe working permit (see appendix 4) when the following work is to be undertaken: -

- Any work where asbestos is present, or suspected.
- Hot work, e.g. soldering, grinding, use of open flame.
- Roof working and working at height.
- Confined spaces.
- Breaking into pipes, e.g. service pipes.
- Excavation.
- High voltage (work on equipment or presence of nearby cables).
- Lift maintenance
- Gas work

Generic assessments are only acceptable for repetitive tasks carried out in the same manner in similar locations, so long as they reflect the hazards and the risks associated with the activities. Generic assessments must be re-considered in the context of site-specific considerations.

After checking the contractor's specific risk assessment, the on-site Nominated Person or their representative will implement the Safe Working Permit system (see Appendix 4).

The Safe Working Permit should be kept and retained with local repair and maintenance records or in a similar appropriate place.

Refer to SafetyNet / KELSI for further guidance

Access Restriction - Permit to Work

If a room/area in which an ACM has been identified as part of an Asbestos survey and needs to be vacated and access restricted it will be necessary for an Access Restriction - Permit to Work (ARPTW) to be implemented, (see appendix 10). An ARPTW should be completed by the surveyor on site, detailing the location of the hazard, all potential asbestos related hazards, necessary requirements such as air testing, wearing appropriate Respiratory Protective Equipment (RPE) and Personal Protective Equipment (PPE) etc. Appropriate signage should be applied to the door of the room/area, see example below.

All incidents including signage should be photographed and sent to KCC/Consultant immediately.

The site Nominated Person is required to sign the ARPTW completed by the surveyor on site to ensure they are fully aware of the situation, and acknowledge the fact that the room/area has been deemed to have 'Restricted Access'.



Copies of the ARPTW should be made when on site prior to Nominated Persons signature for future access. The main copy should be retained by the surveyor and returned to the office.

16. Management of Installed Asbestos Containing Materials

Emergency Procedures

If any incidents occur whereby ACM's become damaged the following actions MUST be taken:

- Immediately isolate the area ensuring access is sealed off to all persons.
- All ventilation equipment must be switched off.
- Report the incident to the Nominated Person named on the Asbestos Survey Report or their deputy.
- The Asbestos Survey Report should be consulted, the report will determine if the materials do contain asbestos. If they do, please follow the actions below:
- Contact the regional TFM contractor to inform the incident
- Record names and contact details of the incident, file in the Docubox and email a copy of all information to asbestos.enquiries@kent.gov.uk.
- TFM contractor will assess any situation and ensure reports are sent to GEN² / KCC so reports can be made to the Health and Safety Executive - if they meet the requirements under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR).
- Seek advice from FM manager if the building users have any concerns and are considering closing the building or any significant part of the site.
- Ensure that a Certificate of Re-Occupation has been provided by the asbestos contractor before anyone can enter the area, if required.

If suspected asbestos is discovered, either once work has commenced or in any other circumstances e.g. minor repairs by a caretaker, electrical works by a competent electrician, accidents, storm damage, fire, flood or vandalism etc., and the material is undamaged, no further work should be undertaken that could cause the deterioration of the material. The regional TFM contractor must be contacted immediately. If the material is damaged, the area should be evacuated and sealed off to prevent further access. Carry out actions as per the Asbestos Emergency Checklist.

Details of the incident will be passed by the TFM contractor to KCC's surveying contractor to inspect the damage, assess what works are required and ensure that the correct isolation procedure is in place. A report will then be made to KCC giving recommendations and quotations for resultant works, where appropriate. If required, works will be programmed in or directly undertaken, subject to statutory notice periods and approval from the Health and Safety Executive.

Upon notification of the discovery of the suspected ACM, the TFM contractor will contact KCC's surveying contractor so that samples can be taken and shall liaise, as appropriate, with GEN² Compliance manager.

If the material is confirmed as containing asbestos, an assessment by the Asbestos Consultant shall be carried out to determine whether any of the works could create a risk of people being exposed to asbestos. If the assessment indicates that there is no risk of disturbance or the material can be protected against disturbance, the works may continue. If the assessment indicates that exposure is likely, the Asbestos Consultant shall make

recommendations as to the appropriate action required. The consultant will notify all relevant authorities.

The GEN² compliance Manager and a KCC Health and Safety Manager/Adviser will carry out any necessary investigations in association with the retained Asbestos Consultant.

Nominated Persons / Premises Managers must ensure that safety and/or employee representatives are kept informed of incidents and follow-up procedures including the outcome of any sampling/monitoring.

If an incident has been recorded where there has been an uncontrolled release of asbestos at a concentration that exceeds the appropriate control limits, KCC will keep a log of all relevant information and documentation and notify the affected parties immediately. A record of any incident that affects an employee will be retained on their personal records for 40 years using the most recent Accident/Incident Report Form HS157.

Potential Exposure to KCC Staff, Contractors and Visitors

Where there is a potential for contamination of people or their clothing all persons suspected of being contaminated shall (wherever practicable):

- Carefully remove outer layers of clothing (including footwear).
- Remove clothing by carefully turning inside out so as to avoid liberating any attached fibres.
- Wash down with damp towels, tack cloths or baby wipes. Have a shower where the facility exists.
- Ensure that the wash facility is thoroughly rinsed after use.
- All and any suspect items or contaminated clothing, and any used wipes, towels etc. are to be sealed in a polythene bag and left altogether in the immediate vicinity of the incident.

Contact the Nominated Person / Premises Manager at the earliest opportunity. Carry out actions as per the Asbestos Emergency Checklist. Where the incident is out of normal office hours, this may be the next available working day. Report details of the incident and immediate action taken. Co-operate with any incident investigation and contingency arrangements. Do not attempt to sweep, vacuum or remove any debris if the nature of the damaged material is not known. Where there is no electrical hazard, smaller damaged areas may be damped-down with a fine mist water spray, to which a little detergent has been added. Apply to allow the spray to “fall” onto the affected area. Wet paper towels may also be used to prevent any fibres being released to the air. Remember to post “Wet Floor” notices.

Where the contaminated area is within a designated fire escape route, additional contingency measures may be required – these will be managed by the Nominated Person or person in charge of the building at that time. In some instances, it may be necessary to close the entire building and await further instruction.

Do not re-enter or re-occupy any area of the building or workplace until the “all clear” has been given by either GEN² Compliance manager or a Health and Safety Manager/Adviser.

Where exposure to asbestos fibres has been confirmed, or cannot be discounted, employees must complete an incident report form HS157

Employees should retain their copy of this record indefinitely.

Staff Care Services (Occupational Health) support will be offered to any employee who has been exposed to asbestos.

Nominated Responsible Person's Actions

- 1) Nominated responsible person receives notification of possible ACM related incident in Council property.
- 2) Consult Asbestos Register for property concerned.
- 3) Arrange for air monitoring and sampling by approved asbestos monitoring contractor.
- 4) If material is free from Asbestos area can be re-opened.
- 5) If ACM is confirmed, then this ACM must be removed or encapsulated by approved asbestos removal contractor.
- 6) After ACM is removed or encapsulated, air is monitored and, if clear, room is re-opened.
- 7) If the air is not clear, further action must be taken by asbestos removal contractor to clear the air until acceptable level reached.
- 8) TFM contractor will ensure the asbestos register is updated by the Nominated Person / Premises Manager.

Potential Exposure to Asbestos in Non- Council Premises

Emergency Contact Information

During normal office hours (08:30 – 17:00):

Contact your line manager or GEN² Compliance Manager 03000 416195 / 07920 548911

Outside normal office hours:

Contact the TFM contractor (see details appendix 1)

If you suspect that you have been exposed to an unplanned release of Asbestos:

- Immediately leave the premises and wait outside.
- Contact the emergency contacts as above.
- Carry out actions as per the Asbestos Emergency Checklist.
- Do not leave the site.
- Do not return to your car.
- Await further instructions.

Where there is a potential for contamination of people or their clothing (instances of significant damage or debris) all persons suspected of being contaminated shall (wherever practicable):

- Carefully remove outer layers of clothing (including footwear).
- Remove clothing by carefully turning inside out so as to avoid liberating any attached fibres.
- Wash down with damp towels, tack cloths or baby wipes. Have a shower where the facility exists.

- Ensure that the wash facility is thoroughly rinsed after use.
- All and any suspect items of contaminated clothing and any used wipes, towels etc., are to be sealed in a polythene bag and left altogether in the immediate vicinity of the incident.

The Emergency contact will arrange for assistance for you to help with personal decontamination and will keep in touch with you to advise on progress.

During normal office hours, wait for further & detailed instruction from GEN² compliance manager or a Health and Safety Manager/Adviser.

Employees should not leave or go home until instructed. Arranging for a change of clothing will be an immediate priority.

Where exposure to asbestos fibres has been confirmed, or cannot be discounted, employees must complete an incident report form HS157

Employees should retain their copy of this record indefinitely. Copies of completed forms will be retained securely and indefinitely on Personnel files.

Staff Care Services (Occupational Health) support will be offered to any employee who has been exposed to asbestos.

Asbestos Emergency Checklist

For use by those discovering or who are immediately in charge* of the asbestos-related emergency (see also “Asbestos Emergency: 10 Steps to Safety”)

Have you:	<input checked="" type="checkbox"/>
• Checked the Asbestos Register? (only for council buildings).	<input type="checkbox"/>
• Confirmed that the damage is likely to be an asbestos-related emergency?	<input type="checkbox"/>
• Made the immediate area safe? Closing doors (locking them wherever possible), windows and switching-off any ventilation systems?	<input type="checkbox"/>
• Evacuated any other people and prevent anyone entering the affected area?	<input type="checkbox"/>
• Cleaned yourself down (if you were contaminated) and asked others to do the same?	<input type="checkbox"/>
• Called the appropriate asbestos specialist (normal office hours) or other emergency contact?	<input type="checkbox"/>
• Have you described or confirmed to that contact:	<input type="checkbox"/>
1. Who you are and the 'phone number you're calling from	<input type="checkbox"/>
2. Where: given the address of the property	<input type="checkbox"/>
3. Where: described the area(s) or rooms affected	<input type="checkbox"/>
4. Whether the damaged material is confirmed as asbestos (with reference to the on-site Asbestos Survey Report), whether it is strongly suspected, or whether you are still unsure.	<input type="checkbox"/>
5. What: you have done to make the area as safe as possible	<input type="checkbox"/>
6. Who: has been immediately affected (e.g. numbers of clients or employees)	<input type="checkbox"/>
7. What: describe any other action you have taken; e.g. damped down the affected area, replaced a cover, used temporary barriers or tape to prevent access.	<input type="checkbox"/>
• Make some notes while things are fresh in your mind about the time of the incident (or when it was discovered) and the persons involved, etc. This will usually be the manager or supervisor responsible for the building or the work area. On occasion, it may be relevant to the person discovering damaged ACMs or suspect materials (e.g. a person discovering damage out of hours)	<input type="checkbox"/>

Asbestos Emergency: 10 Steps to Safety	
Action	
1. Stop and Communicate	Stop the work or activity, tell others in the vicinity there may be a problem and prevent further disturbance.
2. Check and Confirm	Refer to the Asbestos Register, work instructions or other data. If in any doubt assume the worst.
3. Make Temporarily Safe	By closing-off the area, erecting barriers, wetting down or carefully covering up the damaged or suspect area.
4. Avoid and Reduce Contamination	Leave tools, equipment & personal belongings suspected of contamination in the affected area.
5. Communicate	<ul style="list-style-type: none"> • With the person in charge, your supervisor or contract administrator, tenants and occupants. • Call the regional TFM contractor who will take steps to deal with the emergency.
6. Co-Operate	With KCC personnel, specialist consultants and contractors, enforcing authorities obeying all reasonable instructions.
7. Make Permanent Repair	KCC arrange for Specialists to make assessment and carry out effective permanent repair, including removal and clean-up of dust and debris.
8. Record	Ensure that all confirmed instances of asbestos disturbance or unexpected discovery of asbestos-containing materials is recorded in the Council's Accident database
9. Investigate	ALL confirmed asbestos-related emergencies are to be fully investigated and records kept – all in accordance with Council Accident Reporting and Investigation Procedure.
10. Review and Learn Lessons	Sharing the findings arising from any emergency will help ensure that we put measures in place elsewhere to stop it happening again somewhere else. These lessons will be shared across personnel; and more widely across Services and Building Occupiers as appropriate.

17. Management of Installed Asbestos Containing Materials

Monitoring Condition of ACMs left in situ

Nominated Persons / Premises Managers must monitor the condition of any ACM's on site. The results of the monitoring should be recorded on the Condition Record Summary which is part of the survey report.

The frequency of the inspections will depend on the risk assessment. The table below outlines how often inspections should be carried out on ACM's according to the score they have been given. For details of the scoring system and descriptions of the characteristics see Appendix 10.

RISK RATING SCORE	INSPECTION FREQUENCY
Medium 13-18 points	Every 3 Months or on reported damage
Low up to 12 points	Annually or on reported damage

Removal of ACM's will be undertaken when indicated by the Asbestos Risk Classification Scheme or as part of a planned refurbishment scheme. Only a licensed asbestos removal contractor will carry out removal of asbestos regardless of any exemptions.

No works are to be undertaken by the surveying company.

18. Management of Installed Asbestos Containing Materials

Labelling

The position of warning signs and labels on ACM's is beneficial in decreasing the chance of inadvertent damage and exposure. However, labelling is not always appropriate in certain environments and is only an additional precaution and is not the sole method of indicating presence of asbestos. The asbestos report and docubox should always be referred to as the primary source of information without exception. Therefore, in high risk areas e.g. loft spaces, boiler houses, equipment stores/rooms, asbestos labels should always be used (see Appendix 6). Where parties believe labelling could cause undue alarm, e.g. in common or public areas of buildings, a decision may be taken not to label items. If this is so, the Nominated Person or Premises Manager must ensure that all staff is aware of:

- The presence of ACM's.
- The procedure for responding to changes in condition, or damage to such materials.
- The records containing such information that must be made available to those involved in maintenance or building works i.e. asbestos survey/register.
- Measures to prevent unauthorised or uncontrolled interference.

NB:- Because there are no labels in common areas it is vital that other measures to manage asbestos and protect people are reliable and consistently applied.

19. Provision of Information and Training

KCC will provide guidance and/or awareness training for all employees who are involved in the management and maintenance of council property or who may potentially come into contact with asbestos during the course of their employment. The level of training will be determined by the tasks the person is required to carry out in the normal course of their duties.

All local Nominated Persons / Premises Managers (ref Section 5 page 8) will ensure that those with responsibility for managing asbestos risks on site are adequately trained so that they appreciate their responsibilities and carry out the actions described in the policy.

All contractors undertaking any form of work construction/repair/electrical/plumbing etc., will be required to show evidence of similar guidance and training of their staff who may be similarly exposed.

All managers will ensure that relevant staff receive adequate KCC Asbestos Awareness Training.

Statutory compliance training for Nominated Person / Premises Managers will be provided by GEN² on a rolling programme. For further information contact asbestos.enquiries@kent.gov.uk

For information and guidance regarding asbestos and current regulations please visit the Health and Safety Executive website. <http://www.hse.gov.uk/asbestos/>

20. Revision Monitoring and Audit

This policy will be kept under review Bi-annually by KCC and it may also be amended when there is any significant change in legislation or best practice.

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

GEN² will report any serious breaches to the appropriate Health and Safety Manager, and a joint investigation will be carried out if necessary.

In some cases this will need to be reported to Directorate Management Teams.

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.

APPENDIX 1

Who am I going to call for help/advice?

Kent County Council

KCC Infrastructure Commissioning Team

03000416462

infrastructurequeries@kent.gov.uk

GEN²

Regional FM Managers

Zone 1 West Kent
Area FM Manager – Victoria Shields
03000 422122 / 07725 759509
victoria.shields@gen2.co.uk

Zone 2 Mid Kent
Area FM Manager – Melanie Cowley
03000 411448 / 07971 017050
Melanie.cowley@gen2.co.uk

Zone 3 East Kent
Area FM Manager – Dianne Woodcock
03000413241 / 07920 428530
Dianne.Woodcock@gen2.co.uk

Compliance Manager
03000 416195 / 07920 548911
asbestos.enquiries@kent.gov.uk

Health and Safety

Health and Safety Advice Line

03000 418456

healthandsafety@kent.gov.uk

Regional TFM Contractors

West Kent
Skanska
0800 9012464
westkenthelpdesk@skanska.co.uk

Mid Kent
Amey
01622 624003
midkenthelpdesk@amey.co.uk
midkentschools@amey.co.uk

East Kent
Kier
03303 321705 / 0800 562363
eastkent.helpdesk@kier.co.uk
eastkentschools.helpdesk@kier.co.uk

APPENDIX 2

Letter E-MAIL TO DIOCESE FOR USE ONLY WHEN AIDED SCHOOL HAVE RESULTING WORK

GEN² Property
Sessions House
County Hall
Maidstone
Kent ME14 1XQ
Tel: 03000
Fax: (01622) 69 4117

Direct Dial/Ext: (03000) 416195
Ask For: Compliance Manager (Asbestos)
Email address:
asbestos.enquiries@kent.gov.uk
Our Ref: Asbestos
Date:

Dear Sirs

Re: Asbestos Survey Report

Please be aware that KCC have recently organised an asbestos Management Survey to be carried out at (Name of Voluntary Aided School)

As a result of the Survey some asbestos materials categorised as high risk and remedial works must be carried out as soon as possible. A hard copy of the Asbestos Survey Report has been sent to the School and our contractor outlined with the school the identified works and confirmed the school's responsibility to have the works completed.

Please find attached a copy of the Asbestos Survey Report sent to the School for your information. May I advise you that any works identified as a high risk due to condition/type/location of material in the Survey must be undertaken. Please ensure that all identified works are carried out by a Licensed Asbestos Contractor.

Please examine the plans within the report to ensure that all buildings on your site have been surveyed. If you feel that there are any discrepancies, please e-mail asbestos.enquiries@kent.gov.uk

This letter, along with the report and any other related papers should be kept in the Docubox with the Asbestos Register in a readily accessible place and all staff should be notified of its content and location.

Thank you for your assistance in this matter.

Kind Regards

APPENDIX 3

Site Name	Asbestos Management Survey Report
Client: Kent County Council	Page: 10 of 27

ASBESTOS SURVEY FORM

Property	Floor	Incident Number
Room No. /Name	Location	Sample Number



Item:

Asbestos Re-inspection		
<u>UPDATE 1</u>	<u>UPDATE 2</u>	<u>UPDATE 3</u>
Company STAMP here if Condition UPDATED	Company STAMP here if Condition UPDATED	Company STAMP here if Condition UPDATED
Date: Name: Signature:	Date: Name: Signature:	Date: Name: Signature:

Asbestos Removal		
<u>UPDATE 1</u>	<u>UPDATE 2</u>	<u>UPDATE 3</u>
Company STAMP here if Condition UPDATED	Company STAMP here if Condition UPDATED	Company STAMP here if Condition UPDATED
Date: Name: Signature:	Date: Name: Signature:	Date: Name: Signature:
Description of Works: (Circle as appropriate) Labelled/Encapsulated or Sealed/Enclosed/Removed/Other (Describe)	Description of Works: (Circle as appropriate) Labelled/Encapsulated or Sealed/Enclosed/Removed/Other (Describe)	Description of Works: (Circle as appropriate) Labelled/Encapsulated or Sealed/Enclosed/Removed/Other (Describe)

Site Inspection by Premises Duty Holder		
Date	Name	Signature

Site Name	Asbestos Management Survey Report
Client: Kent County	Page: 10 of 27

ASBESTOS SURVEY FORM

Property	Floor	Incident Number
Room No. /Name	Location	Sample Reference
Date Inspected:		Name of Surveyor:

Location and Material:		Value	Score
POSITION	External	0	
	Internal (Stairs, corridors, lift shafts, lofts, etc)	1	
	Internal (Occupied)	2	
	Internal forced ventilation over unsealed asbestos	4	
CONDITION	Good (Unblemished, not cut, drilled or machined)	0	
	Fair (Indented or cracked but not broken away)	2	
	Poor (Small Part of edge or corner missing)	4	
	Bad (Significant damage/plant or material detached from wall)	6	
DAMAGE POTENTIAL	Difficult to touch, vandalized or hit with ball etc. No regular maintenance implication	0	
	Some effort needed to reach, chair, ladder etc needed. No regular maintenance implication	1	
	Within normal reach of people using the building (e.g. distance to standard door height from nearest standing position)	4	
	Will be encountered in maintenance or by position has high potential to vandal damage	5	
	Likely to be disturbed or damaged in routine maintenance	10	
FRIABILITY	Low (e.g. asbestos cement, vinyl tiles, vinyl gaskets)	1	
	Medium (e.g. insulation board)	2	
	High (e.g. sprayed insulation, pipe insulation, woven materials)	5	
SURFACE TREATMENT	Behind rigid cover or structure	0	
	Sealed with undamaged sealant or flexible cover	2	
	Untreated or with damaged seal or cover	4	
PRODUCT	Reinforced mastic products/Textured coatings/Thermoplastic flooring	0	
	Asbestos Cement	1	
	Lagging/fibrous gasket/AIB	4	
	Sprayed Coatings	6	
Laboratory Result:		Total	
Surveyors Comments:			
		Total Score	

Risk Category:
 High: 19 Points and Over
 Medium: 13 – 18 Points
 Low: Up to 12 Points

Suggested Action:
 Arrange for immediate action to reduce to medium category or remove
 Assess extent of possible action required
 No immediate action needed but check condition and assessment

APPENDIX 4 Permits (see forms on pages 37 and 39)

Control of Contractors - Guide to Using the Safe Working Permit

Use of the Safe Working Permit

This permit will be issued for Contractors:

- a) employed by yourself,
- b) who specify a need for a permit under their Risk Assessment,
- c) for all work where specific Risk Assessments are required (see below),
- d) at the Manager's discretion.

The Safe Working Permit should be issued by the recognised authorised person(s) and gives permission for a contractor to carry out works on site, and identifies areas where works will take place. Following a general Risk Assessment, specific Risk Assessments are required for the following:

- Any work where asbestos is present, or suspected.
- Hot work, e.g. soldering, grinding, use of open flame.
- Roof working and working at height.
- Confined spaces.
- Breaking into pipes, e.g. service pipes.
- Excavation.
- High voltage (work on equipment or presence of nearby cables).
- Lift maintenance.
- Gas work.

The Safe Working Permit should be kept and retained with local repair and maintenance records or in a similar appropriate place.

Refer to SafetyNet on Kent Trust Web for further guidelines.

(SafetyNet is available to KCC employees only)

Access Restriction - Permit to Work

Use of the Access Restriction - Permit to Work

This permit will be issued for Contractors:

- a) Employed by yourself,
- b) Who specify a need for a permit under their Risk Assessment,
- c) For all work where specific Risk Assessments are required (see below),
- d) At the Manager's discretion.

The Safe Working Permit should be issued by the recognised authorised person(s) and gives permission for a contractor to enter a room/area in which ACM has been identified

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Kent County Council
Control of Contractors – Safe Working Permit



SAFE WORKING PERMIT (Form)

1. Issue

I (Block Capitals)
being the Officer in Charge/Dutyholder, issue this 'Permit' to:

Company:
.....

Name of contractor in charge of the work is
.....(Block Capitals)

Supplementary labourers/sub contractors are:

Name of Person	Name of Company

Location and details of work to be carried out:
.....
.....
.....
.....

	Yes	No
Has the contractor's risk assessment been conducted?	<input type="checkbox"/>	<input type="checkbox"/>
Has a premises risk assessment been conducted?	<input type="checkbox"/>	<input type="checkbox"/>
Has a copy of safety rules been provided to the contractor?	<input type="checkbox"/>	<input type="checkbox"/>
Has the contractor seen and signed the asbestos register?	<input type="checkbox"/>	<input type="checkbox"/>

** If the answer to any of the above is 'no' the work should not proceed and you should consult Property and Infrastructure for further advice.*

NOTE: A separate specific risk assessment is required for any work involving:

- Asbestos
- Hot working
- Roof working and working from height
- Confined spaces
- Breaking into pipes
- Excavation/digging
- High voltage (seek specialist advice)
- Lift maintenance work
- Gas work

This Permit is valid:

From:
Date: Time:

Until:
Date: Time:
(not exceeding 5 days)

Signed:

Date: **Time:**

2. Receipt

I (Block Capitals)
being the contractor agree the contents of this permit and accept responsibility for carrying out the work as detailed and will only allow those named to work accordingly.

3. Clearance

I DECLARE THAT THE WORK FOR WHICH THIS Permit was issued is now

- *Suspended/Completed
(delete as required)

that all persons have been withdrawn from the above work, that all gear, tools and materials have been removed and the area left in a safe condition.

Signed:
(from person named in '2')

Date: **Time:**

4. Cancellation

The Contractor's Safe Working Permit and any associated permits are hereby cancelled.

Signed:
(Being an authorised person or their representative to cancel a "Contractor Safe Working Permit")

Form to be retained by originator.

NO WORK SHOULD BE UNDERTAKEN UNLESS SECTIONS 1 AND 2 ARE COMPLETED

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KCC Asbestos Management Survey Programme	Premise
Access Restriction – Permit to work	Location
Permit to Work	

To be completed by the asbestos surveyor:					
Type of Hazards:	Suspected asbestos residue		Suspected asbestos debris		Confirmed asbestos contamination
Description of Hazards:					
Actions taken to secure area:					
Do you recommend that the area is subjected to an air test:	Yes	No			
Is protective equipment required to access the area:	Yes	No	If “Yes” state what:		

Works required can be safely undertaken in accordance with all information within this PTW and the works RAMS.
 If at any time this changes work is to stop and the PTW is to be reviewed.

Page 100

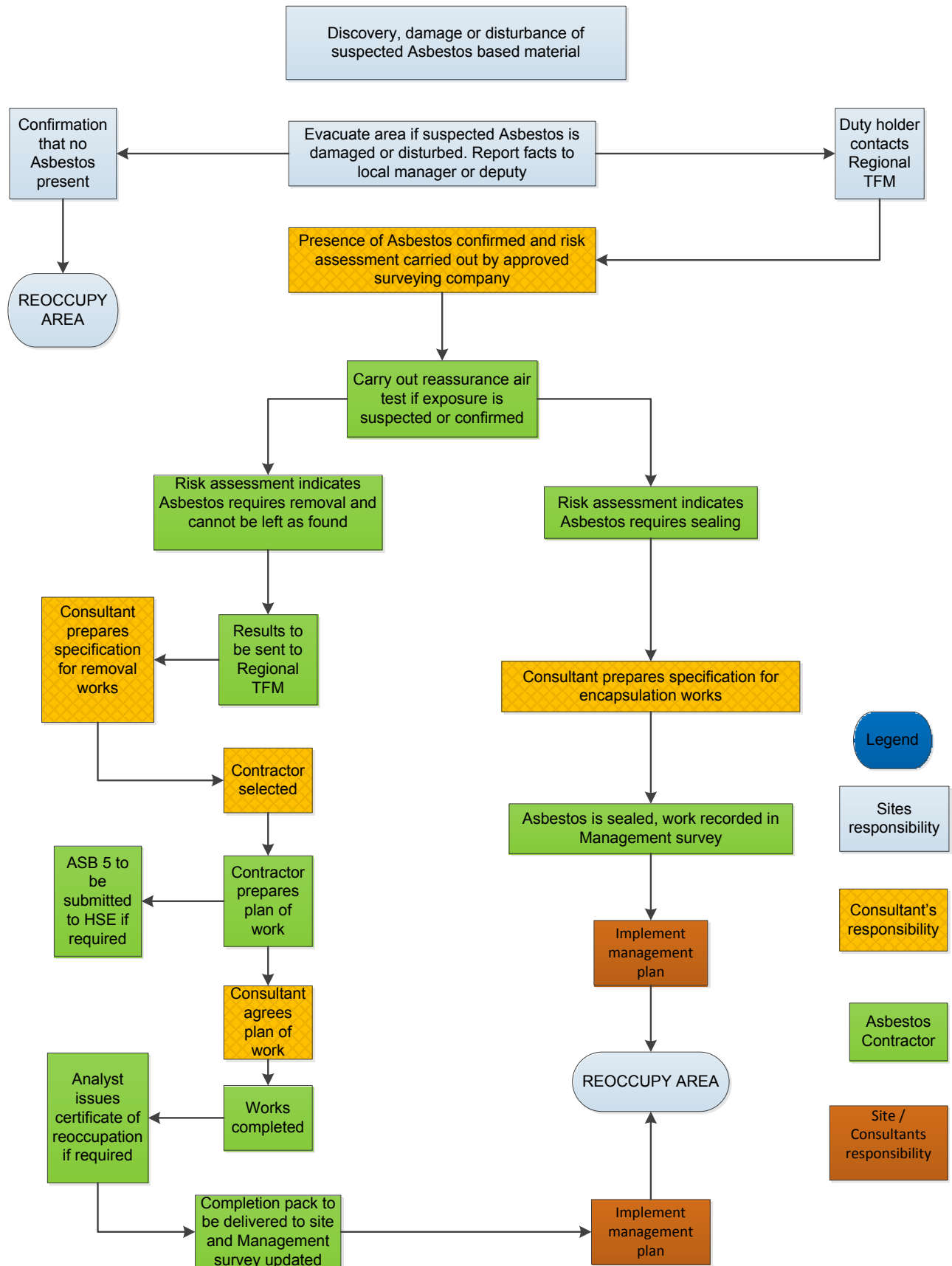
To be completed by the person requiring access:				
Description of Works:				
Will the work operation disturb any of the hazards listed above?	Yes	No	If “Yes” entry is prohibited	
If an air test has been recommended are results of the test available for viewing:	Yes	No	N/a	If “No” please contact NPS Property Consultants Ltd on 01227 793480 for confirmation
Is the protective equipment recommended by the surveyor available and suitable for use:	Yes	No	N/a	If “No” entry is prohibited
The following persons require access to the area:	Name:		Name:	
	Name:		Name:	

To be completed by the Premise Representative:			
All the above information has been completed and any required precautions have been put in place:	Signed:	Date:	Time:

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APPENDIX 5

What needs to be done if Asbestos is suspected to be damaged



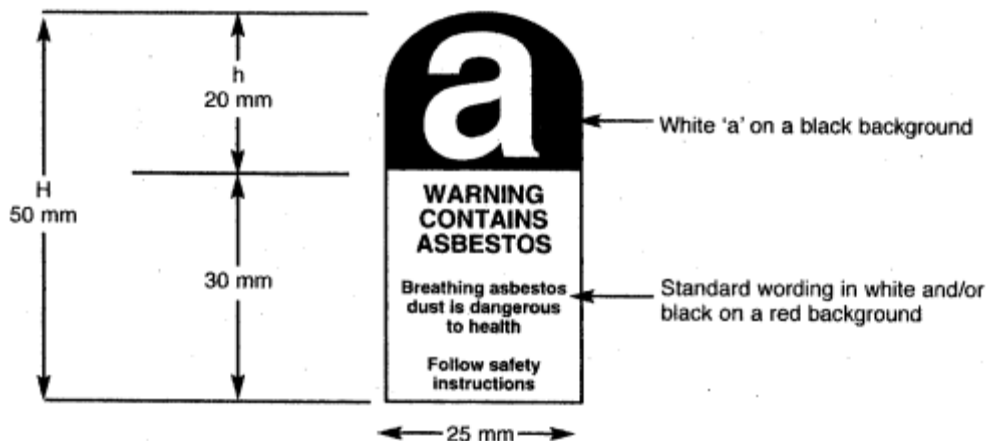
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APPENDIX 6 Asbestos Labelling

Extract from control of Asbestos Regulations 2012:

Schedule 2: The labelling of raw asbestos, asbestos waste and products containing asbestos Regulations 14(4), 24(2) and (3) and 30 (1) and (2)

1. (1) Subject to sub-paragraphs (2) and (3) of this paragraph, the label to be used on:-
 - (a) raw asbestos (together with the labelling required under the Chemical (Hazard Information and Packaging for Supply) Regulations 2002 and the Carriage of Dangerous Goods (Classification, Packaging and Labelling) and Use of Transportable Pressure Receptacles Regulations 2004.
 - (b) asbestos waste, when required to be so labelled by regulation 24(3); and
 - (c) products containing asbestos, including used protective clothing to which Regulation 14 (2) applies, shall be in the form and in the colours of the following diagram and shall comply with the specifications set out in paragraphs 2 and 3.



(2) In the case of a product containing Crocidolite, the words “contains asbestos” shown in the diagram shall be replaced by the words “contains Crocidolite/blue asbestos”.

(3) Where the label is printed directly onto a product, a single colour contrasting with the background colour may be used.

2. The dimensions in millimetres of the label referred to in paragraph 1(1) shall be those shown on the diagram in that paragraph, except that larger measurements may be used, but in that case the dimension indicated on the diagram shall be 40% of the dimension indicated as H.
3. The label shall be clearly and indelibly printed so that the words in the lower half of the label can be easily read, and those words shall be printed in black or white.

3. (1) Where a product containing asbestos may undergo processing or finishing it shall bear a label containing safety instructions appropriate to the particular product and in particular the following instructions:-

“Operate if possible out of doors or in a well ventilated place”,

“Preferably use hand tools or low speed tools equipped, if necessary, with an appropriate dual extraction facility. If high speed tools are used, they should always be so equipped”,

“If possible, dampen before cutting or drilling” and,

“Dampen dust, place it in a properly closed receptacle and dispose of it safely”.

(2) Additional safety information given on a label should not detract from or contradict the safety information given in accordance with sub paragraph (1)

1. (1) Labelling of packaged and unpackaged products containing asbestos in accordance with the foregoing paragraphs shall be effected by means of:-

(a) an adhesive label firmly affixed to the product or its packaging, as the case may be; or

(b) a tie-on label firmly affixed to the product or its packaging, as the case may be; or

(c) direct printing onto the product or its packaging, as the case may be.

(2) Where, in the case of an unpackaged product containing asbestos, it is not reasonably practicable to comply with the provisions of sub-paragraph (1) the label shall be printed on a suitable sheet accompanying the product.

(3) Labelling of raw asbestos and asbestos waste shall be effected in accordance with sub-paragraph (1) (a) or (c).

(4) For the purposes of this Schedule, but subject to sub-paragraph (5), a product supplied in loose plastic or other similar wrapping (including plastic and paper bags) but no other packaging shall be treated as being supplied in a package whether the product is placed in such wrapping at the time of its supply or was already so wrapped previously.

(5) No wrapping in which a product is placed at the time of its supply shall be regarded as packaging if any product contained in it labelled in accordance with the requirements of this Schedule or any other packaging in which that product is contained is so labelled.

(6) All identified Asbestos in areas not accessed by visitors/parents are to be labelled in accordance with the regulations above.

(7) Labels will be provided by and affixed by KCC’s Surveying Contractor.

APPENDIX 7 Legislation and Guidance

Legislation - Health and Safety at Work etc. Act 1974

All health and safety Regulations and Approved Codes of Practice are linked to the UK's overarching health and safety legislation – the Health and Safety at Work etc. Act 1974 – which in general terms requires employers to ensure the health, safety and welfare of their employees and anyone not employed by them, but who might be affected by the work, including the work processes and workplaces etc. The self-employed have similar duties (to themselves and others affected by their work).

The Management of Health and Safety at Work Regulations 1999 require, amongst other things, that employers undertake suitable and sufficient risk assessments, to identify risks to health and safety, and to use preventative measures that eliminate or control the risks to an acceptable level. The Regulations also require employers to integrate the management of health and safety into their normal management processes.

Part of the role of the Health and Safety at Work etc. Act 1974 is to set the framework for responsibilities and health and safety issues which are dealt with in any other, more specific, regulations e.g. the Management of Health and Safety at Work Regulations 1999 etc. Therefore, in line with the Control of Asbestos Regulations 2012, KCC has a duty to properly manage asbestos-related hazards and risks, using the Regulations and well developed good practice and guidance.

Please note that the list that follows is not exhaustive.

Regulations

The Control of Asbestos Regulations 2012

The Management of Health and Safety at Work Regulations 1999

Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR)

The Personal Protective Equipment at Work Regulations 1992

The Workplace (Health, Safety and Welfare) Regulations 1992

The Hazardous Waste Regulations 2005

The Carriage of Dangerous Goods and Use of Transportable Pressure Equipment Regulations 2009

The Construction (Design & Management) Regulations 2007

The Environmental Protection Act 1990 The Work at Height Regulations 2005

HSE Approved Code of Practice & Health and Safety Guidance Series (HSGS)

HSG 264 Asbestos: The Survey Guide

HSG247 Asbestos: The Licensed Contactors Guide 2006

HSG248 Asbestos: The Analysis Guide for Sampling, Analysis and Clearance Procedures

Other Publications

ARCA Guidance Notes and TICA Guidance Notes

INDG223 A short guide to managing asbestos in premises

- INDG288 Selection of respiratory protective equipment for work with Asbestos Health and Safety Executive
- INDG289 Working with asbestos in buildings

APPENDIX 8

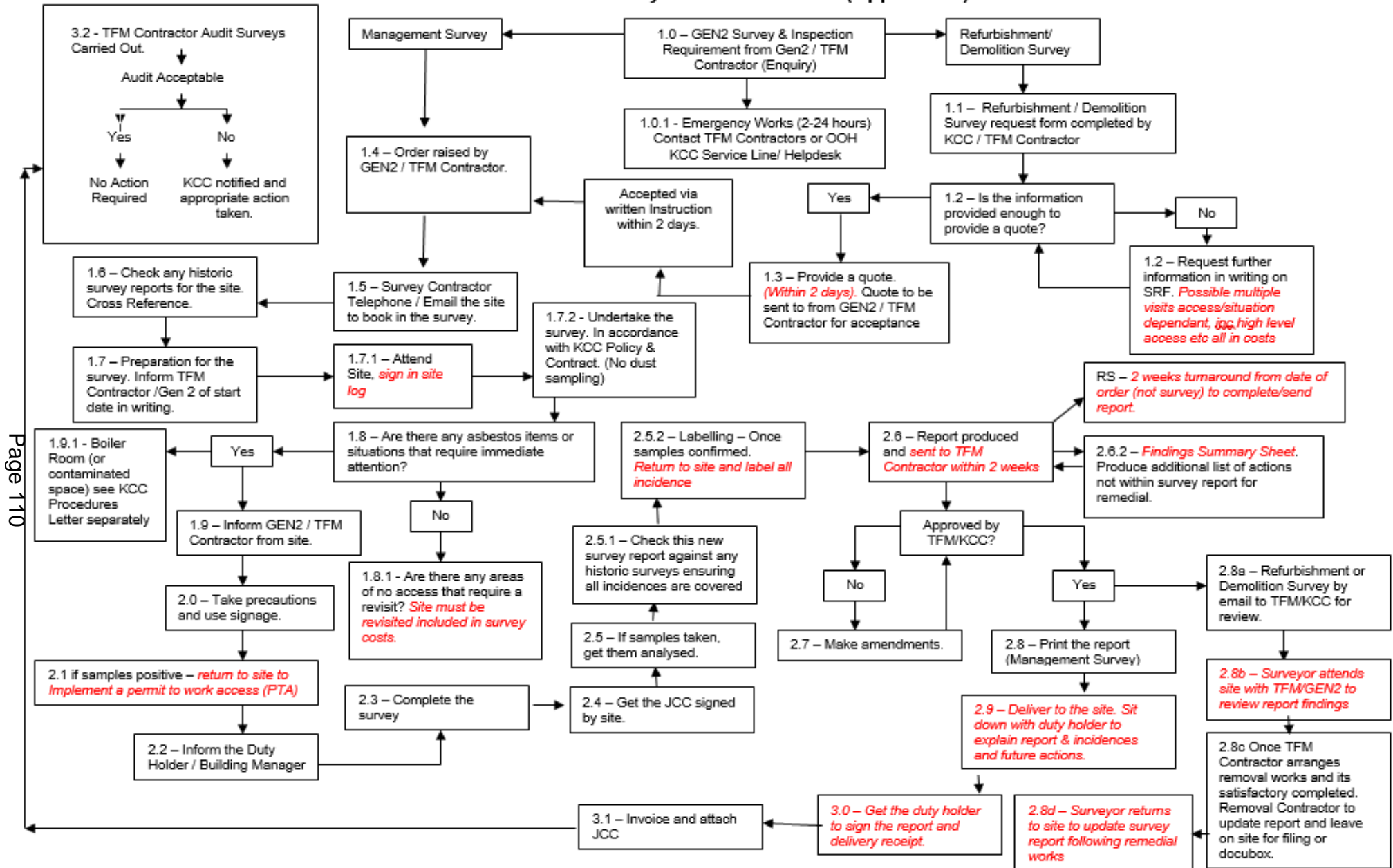
Procedure for Vacant Premises

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:
 - a. All reasonable precautions are undertaken to secure all windows and doors. 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.
 - b. Gas and electricity supplies are to be at least switched off at the meter and preferably disconnected at the nearest practicable point outside the premises. The only exception to this is electrical power supplies serving fire alarms or intruder alarm systems. Utilities suppliers are to be informed that the property is vacant.
 - c. Any Oil tanks on Site should be drained down and made safe.
 - d. 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 15 / 16°C at all times.
 - e. The Building shall have all valuable portable items removed as directed by KCC and shall be cleared of all other loose combustible materials, chemicals or other residue. All waste, rubbish, furniture and other redundant items should also be removed and disposed of.
 - f. All incidents of damage shall be reported immediately in accordance with KCC policy to GEN² Regional FM manager.
 - g. The Contractor shall notify the local police that the Building is vacant.
 - h. If any part of the property remains in use, fire extinguishers shall remain in place and be inspected and maintained at appropriate intervals to ensure that they are functional at all times.
 - i. Loose rocks, bricks or other debris adjacent to the Building that can be used as missiles should be removed from the Site.
 - j. Boundary fences, walls and gates shall be inspected and maintained or repaired, as necessary to maintain the integrity of the secure boundary at all times.
 - k. Intruder alarms shall be kept in working condition and operational at all times.

- l. An assessment of the adequacy of external lighting to the property for security purposes shall be undertaken and a report of any recommended improvements submitted to KCC for consideration.
- m. All security personnel shall receive suitable training and be conversant with procedures to be followed in the event of an incident at a vacant property.
- n. A copy of the Asbestos register to be located and the location of said register to be recorded by the Agent/Contractor. 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.
- o. *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.*
- p. If no register is present, Identify materials in the building that might contain asbestos and confirm via a survey.
- q. Record the findings on a separate register.
- r. Prioritise and action accordingly regarding what has been found.
- s. Communicate its location.
- t. Ensure that records are maintained and updated

KCC Survey Flow Chart 2015 – (Appendix 1)



Page 110

Total time taken for survey to be commissioned and delivered is to be no longer than 4 weeks. If any resultant works are required then an additional 2 weeks are to be added so that the works can be completed. This will make the total time no longer than 8 weeks.

Item	Title	Description	Template Name	Template Location
1.0	Survey Enquiry	Survey enquiries are sent across from KCC or TFM Contractor (Amey, Skanska or Kier) via Kent email (kent@???????.com). Management, Refurbishment and Demolition Survey enquiries are all sent to above mailbox. Management Survey requests are accompanied by a GEA in order to provide contract schedule of rates cost. Refurbishment/Demolition Survey requests sent with Survey Request Form detailing scope of survey required.		
1.0.1	Emergency	Emergency Works within 2-24 hours contact TFM Contractor.		
1.1	Survey Request	A Refurbishment / Demolition survey request form is filled out by KCC / TFM Contractor. Telling us the scope of the survey and whether or not they have plans to provide for the surveyor and any other comments they may have regarding the site.		
1.2	Information	If the information within the survey request form is not enough, Surveying contractor to request further information to be able to provide a quote for the survey. Make sure thorough, multiple visits, opening up and specialist access equipment, all included in costs.		
1.3	Quotation	Management Surveys provided based on not to exceed framework rates. Refurbishment/Demolition Surveys are to be quoted on a budget basis and not to exceed framework rates, based on the information provided by KCC/TFM Contractor as mentioned above.	Survey Request Form	
1.4	Purchase Order	Official orders are placed by KCC/TFM Contractor upon approval of costs via the Kent email (kent@???????.com).		
1.5	Survey Arrangements	Telephone the site to arrange mutually convenient date and time to undertake the required survey. Confirmed by email following call and week before visit.		

1.6	Historic Survey	<p>Before the start of the survey any historic reports should be looked over to see where any previously identified asbestos is within the site.</p> <p>After the survey has finished before the report is produced it should be checked against the previous report to see if the previously identified asbestos has been identified during the course of the recent survey.</p>		
1.7	Survey Preparation	Any special requirements (access, electrician, plumber, lift engineer) to be arranged prior to survey. Surveyor then attends site to complete survey. Surveyor is to sign site attendance log and asbestos register.		
1.8	ACM Urgent Attention	Any Asbestos Containing Materials requiring urgent attention (i.e. poor condition likely to cause immediate danger to occupants/contractors) should be noted by the surveyor on site, including a mention in the survey report to be provided to the site.		
Page 112 1.9	Notify	KCC/TFM Contractor should immediately be notified in the form of a telephone call of any ACM's during the course of the inspection requiring urgent attention. After the initial telephone call, contractor should inform the relevant person and an email should be sent with suspected findings, including photographs where necessary. Confirmation is then sent to KCC/TFM Contractor following analytical analysis.		
1.9.1	Boiler Room (Or Contaminated Space)	See letter at Appendix 10	KCC Boiler room access	

2.0	Permit To Access	If the room/area in which the ACM was identified needs to be vacated and access restricted it will be necessary for a Permit To Access to be implemented. A PTA should be completed by the surveyor on site, detailing the location of the hazard, all potential asbestos related hazards, necessary requirements such as Air Testing, wearing appropriate RPE and PPE etc. Appropriate signage Blue PTA signage should be applied to the door of the room/area. All incidents including signage should be photographed and sent to KCC/TFM Contractor immediately.	Permit to Access Sign Permit to Access Form	
2.1	Permit To Access Signature	Local Nominated person is required to sign the Permit To Access completed by the surveyor on site to ensure they are fully aware of the situation, and acknowledge the fact that the room/area has been deemed 'Restricted Access'. Copies of the Permit To Access should be made when on site prior to Local Nominated person Signature for future access, main copy of PTA to be retained by surveyor and returned to office.		
2.2	Inform Duty Holder	Local Nominated person to be made aware of the room/area which has implemented Permit To Access system. Once PTA is signed by the Local Nominated person of the site, a copy is to be sent to the TFM Contractor for that particular zone.		
2.3	Survey Completion	Surveyor completes survey in full, ensuring all areas have been inspected and appropriate samples have been obtained and all photographs gathered. Nominated person informed about any ACM's requiring urgent attention. Surveyor is to sign site out of site attendance log.		
2.4	Job Completion Certificate	The JCC (Job Completion Certificate) should be signed by the site prior to commencement of the survey and then again once the survey has been completed. JCC used to confirm survey completion and score the surveyor on performance.		

2.5	Asbestos Samples	Samples obtained from site are collated with the site paperwork and analysed to confirm/refute the presence of Asbestos.		
2.6	Survey Report	Report to be produced and checked to ensure correct format and technical details. The survey report is cross-referenced with any other surveys undertaken to ensure consistency. Survey Reports are to be generated and sent to TFM Contractors within 2 weeks of survey date or date of receiving the official order.		
2.7	Report Amendments	If the survey report has not been approved and requires amendments being made, the amendments are made within 7 days and the report is re-sent to the TFM Contractor for approval.		
2.8	Printing Report (Management Survey Report)	Once the survey report has been approved by Nominated person the survey report is printed, bound and delivered to site.		
2.8a	Refurbishment or Demolition Survey Report	Once TFM Contractor arranges removal works and its satisfactory completed. Removal Contractor to update report and leave on site for filing or docubox.		
2.9	Report Delivery	The Survey Report is delivered to site. The contractor is to give a site specific handover/induction to the report and the contents of the report to the Local Nominated person. Local Nominated person to sign delivery receipt to acknowledge acceptance of the survey report. With regards to the Refurbishment / Demolition Surveys if no asbestos has been removed and its still in situ then the report will need to be placed in docubox.		
3.0	Sign Report	Local Nominated person is to sign the 'Control Page Section' in the Management Survey Report upon receipt to confirm knowledge of Asbestos Containing Materials identified and present within the site.		
3.1	Invoice	The survey is invoiced and sent to the TFM Contractor with attached JCC (Job Completion Certificate)		
3.2	TFM Contractor Audits	Audit to be carried out to check format of report and technical details including risk assessment score/s.		

APPENDIX 10

Access to Restricted Area

To Whom It May Concern:

An Asbestos Management, Refurbishment or Demolition Survey has just been undertaken within your property and Asbestos Residue and/or Debris has been identified within a specific space.

This space has been locked and access has been prohibited until necessary sample analysis and/or asbestos remediation has taken place.

We have placed a No Access Sign on the door of the given space and no entry to any persons is permitted until further notice provided (supplied with this letter) which will be used in the future should the results prove positive for asbestos.

If you require emergency access to the restricted area, please call GEN² on 03000 416195

If the samples prove positive for asbestos, then an Air Test will be arranged and undertaken by an independent UKAS accredited KCC approved contractor. The results for this Air Test will be left on site and are to be kept in the Docubox.

Asbestos Residue - If the item identified is asbestos thermal insulation residue to walls only and not debris to floor/surface's then the space will require a Permit To Access (PTA). This form needs to be completed by all personnel whom require access and is to be signed by the Duty Holder. Then reverse the NO ACCESS sign at the entrance to the space, to show the PTA Required information and keep this sign on the door.

Asbestos Debris - If positive debris has been identified in any given space, to floor or surfaces, regardless of the Air Test results, no one must enter until the necessary asbestos remediation has taken place and the NO ACCESS sign must remain on the door.

Moving forward, then take note of the following Do's/Don't in relation to any access or activity in the space. The list is not exhaustive but gives practical examples;

Do's

- Ensure ANY Contractor/Visitor reads/signs the Asbestos Survey Report.
- Ensure the entrance/door(s) of the given space are kept locked.
- Ensure daily that the Permit to Access Sign or No Access Sign remains on the door at all times.
- Ensure the Permit to Access Form is completed when access is required. (Only when satisfactory air test has been undertaken).
- Ensure the Air Test results (if applicable) are kept in the 'Docubox' and shown to ALL Contractors.

Don'ts

- Don't let anyone into the space other than trained and authorised Asbestos Operatives, Surveyor's or Analysts prior to Air Test and/or remediation has been undertaken.
- Don't retrieve any stored items from the space for any reason'
- Don't store anything further in the space for any reason.

- Don't enter the space without written confirmation that you may enter. Either the PTA is to be completed properly and signed by local KCC nominated person. Or once asbestos remediation works are complete and the Certificate of Re-Occupation and KCC or their consultant informs you in writing you can access the space.

Any necessary asbestos remedial works and management will be tendered by KCC, using their approved framework of licensed asbestos contractors.

These procedures are set out by KCC to ensure the safety of all persons on site, please ensure they are adhered to.

Should you have any concerns or require any further assistance please feel free to contact KCC approved TFM Contractor, GEN² or the current KCC approved asbestos contractor accordingly.

Yours Sincerely,

Compliance Manager for GEN²

APPENDIX 11

Asbestos Risk Classification Scheme

This risk classification scheme is for guidance only and is provided as background information for building managers to help them appreciate how surveyors make their judgments on prioritising risks associated with materials in differing state, in different locations and subject to factors to do with building occupation and use.

CATEGORY	DESCRIPTION:	SCORE :
POSITION	<p>This is divided into four levels with ratings to express the relative risk of asbestos fibres being released into the immediate environment and able to be inhaled. Fibres liberated into the open air attract a score of 0 to account for the dilution factor. Those in internal unoccupied areas that are enclosed are scored as 1.</p> <p>Examples of internal unoccupied areas include lift motor rooms, tank rooms, corridors, landings and common stairways. All internal occupied areas are scored 2.</p> <p>Asbestos as part of a ventilation/heating duct where currents of air pass over the surface increase the chances of fibre being released and therefore are given a higher score.</p>	
CONDITION	<p>Condition is a measure of the physical condition at the time of the survey i.e., cracked, broken or, punctured. Where the potential of fibre release is unlikely then the condition should be scored as good, where the material has some surface damage but has not broken away, the condition should be regarded as fair, and poor where it is damaged with minor breakage. Where significant damage has occurred to the extent that it is broken, shattered or become detached the asbestos is likely to need to be removed and the higher score should promote the correct action in the overall score.</p>	
DAMAGE POTENTIAL	<p>This is the key element of the process and designed to reflect the current concerns with regard to operational maintenance (i.e. frequent removal of a service duct panel), likelihood of accidental damage and the potential damage by vandalism. The score for regular routine maintenance escalates the overall score that gives the highest priority.</p>	
FRIABILITY	<p>This relates to the ability of the material (ignoring its current condition) to release fibres to the surrounding atmosphere. This is a crucial health issue therefore the score reflects the circumstances that ensure appropriate corrective action.</p>	
SURFACE TREATMENT	<p>If asbestos is covered, it poses a less serious risk than if it is not covered at all as the potential for fibre release is reduced. This relates to the effectiveness of the seal over the product. Painted asbestos is effectively sealed (subject to painted coating being in good condition). Asbestos panels covered with paper should be considered as flexible cover to reflect the possible fibre release during removal of the wallpaper in the future.</p>	
MATERIAL	<p>The score relating to the product takes into account the asbestos content and the composition of the binding material. Textured coatings e.g. Artex, cement, board, thermoplastic flooring and vinyl tiles, contain only the traces of asbestos fibre and the binder effectively prevents their release, unless interfered with/damaged.</p>	

<p>SCORE ADJUSTMENT</p>	<p>This scheme provides, in borderline cases, for surveyors to make judgment, considering all the circumstances and where the situation warrants a more appropriate action.</p> <p>It is intended that every ACM within each room or office will be individually scored and recorded on the asbestos survey form. A negative result is also important and must be recorded. This information must also be identified on floor plans.</p> <p>The scheme provides a risk classification only there is no score that will automatically result in some remedial works, however, a score exceeding 18 should usually result in some remedial works to achieve a situation of less than 18. Conversely, there is no 'safe' score that will confer absolute freedom from risks to health.</p>	
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APPENDIX 12

Asbestos Docubox – Table of Contents

Document
Introductory Letter from Director of Property and Infrastructure Support, Business Strategy and Support
A1 – Why have we got a Docubox?
A2 – Who is Who?
A3 – Who is responsible for what? (to be completed by the establishment)
A4 – What is Asbestos/Why is Asbestos dangerous?
A5 – What are the most commonly found types of Asbestos?
A6 – What does the law say about Asbestos?
A7 – How does a survey get produced? KCC Survey Flow Chart
A8 – What do I do when the survey arrives?
A9 – What do I have to do when planning works?
A10 – What are my responsibilities as a contractor? (copies to be given to contractors)
A11 – What needs to be done if Asbestos is suspected of being damaged?
A12 – What do I do if the building suffers fire damage?
A13 – Who am I going to call for help/advice?
Building Diagram (Typical Locations for the most common asbestos containing materials)
<ul style="list-style-type: none">• KCC's Asbestos Management Plan – Policy and Code of Practice for the Management of Asbestos in Buildings.
<ul style="list-style-type: none">• Any additional surveys that are currently relevant.
<ul style="list-style-type: none">• The latest asbestos Management Survey.

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Kent County Council		Survey Request Form
		Page:

To Be Completed By Person Requiring Survey:-

Name:			
Addressee/Name:			
Survey Type:	Management Survey	Refurbishment Survey	Demolition Survey
Site Address:			
Survey Scope:			
Area(s) of Survey			
Annotated Plans Attached	Yes	No	
Blank Plans Attached	Yes	No	
Specialist Requirements (i.e. ladder, lift engineer, scaffolding etc)			
Out of Hours Requirement:	Yes	No	
If yes to above please specify details:			
Report Required by Date: <i>(ASAP Not Sufficient!)</i>			
Any Other Comments:			
Signature		Date	

To Be Completed By Surveying Company:-

Survey Budget Cost:			
Scope Queries:			
Signed		Date	

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APPENDIX 14

Activity / Operation/ Event: Contract Managers & Project Managers and any other personnel visiting construction based sites.					Assessment Date:		
Establishment: Various Properties					Review Date:		
Step 1 Identify the hazards	Step 2 Who might be harmed & how?	Step 3 What are you already doing?	Risk Rating Trivial/ low / medium / high / stop	Step 4 Is anything further needed?	Step 5 Action & Review		
					Action required	Responsible person	Date completed
Falling from height	Project/Contract Managers visiting site & their visitors.	Aim to eliminate where possible need to work at height, including inspections. If working at height necessary always use appropriate access equipment and ensure that it is safe. Train staff to recognise if it is safe. Always consider measures that protect all those at risk, i.e. collective protection measures (scaffolds, nets, soft landing systems) before measures that only protect the individual, i.e. personal protection measures (a harness)	Low				
Being hit by falling debris	Project/Contract Managers visiting site & their visitors.	Where appropriate PPE (hard hat). Ensure all hats are within date and worn correctly. Avoid walking below anyone working overhead.	Low				

Becoming trapped	Project/Contract Managers visiting site & their visitors.	Do not enter switch rooms and plant rooms alone. Always carry the keys with you and do not leave them in the door.	Low				
Slips and trips	Project/Contract Managers visiting site & their visitors.	Look out for trip hazards, such as uneven floors or trailing cables, and encourage good housekeeping by your workers. Where safety shoes when on site (PPE) ensure spec of shoes is suitable for their use and application. Do not enter poorly lit areas without equipment.	Low				
Electrocution	Project/Contract Managers visiting site & their visitors.	Do not enter switch rooms and plant rooms alone. Do not remove covers to electrical equipment or touch any wiring which appears suspect. Report any potentially dangerous installations as emergency via service desk and also report to site and cordon off areas.	Low				
Burns and scalds (engineering)	Project/Contract Managers visiting site & their visitors.	Do not open valves unless equipment is isolated and rained down. Do not touch any metal equipment near heating equipment in case heat has been conducted.	Low				
Being hit by moving plant on site	Project/Contract Managers visiting site & their visitors.	Always make yourself known to site before visiting (i.e. report to foreman/site office). Observe designated pedestrian routes, or areas which have been tapped off.	Low				

Chemical spillages	Project/Contract Managers visiting site & their visitors.	Avoid any physical contact with unknown substances. Refer to COSHE regulations. Ensure spillage has been reported via the service desk and to site staff.	Low				
Asbestos	Project/Contract Managers visiting site & their visitors.	Check asbestos register before entering sites particularly unoccupied areas such as boiler rooms, loft voids etc. If there no mention of inspection ask for a refurbishment survey before entering to ensure area is safe to enter. If any risks identified ensure awareness of KCC Asbestos Policy and follow guidance for emergency procedures	Low				
Dust	Project/Contract Managers visiting site & their visitors.	If dusty environments need to be entered during site visit ensure area is either damped down or other mitigation, and dust mask provided suitable to the environment.	Low				
Legionella	Project/Contract Managers visiting site & their visitors.	Be aware of KCC's legionella processes and procedures.	Low				
Groundwork Excavations	Project/Contract Managers visiting site & their visitors.	Do not enter any ground work excavations.	Low				

Manual handling	Project/Contract Managers visiting site & their visitors.	Avoid such tasks as far as possible. However if not possible remove obstructions from the route. For a long lift, plan to rest the load mid-way on a table or bench to change grip. Keep the load close to the waist. The load should be kept close to the body for as long as possible while lifting. Keep the heaviest side of the load next to the body. Adopt a stable position and make sure your feet are apart, with one leg slightly forward to maintain balance.	Low				
Noise	Project/Contract Managers visiting site & their visitors.	Limit time spent in noisy areas. Use ear defenders ensure they are used properly and staff are trained how to use them. Ensure any sounded alarms are still audible i.e. fire alarms.	Low				
Fire	Project/Contract Managers visiting site & their visitors.	Be aware of fire warning systems in each site and ensure this is adhered to during visit. Be familiar with exits and any muster points and ensure you are signed in as a visitor.	Low				
Violence and Verbal threats	Project/Contract Managers visiting site & their visitors.	Refer to KCC's policies and procedures around this and if any threats experienced inform nearest available senior officer or manager immediately.	Low				

Isolated Locations	Project/Contract Managers visiting site & their visitors.	Refer to KCC lone working policy and adhere. Execute a safe plan of travel, ensure outlook diary is correctly updated showing time of arrival and departure. Ensure there is a suitable system in place to check out.	Low				
Accidents	Project/Contract Managers visiting site & their visitors.	Refer to KCC policies and procedures, ensure accident book on site is filled out and when back in office. Ensure RIDDOR is completed by H&S if appropriate.	Low				
Unsafe practices witnessed on site	Project/Contract Managers visiting site & their visitors.	Inform nearest available person in charge if this is happening by site staff. If contractor/consultant staff again inform senior officer in charge and notify contract manager or project manager at KCC who should formally escalate via contract procedures.	Low				

Welfare	Project/Contract Managers visiting site & their visitors.	Principal contractor will have facilities on site by the time bricklaying starts, including: flushing toilet hot and cold running water, soap, towels and full-size washbasins; heated canteen with kettle etc; first-aid equipment; principal contractor will arrange clearing and ensure the necessary electrical and heating safety checks are made; and site agent is appointed person for first aid	Low				
Contaminated Soil	Project/Contract Managers visiting site & their visitors.	Ensure that all necessary footwear or other PPE provided and that staff are trained to use. Ensure staff have available boot cleaning facilities so as not to take contaminated boots to other areas.	Low				

Assessor Name(s):	Job Title:
Signature:	Review Date:

Step 1 What are the hazards?	Step 2 Who might be harmed and how?	Step 3 What are you already doing?	Risk rating	Step 4 Is anything further needed?	Step 5 Action & Review
Spot hazards by: <ul style="list-style-type: none"> ▪ walking around your workplace ▪ asking those doing the task what they think ▪ checking manufacturers' instructions ▪ considering health hazards 	Identify groups of people, consider: <ul style="list-style-type: none"> ▪ employees ▪ temporary / agency staff ▪ contractors ▪ volunteers ▪ members of the public ▪ children (including work experience) ▪ lone workers ▪ pupils ▪ service users 	List what is already in place to reduce the likelihood of harm or make any harm less serious, examples include: <ul style="list-style-type: none"> ▪ guarding ▪ training ▪ procedures, safe systems of work ▪ personal protective equipment (PPE) 	Trivial, low, medium, high or stop (please see matrix below)	You need to make sure that you have reduced risks 'so far as is reasonably practicable'. An easy way of doing this is to compare what you are already doing with good practice. If there is a difference, list what needs to be done.	Remember to prioritise. Deal with those hazards that are high-risk and have serious consequences first. List: <ul style="list-style-type: none"> ▪ actions required ▪ who needs to do them ▪ by when ▪ Check actions completed

Risk rating

	Slightly harmful	Harmful	Extremely harmful
Highly unlikely	Trivial risk	Low risk	Medium risk
Unlikely	Low risk	Medium risk	High risk
Likely	Medium risk	High risk	STOP

Risk level	Action and Timescale
Trivial	No action required and no documentary record needs to be kept.
Low	No additional physical control measures are required, however monitoring is necessary to ensure that the controls are maintained.
Medium	Efforts should be made to reduce the risk and the reduction measures should be implemented within a defined period. Where the medium risk is associated with extremely harmful consequences, further assessment may be necessary to establish more precisely the likelihood of harm as a basis for determining the need for improved control measures.
High	Work should not be started until the risk has been reduced to an acceptable level. Considerable resources may be allocated to reduce the risk. Where the risk involves work in progress, urgent action should be taken.
Stop	Work should not be started or continued until the risk has been reduced to an acceptable level. If it is not possible to reduce risk even with unlimited resources, work has to remain prohibited.

**Kent County Council
Equality Analysis/ Impact Assessment (EqIA)**

Directorate/ Service: Infrastructure

Name of decision, policy, procedure, project or service:
Asbestos Management Policy

Responsible Owner/ Senior Officer: Rebecca Spore

Version: 1 – First EIA

Author: Mark Duggan (Gen2 Property Ltd)

Pathway of Equality Analysis: CMT/DMT – review by Rebecca Spore

Summary and recommendations of equality analysis/impact assessment.

- **Context**

KCC have in place an Asbestos Management policy which determines the manner in which asbestos containing materials will be treated, managed and or dealt with within KCC buildings. In effect this is an operational management policy which is specifically designed to minimise or eliminate the potential Health & Safety impacts arising from the presence of asbestos within the fabric of KCC's buildings.

- **Aims and Objectives**

To determine whether the revised policy would have an impact on any member of staff, the public or contractors workforce, which unfairly discriminates or disadvantages them in the context of the equalities act.

- **Summary of equality impact**

The Asbestos policy has no day-to-day impact on any user of a building other than protect them from the potential harmful effects of asbestos. It primarily sets out a framework (Process and procedure) against which contractors must conduct their activities, in order to eliminate exposure (usually arising from the disturbance of Asbestos containing materials already present). Adherence to the policy provides the same level of protection for all building users and no impacts have been identified that would adversely affect one group more than any other.

Adverse Equality Impact Rating **Low**

Attestation

I have read and paid due regard to the Equality Analysis/Impact Assessment concerning the KCC Asbestos policy. I agree with risk rating and the actions to mitigate any adverse impact(s) that has /have been identified.

Head of Service

Signed:

Name:

Job Title:

Date:

Updated 02/05/2018

DMT Member

Signed:

Name:

Job Title:

Date:

Part 1 Screening

Could this policy, procedure, project or service, or any proposed changes to it, affect any Protected Group (listed below) less favourably (negatively) than others in Kent?

Could this policy, procedure, project or service promote equal opportunities for this group?

Protected Group	Please provide a brief commentary on your findings. Fuller analysis should be undertaken in Part 2.			
	High negative impact EqIA	Medium negative impact Screen	Low negative impact Evidence	High/Medium/Low Positive Impact Evidence
Age	None	None	None	None
Disability	None	None	None	None
Gender	None	None	None	None
Gender identity/ Transgender	None	None	None	None
Race	None	None	None	None
Religion and Belief	None	None	None	None
Sexual Orientation	None	None	None	None
Pregnancy and Maternity	None	None	None	None
Marriage and Civil Partnerships	None	None	None	None
Carer's Responsibilities	None	None	None	None

Part 2

Equality Analysis /Impact Assessment

Protected groups

No impacts identified

Information and Data used to carry out your assessment

Review of existing Asbestos policy and reference to standard procedures.

Who have you involved consulted and engaged?

Akua Agyepong|Corporate Lead for Equality & Diversity

GEN2 Compliance and H&S managers

TFM Contract managers

Analysis

The operation of this policy has no material effect on building users and is a set of parameters and procedures that (if adhered to) protect all users of KCC buildings from the harmful effects of asbestos equally. The policy is applied at premises level and no person specific impacts have been identified, that would affect particular groups more than others.

Adverse Impact,

None

Positive Impact:

None

JUDGEMENT

No major change - No impacts identified

Internal Action Required NO

There is little or no identified potential for adverse impact on particular groups and no further action is required.

Equality Impact Analysis/Assessment Action Plan

Protected Characteristic	Issues identified	Action to be taken	Expected outcomes	Owner	Timescale	Cost implications

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Have the actions been included in your business/ service plan?

N/A

Appendix

N/A

Please forward a final signed electronic copy and Word version to the Equality Team by emailing diversityinfo@kent.gov.uk

If the activity will be subject to a Cabinet decision, the EqlA must be submitted to committee services along with the relevant Cabinet report. Your EqlA should also be published. The original signed hard copy and electronic copy should be kept with your team for audit purposes.

Updated 02/05/2018

This document is available in other formats, Please contact
.....@kent.gov.uk or telephone on

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KENT COUNTY COUNCIL – PROPOSED RECORD OF DECISION

<p>DECISION TO BE TAKEN BY:</p> <p>Eric Hotson Cabinet Member for Corporate and Democratic Services</p>
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<p>DECISION NO:</p> <p>18/00025</p>

For publication

<p>Subject: Kent County Council’s Asbestos Policy and Procedures</p> <p>Proposed decision: To consider and agree Kent County Council’s Policy and Procedures for the management of asbestos.</p>

<p>Decision:</p> <p>As Cabinet Member for Corporate and Democratic Services, I agree to the update of the Kent County Council Policy and Procedures for the Management of asbestos.</p>
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<p>Reason(s) for decision:</p> <p>This policy and procedure document clearly outlines how Kent County Council will meet its legal duties for the management of asbestos within its premises.</p>

<p>Cabinet Committee recommendations and other consultation:</p> <p>To be entered after the meeting and considered by the Cabinet Member when taking the decision.</p>

<p>Any alternatives considered:</p> <p>None</p>
--

<p>Any interest declared when the decision was taken and any dispensation granted by the Proper Officer:</p>

.....
signed

.....
date

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

To: Policy and Resources Cabinet Committee, 11 May 2018

Subject: Strategy and Policy Control Framework Bi-Annual Update

Classification: Unrestricted

Past Pathway: CMT (27.06.17), CMM (3.7.17 and 22.08.17), Policy and Resources Cabinet Committee (15.09.17) and CMT (30.01.18)

Future Pathway: CMT – June 2018 (date to be confirmed)

Summary: This report provides Policy & Resources Cabinet Committee with a six-month progress update on the Strategy and Policy Control Framework, including an analysis of the current Strategy and Policy Register. It outlines the improvements in managing the process since September 2017, challenges and the planned next steps for managing the control framework.

Recommendation(s):

Policy and Resources Cabinet Committee is asked to:

- (1) **note** the progress update on the Policy and Strategy Control Framework.
- (2) **agree** to move from a biannual to annual reporting cycle for Policy and Resources Cabinet Committee.

1. INTRODUCTION

- 1.1 In July 2017, CMT and Cabinet Members agreed KCC's new Policy and Strategy Control Framework. The framework sets out clear principles for the management of KCC's strategic documents to ensure policies and strategies remain up to date, fit for purpose and easily accessible. A consistent cross-directorate approach to policy development and a disciplined way of closing and archiving strategic documents supports the effective management and mitigation of risk. A core aim is to reduce the overall volume of strategy and policy, which is still too high.
- 1.2 A key element of the approach is a single register of the authority's strategic documents in scope of the control framework. The register does not include operational policies and procedures for the management of day to day service delivery. The register is available on KNet and brings together for the first time all the authority's strategic documents in one place, with a one-page summary frontsheet of essential information for each strategy and policy.

- 1.3 Since its introduction, the register has been updated as a live record, with new strategic documents added and old versions of documents closed down and archived. The Strategy, Policy, Relationships and Corporate Assurance (SPRCA) division has been tracking the volume of the 'live' register over time and developed a separate record of 'forthcoming' documents.
- 1.4 An initial stock-take of existing documents undertaken last summer led to a proposal to close a number of strategic documents that were out of date, no longer fit for purpose, or that had been replaced by a newer version. This was agreed by CMT and Cabinet Members and the close down list was endorsed by Policy and Resources (P&R) Cabinet Committee in September 2017.
- 1.5 At the September meeting, P&R Cabinet Committee subsequently agreed to receive six monthly updates on the control framework process. This report updates P&R Cabinet Committee on the recent improvements and challenges in managing the control framework. The report summarises the planned next steps and **Appendix A** provides a detailed analysis of the register activity, setting out the latest position as of April 2018.

2. IMPROVEMENT AND SUCCESSES

- 2.1 Since the September 2017 update to P&R Cabinet Committee, positive progress has been made to embed the new process. Notably the KNet register was launched in October 2017 to provide effective corporate oversight and easy access to all the policies and strategies in the live register including to their associated frontsheet and live links to Knet or Kent.gov. The SPRCA division is piloting a new 'SharePoint' site that contains the 'live' register, archived documents and provides the most up to date record of 'forthcoming' strategic documents.
- 2.2 Additionally, the SharePoint site enables access to publication and end dates of all strategic documents, analysis by directorate of live and forthcoming documents, governance and equalities information.
- 2.3 Following P&R Cabinet Committee's agreement to rationalise multiple policies and strategies in September 2017, the SPRCA division has worked closely with relevant policy Accountable Owners to successfully archive 51 out of date policies and strategies and their associated frontsheets.
- 2.4 This has led to a 24% reduction in the number of documents on the live register, which currently stands at 103 strategic documents (down from its initial peak of 136 policies and strategies). All documents that have been closed have been removed from relevant webpages, so only the most current documents are accessible, yet the archived versions are able to be retrieved within KCC if required. This provides a comprehensive record of KCC's policy position over time.

- 2.5 An improvement in corporate oversight of policy and strategy development across the authority has also been achieved. Strong leadership support from CMT has enabled constructive discussions between policy Accountable Owners and the SPRCA division on more effective approaches to developing strategic documents or further rationalisation of policies and strategies (for example in the EODD division, HR and OD documents have been grouped together to support the overarching People Strategy).
- 2.6 Positive relationships with Accountable Owners have been established, with many Accountable Owners now proactively engaging with the SPRCA division when developing new policies and strategies.
- 2.7 To assist robust consideration of equalities in policy and strategy development, a guidance note has been developed for KNet to support staff to fulfil their statutory responsibilities and improve the quality of meaningful equality impact screening when developing a new strategic document.

3. CHALLENGES

- 3.1 The pace and volume of strategy and policy development remains a significant concern and this is set out in detail in **Appendix A** of the report. Whilst a high number of documents have been effectively closed since September 2017, new documents have also been created, published and added to the register. This is compounded by the volume of forthcoming policies and strategies that currently lists 55 potential new documents for publication in 2018/19.
- 3.2 Although some initial progress has been made in reducing the overall number of strategic documents, over time volume has remained significantly high therefore increasing the risk conflicting policy intentions. The development and publication of new documents (which in some cases will involve significant engagement or consultation activity) is resource intensive and this needs careful consideration given KCC's ongoing resource and capacity constraints.
- 3.3 Currently, the majority of forthcoming documents will replace an existing policy or strategy on the current live register (80%). New documents are currently in development (20% of the forthcoming list) in addition to the upcoming replacements already planned for 2018/19 and beyond. This shows that although a high number of documents have been recently closed down (which in principle should have reduced the number of documents on the live register), the overall scope of the register is forecast to increase throughout 2018/19.
- 3.4 In many cases, documents are automatically replaced without robust challenge or consideration as to whether the existing document is still relevant and valid. Many documents could simply be maintained with a new action plan or updated without the need to create an entirely new document.

- 3.5 In most cases, refreshed documents are endorsed by the relevant Cabinet Committee, this is normally at the stage when documents are in final draft and require Cabinet Committee final approval before publication. It is suggested that Cabinet Committees could be involved earlier in the process namely when policy Accountable Owners begin the reviewing process to ensure that Members are able explore a range of options, and inform decision making before final approval (e.g. close, refresh an existing document or develop a new document).
- 3.6 Additionally, the new directorate Business Plans have identified new policies and strategies leading to an increase in the number of documents in the forthcoming list.
- 3.7 Meaningful evidence of consideration of equalities when developing new policies and strategies remains an issue and recent discussions with Accountable Owners have highlighted that evidence of equalities analysis screening is often not recorded early enough in the process.
- 3.8 Currently only 48% of forthcoming documents due to be published by the end of June 2018 have recorded evidence of an EqlA screening in place or in progress. Whilst this is an improvement from 35% in January 2018, it is still too low.
- 3.9 The planned updates to modernise KCC's Constitution provide an opportunity to introduce a robust mandate for the control framework in alignment with good practice examples in other local authorities. Formalising the control framework within the Constitution will help promote and communicate the authority's new approach to managing policy and strategy development and ensure staff are aware and clear on their roles and responsibilities, for example through the mandatory consideration of equalities duties when developing new strategic documents.

4. NEXT STEPS

- 4.1 The SPRCA division will continue to manage the live Policy and Strategy Register and provide strategic advice to policy Accountable Owners.
- 4.2 The SPRCA division will also retain responsibility for tracking and updating the forthcoming list of strategic documents, with reports to CMT on progress on a six-monthly basis. In consultation with Accountable Owners, the SPRCA division will as appropriate, close down and archive out of date documents.
- 4.3 The progress achieved since the introduction of the control framework suggests that enhanced oversight of policy and strategy development is expected to continue in the future. P&R Cabinet Committee is asked to agree to receive annual updates on the control framework, to provide oversight of trends and progress over time.

5. RECOMMENDATIONS

5.1 The recommendations are as follows:

Policy and Resources Cabinet Committee is asked to:

- (1) **note** the progress update on the Strategy and Policy Control Framework.
- (2) **agree** to move from a biannual to annual reporting cycle for Policy and Resources Cabinet Committee.

Appendices:

Appendix A: Strategy and Policy Register

Authors:

Ana Rogers, Policy Adviser, Strategy, Policy, Relationships and Corporate Assurance

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Liz Sanderson, Strategic Business Adviser (Corporate), Strategy, Policy, Relationships and Corporate Assurance

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Relevant Director:

David Whittle, Director, Strategy, Policy, Relationships and Corporate Assurance

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Bi-annual Strategy and Policy Framework Report

April 19

May 18

Executive Summary

103 live documents on the Strategy and Policy Register.

24% fewer documents on the Strategy and Policy Register since the framework began.

55 forthcoming strategies and policies.

51 strategies and policies have been closed and archived since the framework began.

48% forthcoming strategic documents (due by Jun 18) have recorded evidence of an EQIA screening in place or in progress.

2 policy evaluations undertaken to inform better policy development.

- The volume of strategy and policy development remains an issue, given capacity and resource constraints.
- 80% of documents are 'automatically' replaced (one closes as another one is added) - when added to the volume of 'new' forthcoming documents this means the overall size of the Strategy and Policy Register will continue to grow not reduce over time.
- Volume is a particular issue in the Strategic and Corporate Services directorate (47% of live documents), however work is being undertaken to further rationalise – for example reviewing 8 information governance policies in light of GDPR.
- Appropriate equalities analysis screening needs to be undertaken at an earlier stage in forthcoming policy development and taken into consideration throughout the drafting process.

ASCH = Adult Social Care and Health directorate
CYPE = Children, Young People and Education directorate
GET = Growth, Environment and Transport directorate
ST = Strategic and Corporate Services directorate

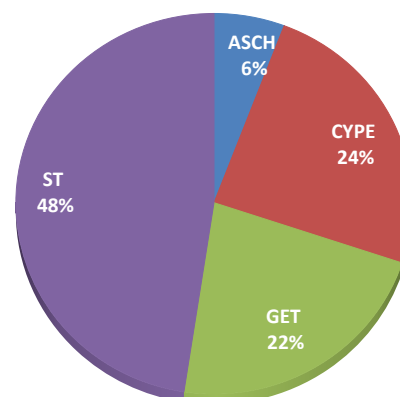
Strategy and Policy Framework Report

Current Position: April 2018

(all data taken 19th April 2018)

% of strategic documents across directorates

- 103** live strategies and policies
- 55** forthcoming strategies and policies
- 6** live documents in ASCH
- 25** live documents in CYPE
- 23** live documents in GET
- 49** live documents in ST



The overall volume of strategy and policy remains high given the resource and capacity constraints within the authority.

Although the volume has reduced by 24% since the framework was introduced (from a peak of 136 documents in September 2017), most documents are still automatically replaced and the level of forthcoming policy means that the overall volume may increase, not reduce, over time. Services are actively engaging in the process and there is now a much better corporate understanding of new and existing strategy and policy across KCC.

There is still more to do to reduce unnecessary and outdated policy and challenge replacement documents if existing ones remain fit for purpose, or the strategy intention can be achieved in a different way (e.g. delivery plan). There are reviews of existing policies planned in key areas such as information governance and the CYPE directorate to continue to tackle the volume issue, as supported by Corporate Management Team in January 2018.

New strategies and policies this month

Policy Number	Name of strategy or policy	Directorate
1	CYPE Vision and Priorities for Improvement (2018-2021)	CYPE
2	Kent Strategy for Vulnerable Learners (2017-2020)	CYPE
3	Kent Flood Risk Management Strategy (2017-2023)	GET
4	Kent and Medway Growth and Infrastructure Framework (2018-2037)	GET
5	Kent County Parks Service Strategy (2018)	GET
6	Pay Policy Statement (2018/19)	ST
7	Partnerships Governance Framework	ST
8	Capital Strategy (2018-2021) – part of the MTFP	ST
9	Revenue Strategy (2018-2021) – part of the MTFP	ST
10	Treasury Strategy (2018-2021) – part of the MTFP	ST

There have been 10 new strategies and policies launched in April 2018. We take the principle that a document is added to the register once it has been published and is accessible online. 80% of these documents replaced an existing document on the register.

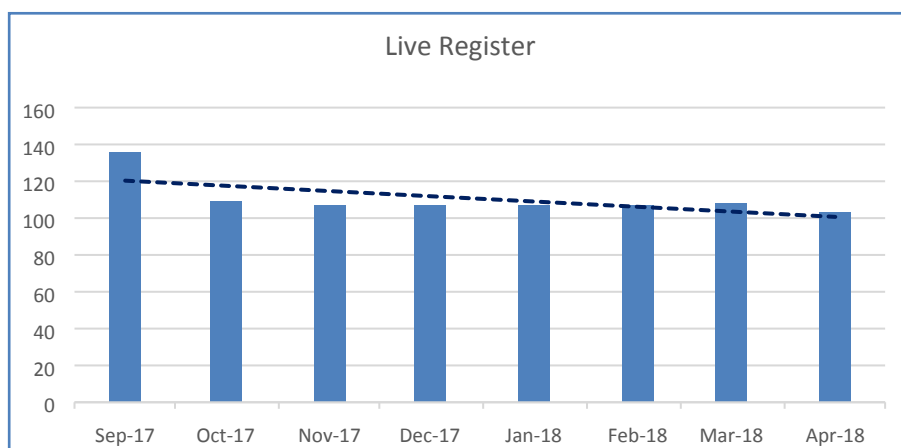
Closed and archived documents this month

Policy Number	Name of strategy or policy	Directorate	Why closed?
1	NEET's Strategy (2015)	CYPE	Out of date, not replaced.
2	EYPS Vision and Priorities for Improvement (2017-2020)	CYPE	Replaced by new version
3	Kent and Medway Growth and Infrastructure Framework (2016-2031)	GET	Replaced by new version
4	Kent County Parks Service Strategy (2014-2017)	GET	Replaced by new version
5	Pay Policy Statement (2017/18)	ST	Replaced by new version
6	Capital Strategy (2017-2020) – part of the MTFP	ST	Replaced by new version
7	Revenue Strategy (2017-2020) – part of the MTFP	ST	Replaced by new version
8	Treasury Strategy (2017-2020) – part of the MTFP	ST	Replaced by new version
9	Organisational Development Strategy and Plan	ST	Removed from Register as these are supporting documents for the People Strategy (2017-2022)
10	Workforce Planning Strategy	ST	
11	Workforce Health and Wellbeing Strategy	ST	

Although most of these documents have been replaced by a new version, it demonstrates that in some parts of the authority there is progress to review which strategic documents are appropriate. Having an overarching strategy with underpinning documents is a principle that other divisions are exploring, which could help to clarify strategic intent and further rationalise the register.

Direction of travel since September 2017 (first report to P&R Cabinet Committee)

Month	Live Register
Sept 17	136
Oct 17	109
Nov 17	107
Dec 17	107
Jan 18	107
Feb 18	107
Mar 18	108
Apr 18	103



Following the initial reduction in volume to rationalise 36 outdated documents by Policy and Resources Cabinet Committee in mid-September, there has been minimal change to the overall volume of live documents on the register. Each month the register is reviewed to ensure it reflects the most appropriate documents - it remains fairly static given the large volume of replacement documents. This year the new business plans have revealed more 'new' forthcoming documents, so the risk is the volume begins to rise again, if this is not actively addressed.

Equalities

Equalities analysis screening needs to be recorded at an early stage in strategy and policy development. Only **48%** of forthcoming documents due to be published by end of June 2018 currently have a recorded EQIA screening in place, or in progress. Whilst this is an improvement from 35% in January 2018, this is still too low. CMT have agreed to provide leadership on this issue to champion robust equalities analysis and staff guidance has been updated on KNet.

Directorate strategy and policy

Adult Social Care and Health (ASCH)

ASCH has continued to maintain a low and manageable volume of strategy and policy. It should be noted that now Public Health is part of the Strategic Commissioning division, that these documents are counted within ST.

- 6** live strategies and policies
- 7** forthcoming strategies and policies
- 5** documents closed and archived since September 2017

Children, Young People and Education (CYPE)

CYPE currently has the second highest volume of strategic documents, with 10 documents within Specialist Children's Services (operational policy, procedures and protocols are not included), some of which support partnership duties and responsibilities (e.g. safeguarding). The Corporate Director Matt Dunkley is establishing a new vision for the directorate and will be reviewing strategy and policy with the CYPE Cabinet Committee later this year.

- 25** live strategies and policies
- 13** forthcoming strategies and policies
- 13** documents closed and archived since September 2017

Growth, Environment and Transport (GET)

GET has a range of statutory documents, including several documents on the formal Policy Framework in the Constitution (e.g. Local Transport Plan, Minerals and Waste Development Plan). It also has a range of partnership documents given the collaborative nature of community and infrastructure service delivery. The variety of service functions within the directorate is reflected in a wide range of service strategies and plans.

- 23** live strategies and policies
- 15** forthcoming strategies and policies
- 10** documents closed and archived since September 2017

Strategic and Corporate Services (ST)

ST has the largest proportion of strategic documents, which reflects the directorate's corporate strategy and internal control responsibilities. The register also includes a number of strategic partnership documents which are managed by the directorate (e.g. Joint Health and Wellbeing Strategy).

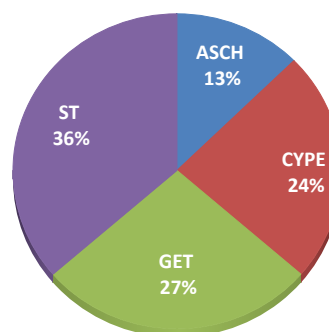
- 49** live strategies and policies
- 20** forthcoming strategies and policies
- 23** documents closed and archived since September 2017

Forthcoming strategy and policy

There are currently 55 new strategy and policy documents in development across KCC that we are aware of. Although some of the intended documents do not come to fruition, the majority of these are due to be launched during 2018/19 financial year, requiring significant resource and capacity across the authority.

- 55** forthcoming strategies and policies
- 7** forthcoming documents in ASCH
- 13** forthcoming documents in CYPE
- 15** forthcoming documents in GET
- 20** forthcoming documents in ST
- 46** forthcoming documents in Sept 17
- 20** documents due to be published by Jun 18

% of forthcoming documents across directorates



Forthcoming strategy and policy documents	Estimated start date	Directorate
Kent Joint Municipal Waste Management Strategy	Mar 18	GET
Post 16 Transport Policy	May 18	CYPE
Kent Community Safety Agreement 2018 (annual refresh)	May 18	GET
Kent Housing Strategy	May 18	GET
KCC Health and Safety Policy Statement (2017)	May 18	ST
Asset Management Strategy (2017-22)	May 18	ST
Information Governance Policy (2016)	May 18	ST
Data Protection Policy (2017)	May 18	ST
Environmental Information Regulations Policy (2017)	May 18	ST
Freedom of Information Policy (2017)	May 18	ST
Information Security Policy (2016)	May 18	ST
Information Sharing Policy (2016)	May 18	ST
Protective Marking Policy (2016)	May 18	ST
Records Management Policy (2016)	May 18	ST
Sensory Strategy, 2016-2019	Jun 18	ASCH
Kent Adult Carers Strategy	Jun 18	ASCH
Kent Gangs Strategy	Jun 18	CYPE
Kent's Looked After Children and Care Leaver's Strategy	Jun 18	CYPE
Adult Learning, Skills and Employment Strategy (2015-2018)	Jun 18	CYPE
Data Quality Policy (2017)	Jun 18	ST
Time to Change Action Plan/Anti Stigma Campaign	Jun 18	ST
Engagement Strategy	Aug 18	ST
Kent Winter Services Policy, 2018-19	Sep 18	GET
Commissioning Plan for Education Provision in Kent (2019-2023)	Nov 18	CYPE
Enterprise and Productivity Strategy	Dec 18	GET
Kent Social Care Accommodation Strategy 2014	2018/19	ASCH
Your Life Your Wellbeing Refresh	2018/19	ASCH
Digital Strategy	2018/19	ASCH
Locality Partnership	2018/19	ASCH

Voluntary Community and Social Enterprise Sector	2018/19	ASCH
Early Help Strategy 2015-2018	2018/19	CYPE
KCC Safeguarding Policy	2018/19	CYPE
Online Safety Strategy	2018/19	CYPE
Modern Slavery in Kent Strategy	2018/19	CYPE
Child Poverty Strategy	2018/19	CYPE
CYPE Directorate Vision	2018/19	CYPE
Threshold Policy	2018/19	CYPE
Countryside Access and Costal Improvement Plan	2018/19	GET
Low Emissions Strategy	2018/19	GET
Kent Minerals Sites Plan	2018/19	GET
Kent Design Guide	2018/19	GET
Updated guide to developer contributions	2018/19	GET
Commissioning Success	2018/19	ST
Kent Health and Wellbeing Strategy (2018)	2018/19	ST
ICT Strategy	2018/19	ST
Tobacco Control Statement	2018/19	ST
Communications Principles	2018/19	ST
Mind the Gap refresh (strategy)	2018/19	ST
Biodiversity Strategy	2018/19	GET
Coordinated Primary and Secondary Scheme of Admissions (2019)	Jan 19	CYPE
Kent Healthy Weight Strategy 2015-2020	Jan 19	ST
Gypsy and Traveller Unauthorised Encampment Strategy	Feb 19	GET
Libraries, Registration and Archives ambition/strategy	2019	GET
Approach to Highway Asset Management	TBC	GET
New Strategy for KCC's new Lead Local Flood Authority role	TBC	GET

Live Register

There are currently 103 strategy and policy documents on the live register.

No.	Name	Directorate	Start	End/Review
1.	Draft Transforming Health and Social Care in Kent and Medway Sustainability and Transformation Plan	ASCH	Nov 16	N/A
2.	End of Life Care in Kent Strategy (2017)	ASCH	Dec 17	Dec 18
3.	Kent and Medway Transforming Care Partnership Plans	ASCH	Apr 16	Mar 19
4.	Strategy for Adults with Autism in Kent (2016-2021)	ASCH	Aug 17	Jan 22
5.	The Kent and Medway Safeguarding Adults Board Strategic Plan (2015-18)	ASCH	Jun 15	Jun 18
6.	Your Life Your Wellbeing Strategy (2016-2021)	ASCH	Dec 16	Dec 21
7.	16+Transport Policy (2016-17)	CYPE	May 17	May 18
8.	Adult Learning Employment Skills Strategy (2015-2018)	CYPE	Oct 15	Apr 18
9.	Children Centre Strategy (2013-2016)	CYPE	Apr 13	2016
10.	Cultural Competence in Kent (2013)	CYPE	Jan 13	N/A
11.	CYPE Strategic Vision and Priorities for Improvement (2018-2021)	CYPE	Apr 18	2021
12.	Dyslexia Policy (2015)	CYPE	2015	N/A
13.	Early Help and Preventative Services Strategy (2015-2018)	CYPE	2015	2018
14.	Early Years and Childcare Strategy (2016-2019)	CYPE	2016	2018
15.	Elective Home Education Policy (2015)	CYPE	Aug 15	N/A
16.	Every Day Matters KCC version (2013-2016)	CYPE	Apr 13	2016
17.	Kent and Medway CSE Strategy (2016-2018)	CYPE	Oct 16	Oct 18
18.	Kent Children and Young Peoples Framework Working Together to Improve Outcomes (2016-2019)	CYPE	Dec 16	Dec 19
19.	Kent Looked After Children Strategy (2015-2016)	CYPE	Mar 15	Mar 18
20.	Kent Multi-Agency Neglect Strategy (2017)	CYPE	Aug 17	Aug 19
21.	Kent Specialist Children's Services Participation Strategy (2015)	CYPE	Sep 15	N/A
22.	Kent Strategy for School Improvement (2016)	CYPE	Feb 16	N/A
23.	Kent Sufficiency, Placement and Commissioning Strategy (2015-2018)	CYPE	Jun 15	2018
24.	Kent Youth Justice Plan (2015-2016)	CYPE	Annual	Annual
25.	Kent's Pledge to Children in Care	CYPE	2012	N/A
26.	Kent's Strategy for Vulnerable Learners (2017-2020)	CYPE	Mar 18	2020
27.	KSCB Online Safety Policy (2016)	CYPE	Apr 16	Aug 17
28.	14-24 Learning, Employment and Skills Strategy (2017-2020)	CYPE	Sep 17	Sep 20
29.	SCS Workforce Strategy (2014)	CYPE	Jul 14	2017
30.	Social Work Contract (2014)	CYPE	Dec 14	2016
31.	Strategy for Children with Special Educational Needs and Disabilities (2017-2019)	CYPE	Jul 17	Jul 19
32.	Strategic Framework for Sport and Physical Activity (2017-2021)	GET	Jul 17	Jul 21
33.	Better Homes Localism Aspiration and Choice Housing Strategy for Kent and Medway (2011)	GET	2011	2018
34.	Countryside and Coastal Access Improvement Plan (2013-17)	GET	2013	2018

35.	Crime and Disorder Reduction Strategy Community Safety Framework (2012-2015)	GET	2012	2017
36.	Development and Infrastructure Creating Quality Places (2012)	GET	Oct 12	2018
37.	Freight Action Plan for Kent (2017)	GET	Jun 17	Jun 20
38.	Inclusive Mobility Action Plan (2017)	GET	Jan 17	Jan 18
39.	Inspirational Creativity - Our cultural ambition for Kent (2017)	GET	Dec 17	Dec 27
40.	KCC's Environment Policy (2017)	GET	Mar 17	Mar 20
41.	Kent Active Travel Strategy (2017)	GET	Mar 17	Mar 22
42.	Kent and Medway Growth and Infrastructure Framework (2018)	GET	Apr 18	2037
43.	Kent Community Safety Agreement (2014-17)	GET	Apr 17	Apr 18
44.	Kent County Parks Strategy (2018)	GET	Apr 18	N/A
45.	Kent Design Guide (2005)	GET	2005	2018
46.	Kent Environment Strategy (2016)	GET	Mar 16	2020
47.	Kent Joint Municipal Waste Management Strategy (2012-13 to 2020-21)	GET	Dec 12	2021
48.	Kent Local Flood Risk Management Strategy (2013)	GET	May 13	Dec 17
49.	Kent Minerals and Waste Development Framework or Local Plan (2013-2030)	GET	Jul 2016	2030
50.	Kent Winter Service Policy (2017-18)	GET	Sep 17	Sep 18
51.	Local Transport Plan 4 Delivering Growth Without Gridlock (2016-2031)	GET	Jul 17	2031
52.	Rail Action Plan for Kent (2011)	GET	Apr 11	None
53.	Road Casualty Reduction Strategy (2014-2020)	GET	Sep 17	2020
54.	The Kent Waste Disposal Strategy (2017-2035)	GET	Feb 17	2035
55.	Anti Fraud and Corruption Strategy (2016)	ST	Oct 16	N/A
56.	Anti-Bribery Policy (2017)	ST	Jul 17	N/A
57.	Armed Forces Covenant	ST	Sep 11	N/A
58.	Asset Management Strategy (2013-2017)	ST	Jun 13	May 18
59.	Business Continuity Management Policy (2017)	ST	Sep 17	Sep 18
60.	Capital Strategy (2018-21) – part of the MTFP	ST	Apr 18	2021
61.	Commissioning Framework for Kent County Council (2014)	ST	Dec 14	N/A
62.	Customer Feedback Policy (2017)	ST	Sep 17	N/A
63.	Customer Service Policy (2015-2018)	ST	Sep 15	2018
64.	Data Protection Policy (2017)	ST	Jan 17	Jan 18
65.	Data Quality Policy (2013)	ST	Jan 13	Jun 18
66.	Environmental Information Regulations Policy (2017)	ST	Jan 17	Jan 18
67.	Equality & Diversity Strategy and Policy Statement (2016-2020)	ST	Dec 16	Dec 20
68.	Equality & Human Rights Policy and Objectives (2016-2020).docx	ST	Dec 16	Dec 20
69.	Equality Impact Assessments Policy and Guidance (2017-2020)	ST	Jun 17	Jun 20
70.	Freedom of Information Policy (2017)	ST	Jan 17	Jan 18
71.	ICT Acceptable Use Policy (2016)	ST	Aug 16	2019
72.	ICT Strategy (2016-2020)	ST	Nov 16	2020
73.	Increasing Opportunities Improving Outcomes Strategic Statement (2015-2020)	ST	Mar 15	2020
74.	Information Governance Policy (2016)	ST	Apr 16	Jun 18

75.	Information Security Policy (2016)	ST	Apr 16	Jun 18
76.	Information Sharing Policy (2016)	ST	Apr 16	Jun 18
77.	KCC Logo and Visual Identity Guidelines (2018)	ST	Jan 18	Nov 18
78.	Kent Adult Carers Strategy (2009)	ST	Jun 09	Jun 18
79.	Kent Alcohol and Drug Strategy (2017-2022)	ST	Sep 17	Apr 22
80.	Kent and Medway Domestic Abuse Strategy (2016-2020)	ST	Oct 16	Oct 20
81.	Kent and Medway Joint Health and Wellbeing Strategy (2014-2017)	ST	2014	2017
82.	Kent Partners' Compact (2012)	ST	Jan 12	N/A
83.	Kent Social Care Accommodation Strategy (2014)	ST	Jul 14	Apr 18
84.	Kent's Teenage Pregnancy Strategy (2015-2020)	ST	Oct 15	Oct 20
85.	Live it Well Principles (2016)	ST	2016	N/A
86.	Our KCC Working Together Shaping Our Future Staff Engagement Strategy (2016)	ST	2014	Jan 19
87.	Partnership Governance Framework (2018)	ST	Apr 18	Apr 19
88.	Pay Policy Statement (2018-19)	ST	Mar 18	Mar 19
89.	People Strategy (2017-2022)	ST	Jul 17	2022
90.	Protective Marking Policy (2016)	ST	Apr 16	Jun 18
91.	Records Management Policy (2016)	ST	Jan 16	Jun 18
92.	Revenue Strategy (2018-21) – part of the MTFP	ST	Apr 18	2021
93.	Risk Management Policy and Strategy (2018-21)	ST	Jan 18	Dec 18
94.	Social Care, Health and Wellbeing -Community Support Market Position Statement (2016)	ST	Jun 16	N/A
95.	Social Media Guidance (2017)	ST	Apr 17	Apr 18
96.	Spending the Council's Money	ST	2014	N/A
97.	Suicide Prevention Strategy (2015-2020)	ST	Jul 15	Jul 20
98.	The Way Ahead Kent's Emotional Health and Wellbeing Strategy (2015)	ST	May 15	N/A
99.	Towards a Strategic Commissioning Authority (2017) - series of County Council papers	ST	May 14	2020
100.	Treasury Strategy (2018-21) – part of the MTFP	ST	Apr 18	2021
101.	Vision for Kent Community Strategy (2011-22)	ST	Dec 11	2022
102.	Voluntary and Community Sector Policy (2015)	ST	Sep 15	2020
103.	Volunteering Policy (2017)	ST	Mar 17	Mar 20

Strategy and Policy Control Framework

The Strategy and Control Framework has two key elements – a single Register of all strategic documents held on KNet which is accessible to all staff and elected members and a set of 'principles' to manage strategy and policy development in a disciplined way.

The Strategy and Policy Register on KNet makes strategic documents easier to access with a set of 'buttons' for different policy themes. Each document on the register has a clear owner, a web link taking the user straight to the relevant strategy/policy and a frontsheet containing essential information about the document. It also includes links to operational policy pages (e.g. health and safety, specialist children's services).

The SPRCA division is piloting a SharePoint site, which has been developed to hold all relevant information for the control framework in one place. The site includes information on the live register (including equalities and governance information), a comprehensive record of all archived documents (including copies of the old documents and a frontsheet capturing why the document closed and whether it was replaced by a new document) and a list of forthcoming documents. All information can be easily analysed by date or directorate to inform future reporting.

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By: Ben Watts, General Counsel (Senior Information Risk Owner)

To: Policy and Resources Cabinet Committee – 11th May 2018

Subject: **LEGAL UPDATE**

Classification: Unrestricted

Summary: This report provides a legal update regarding the impact on KCC of issues regarding Carillion PLC.

1. On Monday 15 January 2018, the High Court appointed the Official Receiver as liquidator of Carillion Plc, Carillion Services Limited, Carillion Integrated Services Limited, Carillion Construction Limited, Planned Maintenance Engineering Limited and Carillion Services 2006 Limited.
2. Members asked for an update in relation to whether there were any significant legal risks to the council relating to the Carillion group of companies, which is provided through this brief report.
3. In the days following the reports surfacing about the Carillion group of companies, officers from Finance, Infrastructure and the Office of the General Counsel reviewed the deeds held by the council that related to the Carillion group of companies.
4. It was quickly determined that the council does not hold a significant number of deeds relating to Carillion and that the majority held were low value and historic. Accordingly, KCC is in the fortunate position of not facing a significant impact or liability as a result of the compulsory liquidation of the company. Similarly, there has been no material impact on service delivery by the council.
5. The General Counsel and Strategic Commissioner are monitoring a number of the reviews in relation to Carillion to reflect on any learning for the council and will report relevant updates to the committee.
6. Members will be aware that whilst Kent County Council became a commissioning council it has adopted a mixed economy of providers through the involvement of the cross-party Commissioning Advisory Board, Strategic Commissioning Board and relevant Cabinet Committees prior to decisions being taken.
7. Accordingly, whilst the council continues to monitor relevant developments, the nature of our commissioned activity and lack of bulk outsourcing means the current market risks are mitigated.

Recommendations

8. It is recommended that Members **NOTE** the report.

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

Ben Watts (General Counsel)

To: Policy and Resources Cabinet Committee –11 May 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 consider 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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WORK PROGRAMME – 2018/19
Policy and Resources Cabinet Committee

Agenda Items
Friday 29 June 2018
<p><u>Standard Items</u></p> <ul style="list-style-type: none"> • <i>Performance Dashboards - Vincent Godfrey & Richard Fitzgerald</i> • <i>Work Programme</i> • <i>Contract Management update</i> • <i>Hold Co Update</i> • Invicta Law Update (B Watts) (added at agenda setting meeting on 19 December 2017) • Property Asset Management (Rebecca Spore) - separate report for Sessions House • Hackitt Review (may be deferred to Sept) • Commercial Services - Procurements/frameworks'
Thursday 6 September 2018
<p><u>Standard Items</u></p> <ul style="list-style-type: none"> • <i>Performance Dashboards - Vincent Godfrey & Richard Fitzgerald</i> • <i>Work Programme</i> • <i>Contract Management update</i> • <i>Hold Co Update</i> • Corporate Assurance – bi-annual report • Hackitt Review – Requested at May agenda setting • Asset Management – Sessions House (Rebecca Spore) requested at May agenda setting
Tuesday 20 November 2018
<p><u>Standard Items</u></p> <ul style="list-style-type: none"> • <i>Performance Dashboards - Vincent Godfrey & Richard Fitzgerald</i> • <i>Work Programme</i> • <i>Contract Management update</i> • <i>Hold Co Update</i> • 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*
- *Hold Co 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*
- *Hold Co Update*

- Total Facilities Management – Bi-annual report

- Directorate Business Plans (D Whittle)
- Risk Register

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

To: Policy and Resources Cabinet Committee – 11th May 2018

Subject: Contract Management Review Group, 6-month progress review

Classification: **Exempt – not for publication. Paragraph 3 of Schedule 12A of the Local Government Act 1972, as amended, refers**

Summary:

A sub-group of the Budget and Programme Delivery Board chaired by the Cabinet Member for Finance started a programme of contract management reviews in the 2016/17 financial year. The programme of reviews resumed in September 2017 for the 2017/18 financial year.

This report sets out how the programme is conducted, 6-month progress review, some high-level findings and feedback.

Recommendation(s):

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

1. Introduction

1.1 The Policy and Resources Cabinet Committee (PRCC) meeting of September 2016 considered and endorsed next steps to developing the Council's commercial approach through effective contract management practice. Contract management is a key component of the commissioning cycle and enables the effective delivery of our strategic outcomes in line with the County Council's Strategic Statement "Increasing Opportunities, Improving Outcomes". It is arguable that contract management has historically received less attention than other phases of the commissioning cycle such as procurement whilst being equally important.

1.2 A sub-group of the Budget and Programme Delivery Board (BPDB) was subsequently convened and chaired by the Cabinet Member for Finance to undertake a series of contract management reviews. The objective of the sub group is to promulgate better practice that in turn improves value for money and management of risk. Membership of the sub group includes those listed below and recognises the critical role of members in providing oversight and governance around the commissioning cycle.

- Deputy Cabinet Member for Finance
- Deputy Cabinet Member for Strategic Commissioning and Public Health
- Head of Finance, Operations

- Strategic Commissioner
- Director, Strategic Business Development and Intelligence
- Procurement Manager

2 Approach

2.1 The sub group named Contract Management Review Group (CMRG) adopted the National Audit Office (NAO) good practice contract management framework (para 8.1 details) as the reference standard for its reviews. This framework identifies eight key contract management activities as follows.

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

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

2.3 Unlike an audit the review process relies on self-assessment by the contract owner and the CMRG does not itself verify evidence and check source material. Contract owners do though sign to attest that the information provided to the CMRG is accurate and that they are accountable for it. The CMRG would refer a matter to internal audit should the need arise. Within the CMRG meeting the member led group provides a robust level of challenge and questioning to determine where improvements can be made in Contract Management practice.

2.4 Contracts are selected for the review based on the following criteria; value (£), risk, complexity, synergy with Audit reviews, timings (for example when a contract is going to be re-commissioned/extended etc) ensuring a wide selection from the Council's activities are considered.

2.5 Post the review CMRG provides comprehensive feedback which includes suggested improvements and sharing of good practice. The contract manager and appointed

team members are invited to come back for further reviews, the timings for this are contract specific.

3 Progress

- 3.1 The CMRG has so far considered twenty-eight contracts. Contracts have been chosen from across the range of services delivered by the Council.
- 3.2 A progress review was presented at P&RCC on 15th September 2017, which detailed strengths and issues to address in improving the Council's approach to contract management.
- 3.3 In addition to 3.2 the Kent Public Service Network (KPSN) contract was presented at P&RCC on 5th December 2017, the report set out the National Audit Office framework and self-assessment (that is completed for each contract) process and detailed some high-level findings.
- 3.4 The CMRG was asked to provide the detail of upcoming contract reviews planned till December 2018, this was presented on 2nd February 2018
- 3.5 On 16th March 2018 the Agilisys Contract was presented at P&RCC, this detailed the improvements of how the contract is being managed and highlighted the positive and well-established relationship between the commissioning and client teams.

4 Findings

- 4.1 Overall the engagement between the CMRG and the contract managers has been very positive and successful in promulgating good contract management practice. It is not appropriate to make a sweeping generalisation about the standard of contract management in the Council other than to say that it is inconsistent; some contracts were stronger and weaker in areas relative to others.
- 4.2 The positives to come from the contract reviews are several and varied. In one instance for example, a contract, circa £1.1m (8.5%) per annum saving has been achieved further to the review by the sub group*. Another positive is that the majority of contract managers have now attended the two-day contract management training.

** depending on prescribing patterns*

- 4.3 It should be noted that some contract management issues are a legacy from long standing contracts let before the transition to becoming a commissioning authority. Some good work has been done to renegotiate contracts but realistically some of the issues will only be addressed through the next commissioning cycle.
- 4.4 Strengths of the Council's approach to contract management are as follows: -
 - Contract management teams have strong in depth operational knowledge.
 - Application of the Council's governance requirements e.g. contract change control. There is a good level of procedural awareness.
 - Contractual remedies are generally being applied where available
 - There is a good strategic framework of 'Risk' that is embedded and identified in each contract

- Payment mechanisms are regulated, and invoices are processed on time and within the remit of the contract
- Next generation contracts reflect the lessons learned from previous endeavours
- Contracts that have been re-reviewed have seen significant improvements in how they are managed, now contract owners are better informed about standards and expectations of the NAO framework

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

- Contract management teams would find it helpful to seek out comparison with other organisations and sectors more regularly (especially outside of Local Government) to better understand good contract management practice and just what can be achieved.
- Documentation relating to the contract needs to be improved and standardised. The intention is relevant and standardised documentation will be provided to contract managers as part of Strategic Commissioning structure.
- Bespoke forms of contract have been used when well established forms should have been used instead to avoid drafting errors, oversights and ambiguities for example Standard forms of contract also need to be embedded in the organisation, using central government guidance to ensure that consistency is the thread through the council's contracts in the future. This will form part of the new organisation 'Standards Manager' post, reporting to the Strategic Commissioner.
- Governance would be better managed if the level of governance was prescribed at the beginning of the contract, being clear with the governance arrangements at the outset would help with the board effectiveness. It should also be noted that the level of governance may also change during the life of the contract.
- Managing relationships with external partners although improving has some further developments within this arena to ensure that the council's objectives are shared and understood and that all providers are working towards common goals.
- More advanced training is required for contract managers. Basic two-day training has been delivered to 147 people, and one person has completed the full training programme run by the International Association for Contract and Commercial Management (IACCM) as a pilot. A comprehensive training and development offer has been developed for commissioners that includes more advanced contract management training. 15-20 people will undertake Level 4 of the Chartered Institute of Procurement and Supply (CIPS) programme for contract management that will utilise the apprenticeship levy.
- Good practice contract management arrangements to be put in place prior to award and commencement of the contracts. Commissioning policies and procedures are being updated and now include the contract management framework with the requirement that this is adhered to prior to award and commencement of contracts as appropriate. The requirement is to have to contract management guide/handbook completed in place for example.

5 Feedback

5.1 As part of CMRG we have been asking officers and members for feedback to ensure that the process is effective and worthwhile, below is some feedback;

- 'As a new team this helped us to understand the contract and gave us confidence to make changes'

- ‘The process has been beneficial and the support pre-and post the meeting has been very useful for our understanding as a team on the NAO framework and expectations of us as Contract owners’
- ‘The CMRG group has been supportive in the meeting, suggesting ideas and posing questions that has made us think differently about the contract’
- ‘We have re-evaluated the contracts outcomes based on discussions at CMRG and made appropriate changes’
- ‘The whole process of CMRG; from pre-meetings, follow up meetings and feedback has been a positive and challenging experience’

6 Next steps

- 6.1 The programme of contract reviews will continue using the same approach described previously. All contracts that have already been reviewed will be revisited to determine what progress has been made (paragraph 2.5 refers). The CMRG will continue to give formal written feedback to appropriate Corporate Directors and Cabinet Members for them to consider as appropriate
- 6.2 The recent appointment of the Strategic Commissioner and pending implementation of the new commissioning organisation will lead to improvements in commercial leadership and judgement regarding contract management, working in partnership with directorates and providers. An initial focus is on addressing the inconsistency mentioned in paragraph 4.5
- 6.3 On reflection there is further work to enhance how the CMRG continues to add value; with regards to contracts being referred from Budget and Programme Delivery Board (BPDB). In addition, playing a more active role at Commissioning Advisory Board (CAB) and Strategic Commissioning Board (SCB)

7 Recommendation(s):

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

8 Background Documents

- 8.1 National Audit Office good practice contract management framework

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

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