

**ENVIRONMENT, HIGHWAYS AND WASTE POLICY
OVERVIEW AND SCRUTINY COMMITTEE**

Friday, 22nd January, 2010

10.00 am

Darent Room, Sessions House, County Hall, Maidstone

**Would Members please bring their copy of the Draft
Budget and Medium Term Financial Plan circulated on 5
January 2010**





AGENDA

ENVIRONMENT, HIGHWAYS AND WASTE POLICY OVERVIEW AND SCRUTINY COMMITTEE

Friday, 22nd January, 2010, at 10.00 am Ask for Karen Mannering
Darent Room, Sessions House, County Hall, Telephone 01622 694367
Maidstone

Tea/Coffee will be available 15 minutes before the meeting

Membership (12)

Conservative (11): Mr C Hibberd (Chairman), Mr J R Bullock, MBE, Mr N J Collor,
Mr J Cubitt, Mr M J Harrison, Mr J D Kirby, Mr S Manion,
Mr R A Pascoe, Mr W Richardson, Mrs E M Tweed and
Mr M Whiting

Liberal Democrat (1): Mr M Robertson (Vice-Chairman)

UNRESTRICTED ITEMS

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

Item No

Chairman's Opening Remarks

A. COMMITTEE BUSINESS

- A1 Substitutes
- A2 Declaration of interests by Members in items on the Agenda for this meeting
- A3 Minutes of the meeting held on 10 November 2009 (Pages 1 - 6)

B. ITEMS FOR DISCUSSION

- B1 Cabinet Member's and Executive Director's Update (Oral report)
- B2 Financial Monitoring 2009/10 (Pages 7 - 12)
- B3 Budget 2010/11 and Medium Term Financial Plan 2010/13 (Pages 13 - 20)
(Would Members please bring their copy of the draft budget and medium term financial plan circulated on 5 January 2010)
- B4 Environment, Highways and Waste Half Year Business Plan Monitoring 2009/10
(Pages 21 - 26)
- B5 Equalities in Environment, Highways and Waste Annual Report (Pages 27 - 34)

B6 Environment, Highways and Waste Risk Register 2010/11 (Pages 35 - 58)

C. SELECT COMMITTEE UPDATE

C1 Select Committee - update (Pages 59 - 60)

EXEMPT ITEMS

(At the time of preparing the agenda there were no exempt items. During any such items which may arise the meeting is likely NOT to be open to the public)

Peter Sass
Head of Democratic Services and Local Leadership
(01622) 694002

Thursday, 14 January 2010

Please note that any background documents referred to in the accompanying papers maybe inspected by arrangement with the officer responsible for preparing the relevant report.

KENT COUNTY COUNCIL

**ENVIRONMENT, HIGHWAYS AND WASTE POLICY OVERVIEW
AND SCRUTINY COMMITTEE**

MINUTES of a meeting of the Environment, Highways and Waste Policy Overview and Scrutiny Committee held in the Darent Room, Sessions House, County Hall, Maidstone on Tuesday, 10 November 2009.

PRESENT: Mr C Hibberd (Chairman), Mr M Robertson (Vice-Chairman), Mr N J Collor, Mr J Cubitt, Mr M J Harrison, Mr W A Hayton (Substitute for Mr J D Kirby), Mr J F London (Substitute for Mr J R Bullock, MBE), Mr R A Pascoe, Mr W Richardson, Mrs E M Tweed and Mr M Whiting

ALSO PRESENT: Mr D L Brazier and Mr N J D Chard

IN ATTENDANCE: Mr M Austerberry (Executive Director, Environment, Highways and Waste), Mrs C Bruce (Interim Director Kent Highway Services), Dr L Davies (Director, Environment & Waste), Mr R Hallett (Directorate Finance Manager) and Mr G Mee (Director of Integrated Transport Strategy)

Prior to the commencement of the meeting the Chairman referred to –

- (a) the Scrutiny role of the Committee and the need for a structure change to the agenda format which might take some time. Members were requested to submit their views/suggestions to Mr Hibberd and items for the Agenda; and*
- (b) the membership of IMGs. Due to a tight timescale an IMG was established to consider the MTP without prior consideration by the Committee as to its membership. The Chairman assured members that, in future, membership of any IMG required would be discussed at Committee, unless exceptional circumstances dictated that an immediate response was necessary.*

UNRESTRICTED ITEMS

1. Minutes of the meeting held on 15 September 2009
(Item A3)

RESOLVED that the Minutes of the meeting held on 15 September 2009 are correctly recorded and that they be signed by the Chairman.

2. Cabinet Member's Update (Oral report)
(Item B1)

(1) In Mr Chard's absence Mr Austerberry gave a verbal report on the following issues:-

Kent Highway Services

- Winter Service
- Jetpatcher
- Road Schemes

Environment

- Interreg Bid
- Kent Goes wild
- Kent Coast Week
- KCC Flood Risk Management Officer

Integrated Strategy & Planning

- House of Lords South East Transport Summit – 10 November 2009
- SPS Seminar
- Kent International Gateway (road to rail freight interchange at Bearsted)
- County Council Community Development – Recent Permissions
- Kent Minerals & Waste Development Framework

- (2) RESOLVED that the update be noted and a copy circulated to Members of the Committee.

3. Financial Monitoring 2009/10

(Item B2)

(1) A detailed quarterly budget monitoring report was presented to Cabinet, usually in September, December and March, and a draft final outturn report in June. The reports outlined the full financial position for each portfolio and were reported to POSCs after they had been considered by Cabinet. In the intervening months an exception report was made to Cabinet outlining any significant variations from the quarterly report. The first quarter's monitoring report for 2009/10 was submitted for the information of POSC members.

- (2) RESOLVED that the budget variations for the EHW Portfolio for 2009/10 based on the first quarter's monitoring and August exception reports to Cabinet, be noted.

4. Medium Term Financial Plan - Update (To follow)

(Item B3)

(1) The report identified the proposed strategy for determining next year's budget and the financial plans for the following two years. This included the latest indications of pressures likely to be faced by the EHW portfolio, suggested areas for service improvements and the savings that might be needed in order to set a realistic three year budget plan.

- (2) Members were asked to review and comment on the overall strategy; the pressures identified for the EHW portfolio; and to identify their priorities for savings if

each portfolio had to deliver a 10% saving on gross expenditure over the next three years.

(3) In light of the national situation outlined in the report a budget strategy based on the following assumptions was proposed:

- A £9m increase in formula grant for 2010/11 from £267m to £276m. Thereafter estimating a 3% per annum reduction in cash terms.
- A reduction in the growth in the council tax base due to additional households from 0.8% in 2009/10 to 0.5% pa for the period of the next MTP
- As low an increase in council tax as possible.

(4) The current budget for the portfolio under the oversight of this POSC was set out in the report, and provided for the following outcomes, outputs and/or service improvements:

- Highways maintenance
- Public transport
- Road safety
- Traffic management
- Waste disposal
- Environment including public rights of way, country parks and heritage and climate change response
- Strategic planning (including transport planning)
- Planning applications

(5) RESOLVED that an Informal Member Group be established by the Chairman (*see opening remarks*), to identify and express relative priorities for services in EHW, giving broad indications of areas or types of savings and efficiencies that it considered could be realistically achieved.

5. A Strategy for the Implementation of the Biodiversity Duty (*Item B4*)

(1) The paper provided an overview of the NERC Act 2006 Biodiversity Duty and the Kent County Council Strategy developed to implement its requirements. Biodiversity was the diversity, or variety, of plants, animals and other living things in a particular area or region. It encompassed habitat diversity, species diversity and genetic diversity. Biodiversity provided many services fundamental to the quality of life.

(2) In 2006, the Natural Environment and Rural Communities Act (NERC) introduced a new duty on local authorities to have regard to the conservation of biodiversity in exercising their functions. The Biodiversity Duty (Section 40) stated that “Every public body must, in exercising its functions, have regard, so far as is consistent with the proper exercise of those functions, to the purpose of conserving biodiversity”

(3) Kent County Council had already made a commitment to the protection and enhancement of biodiversity through its Corporate Environment Policy 2008. The *Strategy for the Implementation of the Biodiversity Duty* had been prepared to assist

the County Council in realising its obligations under the NERC Act. Details of the targets to be delivered were set out in Appendix 1 to the Strategy.

(4) In the first year of the Strategy, Directorates would be asked to develop action plans to help progress the achievement of the Strategy objectives. 2010/11 Business Plans should include the development of the plans as a target. The Strategy would be reviewed after three years and refreshed in the light of successes, areas for improvement and any new requirements under the Biodiversity Duty.

(5) RESOLVED that Cabinet be recommended to adopt the Strategy, in fulfilment of its duty under the Natural Environment and Rural Communities Act 2006.

6. Draft Kent Environment Strategy - Consultation

(Item B5)

(1) The Kent Partnership's Environment Strategy (KES) was under review. The re-draft had recently been endorsed by the Kent Partnership for wider consultation for a 12 week period ending in January 2010. As part of the consultation process, the views of members were sought on the document.

(2) Kent Partnership's Kent Environment Strategy (KES) was first produced in 2003 to underpin and deliver the Vision for Kent. Time lapse and the changing background environment since then meant that a very different document was now needed.

(3) Kent Partnership endorsed the Draft for consultation on 13 October 2009. This consultation document, set out in the Appendix to the report, was effectively an early draft of the Strategy, but in order to help stakeholders understand the evidence and rationale behind the proposals, contained much more information than was proposed for the final Strategy document. Consultees would be asked to identify the top priority 9 objectives they wished the Strategy to include.

(4) A streamlined and focussed KES was therefore proposed. The three key themes identified in the consultation had a high degree of fit with the Regional Economic Strategy, the Vision for Kent and the Regeneration Framework, and were:-

Prosperity within our environmental limits – Leading Kent towards consuming less resources more efficiently, eliminating waste and minimising pollution

Rising to the climate change challenge – Working towards a lower carbon Kent which was prepared for, and resilient to, the impacts of climate change

Value from our natural and living environments – Optimising the real economic and social benefits of high environmental quality while protecting and enhancing the unique natural and built character of Kent.

(5) The consultation covered new ground in terms of measurement of cost-benefit and required genuine feedback to shape the final strategy. Subject to the feedback received, formal adoption of the final Strategy by members of the Kent Partnership and the County Council as part of its own Policy Framework would be sought early in 2010.

(6) RESOLVED that:-

- (a) the Draft Kent Environment Strategy be noted; and
- (b) Members submit detailed comments individually to the lead officer as soon as possible.

7. Integrated Transport Strategy - Update (Presentation by Geoff Mee, Director of Integrated Transport Strategy)
(Item B6)

(1) Mr Mee gave a presentation on the Integrated Transport Strategy for Kent. The need for a Strategy for Kent was identified in KCC's framework for regeneration titled *Unlocking Kent's Potential: opportunities and challenges*. Travelling was an essential part of modern lifestyles and good transport connections were vital to support the economy.

(2) Kent was experiencing dramatic change, with high levels of housing and employment planned, both of which would mean more traffic on the transport network and without a dramatically different transport vision and strategy, the growth would result in gridlock. Kent's response was an integrated transport network that promoted and encouraged a wide range of different transport modes. It outlined a range of measures and initiatives which would deliver the integrated transport network but there were five key elements that would need to be in place to ensure success –

- New infrastructure
- Maximising the benefits of high speed 1
- Integrated bus network
- Making public transport travel easier
- Flexible working

(3) The Strategy focussed on a 20 year vision for road, rail, bus, air, sea and sustainable transport systems to support the Regeneration Framework, and consultation would start shortly with a document completed by year end. It would feed into the next round of the Local Transport Plan and created an outline blueprint for local LDFs.

(4) Mr Chard stated that the document was well written and very helpful, addressed all issues of concern. Following debate and various questions from Members, Mr Mee was thanked for a very informative presentation.

(5) RESOLVED that the Strategy, as presented, be circulated for consultation.

8. Forward Plan - Review of Plan issued on 2 November 2009
(Item B7)

(1) The Chairman informed Members that the Forward Plan would be a regular item on the agenda for future meetings. It would provide Members with an

opportunity to review the topics and raise any concerns with the Cabinet Member before a decision is taken.

(2) RESOLVED that the report be noted, and reconsidered at the next POSC meeting together with subsequent reports.

9. Select Committee - update

(Item C1)

(1) At its meeting on 16 October the Policy Overview Co-ordinating Committee (POCC) agreed that the following topics would form part of the work programme for 2009/10:-

- Extended Schools
- Renewable energy – what should Kent's role be?
- Dementia
- Educational attainment of pupils and schools in areas of high deprivation

If resources allowed there might be a short piece of work on Intergenerational interaction, if this was the case then the POSC would be kept informed of progress.

(2) The only Select Committee topic agreed which partly fell within the remit of this POSC was a topic review on Renewable energy – what should Kent's role be? It was anticipated that the Select Committee would start its work in January 2010. Regular update reports would be submitted to the POSC on the progress of the Select Committee.

(3) RESOLVED that the report be noted.

**TO: Environment, Highways and Waste (EHW) Policy
Overview Committee – 22 January 2010**

**BY: Nick Chard, Cabinet Member for EHW
Mike Austerberry, Executive Director of EHW**

SUBJECT: Financial Monitoring 2009/10

Classification: Unrestricted

Summary:

Members of the POSC are asked to note the November budget monitoring exception report for 2009/10 reported to Cabinet on 11 January 2010.

FOR INFORMATION

1. Introduction

- 1.1 This is a regular report to this Committee on the forecast outturn against budget for the EHW portfolio.

2. Background

- 2.1 A detailed quarterly budget monitoring report is presented to Cabinet, usually in September, December and March, and a draft final outturn report in June. These reports outline the full financial position for each portfolio and are reported to POSCs after they have been considered by Cabinet. In the intervening months an exception report is made to Cabinet outlining any significant variations from the quarterly report. The November exception monitoring report for 2009/10 is attached.

3. Revenue

- 3.1 The overall position for the EHW Directorate reported to Cabinet on 11 January was a small underspend of £0.219m. The major elements of this predicted outturn are a significant underspend on Waste offset by additional spending required on Highways.

- 3.2 Since the attached exception report was written, there has been a prolonged period of adverse weather. The total costs of this are being calculated at the moment and will be reported to cabinet in due course. The predicted underspend as reported in 3.1 above will be needed to offset the costs of dealing with this emergency weather response. There will also need to be a draw down from the Emergency Conditions Reserve.
- 3.3 As a result of the snow and ice, there will be some road surface issues that will need urgent attention. The portfolio had set aside some of its budget to deal with these defects and also Cabinet agreed at the meeting on 11 January to redirect at least £1m to address the pothole damage.

4. Capital

- 4.1 There are no significant variances to report on the capital budget.

5 Recommendations

- 5.1 Members of the POSC are asked to note the budget variations for the EHW Portfolio for 2009/10 based on the November exception report to Cabinet.

Richard Hallett
Head of Finance and Resources
01622 69 4035

ENVIRONMENT, HIGHWAYS & WASTE DIRECTORATE NOVEMBER 2009-10 EXCEPTION REPORT

REVENUE

The underspend on this portfolio has reduced by £0.133m to £0.291m this month, however within this movement there are compensating larger movements:

Within Kent Highway Services:

- +£0.573m relating to the set up costs of the Permit Scheme from the Traffic Management Act. Kent County Council received approval from the Secretary of State for Transport to introduce a Permit Scheme into Kent in July 2009. We are now preparing for the introduction of a scheme and expect to have this in place by early 2010. These set up costs are declared as an overspend but will be rolled forward to be offset by future income (once the implementation of the scheme is formally approved by the Cabinet Member for EH&W).
- +£0.567m – the portfolio had significant savings targets on energy costs in this financial year (£1.25m). We expect to fall about £0.567m short of this target in this year. Streetlight energy is largely unmetered and the anticipated saving was to come from renegotiating our consumption levels. This has not been possible at this stage due to the time taken to finalise the inventory of street lights and delays with implementing the array, which has been constructed to give a more accurate picture of our actual consumption.
- -£0.460m – we have previously been reporting an overspend on the signs and lines budget of £0.850m (funded from Waste underspend), but this project will now not be completed by the end of the financial year as the project has re-phased due to weather conditions. This underspend will be required to roll forward to 2010-11 in order to complete this re-phased project.
- +£0.121m pressure on the transport budget. This is on the Freedom Pass, which completed its roll out in June. Now that the project is operating Countywide we have a better understanding of the number of journeys each child is undertaking. Whilst the take-up of passes is very close to estimates, the number of passenger journeys is above original estimates. This is positive in terms of the popularity and use of the pass, but is causing a budget pressure. This variance may change over the coming months as pass take-up and usage settles down.

These variances are largely offset by further underspending on Waste. Tonnage continues to remain at its reduced level and it is likely that the outturn tonnage will reduce by a further 10,200 tonnes on top of the 40,000 tonne reduction already declared in the previous report. This will give a further underspend of £0.668m.

Within the £0.291m current forecast underspend, a net £0.072m will be required to roll forward in order to complete re-phased committed projects and to offset against future permit scheme income. (*-£0.460m signs & lines project; -£0.120m land use survey and -£0.065m external funding for land use survey, both reported in the last report; and +£0.573m permit scheme*). This leaves the portfolio with a real net underspend of £0.219m for which there are no detailed plans, but the recent spell of bad weather will increase the pressure on the highway maintenance budget and this underspend may be needed to assist with this. Alternatively, if we do not get any further bad weather for the rest of the financial year, we could make a further contribution to the Planning Inquiries reserve set up at the end of last year to meet the costs of current and future planning inquiries, including the ongoing costs of the KIG inquiry. We will have a better indication of whether this further contribution is necessary, or even possible depending on highway maintenance pressures, nearer the end of the financial year when we will be more aware of upcoming inquiries and their likely costs.

CAPITAL

The forecast for the portfolio has moved by -£0.345m in 2009/10 since the last month.

The main movements are detailed below:

- Old Residual schemes (-£0.33m): This total underspend includes various completed schemes that had some outstanding creditor provisions which are now being settled either for a lesser amount, or they are no longer required. The reversal of these creditor provisions has given additional funding which is now earmarked to fund Salt Storage infrastructure and Works Asset Management system enhancements as part of Reshaping KHS Accommodation.
- Salt Storage Infrastructure (+£0.175m): This was part of a spend to save programme which was approved by the County Council in the 2007/08 budget process. During this financial year, it is now estimated £0.175m is needed to purchase the remaining five salt spreading vehicles to complete the original programme.

- Deal Waste (+£0.1m): An opportunity has arisen to purchase a plot adjacent to the existing Deal Household Waste site. The existing site is constrained by limited parking spaces. Also, the site is congested at peak traffic periods and unable to provide full recycling facilities due to the limited space for further storage containers. The site expansion will help to overcome these constraints. A report is being prepared to seek Member approval. The purchase of the plot will be funded from the residual waste grant allocation.

Projects subject to re-phasing affecting 2009/10 are:

- Non TSG Land (-£0.15m): Part 1 claims expenditure and land settlements are being reviewed by Mouchel and some are likely to rephase into the next financial year.
- Safety Camera Partnership (-£0.124m): The programme is to rephase as surfacing and lining works can only be carried out at a time when the weather and road conditions are appropriate, which will now be in the spring/summer months of 2010.

Overall this leaves a residual balance of -£0.016m on a number of more minor projects.

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To: Environment, Highways and Waste (EHW) Policy Overview and Scrutiny Committee – 22nd January 2010

By: Nick Chard, Cabinet Member and Mike Austerberry, Executive Director

Subject: Budget 2010/11 and Medium Term Financial Plan 2010/13

Classification: Unrestricted

Summary: The purpose of this report is to consult the Committee on the budget proposals for the EHW Directorate, with reference to the KCC published budget consultation paper issued on 5th January 2010. The report also provides a response to the issues raised at the IMG of this Committee, created in November 2009 to discuss detailed budget issues.

Members are invited to comment on the key issues on the proposed budget changes for the services provided by the EHW Directorate, and to note the issues raised by the IMG, and the resulting responses.

1. Introduction

- 1.1 The Autumn Budget Statement report by the Leader, Cabinet Member for Finance, Chief Executive and Director of Finance to Cabinet on 12th October 2009 identified that we are likely to be entering more uncertain times for local government finance. The report to Cabinet on 11th January 2010 set out the provisional Local Government Finance Settlement, which confirmed that the level of Formula Grant was as announced in the three year settlement. However, there are still uncertainties over some specific grants and the level of council tax capping, and the announcement on 25th November that the Government intends to fund some of the free “Personal Care at Home” from local government efficiencies was a surprise. Furthermore, the next Comprehensive Spending Review which was due to start in the summer has been delayed until after the forthcoming general election.
- 1.2 We reported the national and local context to the last Policy Overview & Scrutiny Committee meeting and outlined the proposed MTP priorities and efficiency savings. The Committee discussed the policy issues from that report, and used an IMG to look at the budget details. The IMG met on 12th November and offered an opinion on the relative priorities of each area of spend. This report provides a response to the issues raised.

- 1.3 Since the November meetings, there have been a number of further developments that have resulted in the budget proposals being presented for consultation. Members are invited to comment on the key issues for the services provided by the EHW Directorate, in order that these can be taken into account at the budget meetings of Cabinet on 1st February 2010 and County Council on 18th February 2010.
- 1.4 Members are asked to read this report in conjunction with the draft Medium Term Plan and Budget Book, issued on 5th January 2010.

2. Background

- 2.1 The budget consultation papers include an overall summary of the proposed Portfolio budgets for 2010/11, showing the amounts proposed for each service within the portfolios. This identifies the gross expenditure, income and net expenditure.
- 2.2 The papers also include the proposed capital investment programme and the medium term revenue and capital plan for 2010/11 to 2012/13. All MTP entries and budget book pages are presented in as a consistent format as possible for each Portfolio.
- 2.3 Copies of the draft Budget Book and Medium Term Plan have been distributed to all Members (on the 5th January). You are asked to ensure you bring those to this meeting.
- 2.4 The MTP and Budget Book reflect the new portfolio responsibilities following the County Council elections in June.

3. Revenue Budget

- 3.1 The overall direction for the EHW directorate is now well established, and the current Medium Term Service Priorities are included in Appendix B of the draft MTP.
- 3.2 We are setting this budget in a period of great economic instability. The recession has hit deeper and lasted longer than earlier forecasts and inflation (as measured by Retail Prices Index) has been negative all year. The Bank of England Monetary Policy Committee is committed to achieving the 2% target for Consumer Price Index over the medium term. The continuing economic situation presents us with threats and opportunities which as well as offering the potential for savings also presents additional costs.

3.3 Areas of spending priority across this medium term plan for which significant additional funding is required are to meet the price pressures (mainly fuel and the cost of oil based materials) and the legislative pressure of the landfill tax escalator. There are the financing costs of the recent investment in highways capital maintenance and also an extension to the Freedom Pass so that it will now cover all children who live in Kent even if they go to school in another Authority. There is also additional funding for the Urban Traffic Management Centres to maintain and improve the investment to reduce congestion in our town centres.

3.4 The position on budget increases can be summarised as follows:

Table 1 - summary of value of base budget adjustments and budget pressures

	2010/11	2011/12	2012/13
	£'000	£'000	£'000
Base adjustments	-334	-695	0
Budget increased for:			
Prices	2,724	3,441	4,029
Legislative	1,947	1,763	1,802
Demand	-1,343	0	0
Service Improvements	853	456	50
Total pressures and base adjustments	4,181	5,660	5,881

3.5 Provisional cash limits for each Portfolio have been set. To balance to these cash limits, given the pressures outlined above, we will need to deliver savings, efficiencies and new income streams. The three-year financial plans, shown in Appendix A of the MTP, detail the proposed savings required in 2010/11. The major items are explained in the following paragraphs.

3.6 Savings and Income generation

3.6.1 The total of the proposed savings and income generation required in order to meet the indicative cash limit for 2010/11 is £3.2m.

3.6.2 The majority of these savings will come from improvements in highways procurement (£2.4m).

3.6.3 There will also be staffing efficiencies in Highways (£0.6m), Resources (£0.3m) and Planning (£0.1m) through delaying and streamlining processes.

- 3.6.4 There will be over £1m savings in Waste from an expected permanent reduction in disposal tonnage brought about by behaviour awareness campaigns (£0.8m) and the ending of the 2010 target for the Clean Kent campaign (£0.25m).
- 3.6.5 These gross savings are offset by the reversal of the capital/revenue swap on support for socially necessary but uneconomic bus routes (£1.5m).
- 3.6.6 A further £0.04m of net income is to be generated by Country Parks in 2010/11 with additional increases in targets across the following two years.
- 3.6.7 In line with the zero pay award for KCC officers for 2010/11, it is proposed that no inflation is added to highways fees and charges for the new financial year.
- 3.6.8 The proposed net position is therefore as follows:

Table 2; Total proposed base budget for EHW Services

	2010/11	2011/12	2012/13
	£'000	£'000	£'000
Base budget	150,681	151,261	152,040
Total Pressures and base adjustments (from Table 1)	4,181	5,660	5,881
Savings	-3,227	-4,141	-1,583
Income Generation	-40	-45	-50
Revised base budget	151,261	152,040	156,288

4 The Committee's IMG to discuss budget issues

- 4.1 The IMG met on 22 November and provided their views as to the relative priorities for spending to be considered when setting the draft budget proposals for this Directorate. The list of areas for review, along with our response, is attached at Appendix A.
- 4.2 The POSC IMG process has been useful in shaping the future budget, and Members will see from Appendix A that priority areas of spend have been protected in the budget proposals.

5 Capital Budget

- 5.1 The starting point for the capital programme is the existing published capital programme for 2009/12. This is adjusted for re-phasing of schemes from 2009/10, changes to the total cost or funding of schemes, and new schemes. The detail of the proposed capital programme is provided in the draft budget book on pages 31 and 32.
- 5.2 The major change to the capital programme is a reduction in the programme of modernisation and development of the waste facilities (£4.4m). Schemes where land acquisition has proved difficult or where detailed plans have not yet been established, have been removed from the programme. The other significant element to highlight is that 2010/11 is the second year of the two-year additional investment in highways capital maintenance.
- 5.3 Members should note that the level of financial support from Government in 2011/12 and 2012/13 is not known. It is very likely that we will see a significant reduction in the grants and supported borrowing. Because of the difficulty in predicting this we have presented the budget to show that the level of spend on certain schemes will be equal to the level of Government financial support. These schemes are identified in italic font in the draft budget book.

6. Recommendations

- 6.1 Members are asked to note the proposal **not** to add an inflation increase to highways fees and charges in 2010/11.
- 6.2 Members are asked to note and comment on the revenue and capital budget proposals, and note the issues raised by the IMG, along with the resulting responses.

Background documents:

- Autumn Budget Statement; Cabinet, 12th October 2009
- Medium Term Financial Plan 2010/11 to 2012/13 for the EHW Directorate; EHW POSC, 10 November 2009
- Provisional Local Government Finance Settlement; Cabinet, 11th January 2010
- Draft Budget Book and Medium Term Plan 2010/13 (issued on 5th January 2010)

Officer contact:

Richard Hallett
Head of Finance and Resources, EHW
01622 69 4035

Medium term plan IMG – 12th November 2009

The IMG was held in order to gain a wider Member view on their relative preference for services. Making services as efficient as possible before having to decide where to achieve savings was taken as a given and the meeting therefore concentrated purely on the policy options.

Members were presented with a number of options for each of the main services that EHW provides. These options ranged from retaining the service as is (i.e. the service is a priority) to completely stopping a service (or where there is statutory duty, reducing the service to an absolute minimum). In between these two extremes there were one or two intermediate options for each area of business, selection of which indicated the relative priority that Members placed on each service.

The options were not fully worked up models, but were simply designed to give Members a representation of the likely outcome of each recommendation they made, and to give the relative priority they placed on each service.

The main outcome of the meeting was that the number one priority of those Members attending the IMG was to protect the public transport budgets (support to socially necessary but uneconomic bus routes and the Freedom Pass) and this has been protected in the MTP proposals and indeed enhanced by the expansion of the Freedom Pass.

A perhaps surprising outcome of the meeting was not having highway maintenance as a higher priority. The general consensus was that if savings had to be made, highway maintenance should be considered as a possible area in which to look, by reducing many of the maintenance services to a statutory minimum. The Cabinet Member for EHW does not share this view and will look to protect maintenance budgets in the future (having taken steps to improve efficiency within these budgets as part of the current MTP proposals).

The notes of the IMG meeting are shown below.

EHW POSC: IMG – MTP

Thursday, 12 November 2009

Present – Mr J Cubitt, Mr C Hibberd, Mr S Manion and Mr M Robertson

In attendance – Richard Hallett and Karen Mannering

1. The IMG considered services for Highway Maintenance; Public Transport; Environment & Waste; and Strategic Planning individually.

Members were minded to:-

(a) retain the following services –

Public Transport – Concessionary Fares

E&W – Country Parks

Strategic Planning – Planning and transport policy

(b) suggest the following savings –

Highway Maintenance -

- Minor repairs – reduce service to health and safety repairs only
- Adverse weather – reduce service to absolute minimum response
- Structures – reduce service to health and safety repairs only
- Signs, Lines & Bollards – reduce service to health & safety repairs only
- Network Performance – reduce service to statutory duties only
- Traffic systems – stop all interactive signs and messaging, close traffic management centre and retain traffic light maintenance only (*Mr Robertson requested his dissent be recorded*)

E&W – Public Rights of Way (PROW) – reduce service to health and safety response only

2. The Members divided the remaining services into two Intermediate option categories as follows –

(a) Intermediate option 1 –

- Member and parish liaison and customer focus
- NOMU (general maintenance gangs)
- Street lighting
- Highway Drainage
- Soft Landscape & Trees
- Road Safety

- Household waste recycling centres (HWRCs) – reduced hours of operation

(b) Intermediate option 2 –

- Transport & Development Planning
- Freedom Pass (**The IMG requested/suggested a review of the charge and age range**)
- Support to socially necessary but uneconomic bus routes (**Public transport was high on the list of priorities, and the IMG requested/suggested a review of high cost journeys**)

By: Mr Nick Chard, Cabinet Member, Environment, Highways & Waste
Richard Hallett, Directorate Finance Manager, Environment, Highways & Waste

To: Environment, Highways & Waste Policy Overview & Scrutiny Committee

To: 22 January 2010

Subject: Environment, Highways & Waste Half Year Business Plan Monitoring 2009/10

Classification: Unrestricted

Summary: This report details the directorate's progress against the Business Plans during the period 1st April to 30th September 2009, covering achievement of performance against activity / projects and targets. Progress was presented to Cabinet on 30th November 2009.

1. INTRODUCTION

- 1.1 The Environment, Highways & Waste directorate completed the half year monitoring of the priorities set out within the Service Level Business Plans in September 2009.
- 1.2 As part of the half-year monitoring, progress was checked against each of the 2009/10 Service Level Business Plans whereby most of the Projects, Developments or Key Actions were identified as 'on-course' or 'done and ongoing'.
- 1.3 A copy of the Executive Director's Statement and half year monitoring report giving a summary of progress is included at Appendix 1. The monitoring showed that 6% of the 2009/10 actions are not 'on-target' to complete this financial year and are listed in Appendix 1 with reasons and proposed actions.

2. RECOMMENDATION

- 2.1 Members are asked to **NOTE** the progress against Environment, Highways & Waste Service Level Business Plans for the period 1st April to 30th September 2009.

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Environment, Highways & Waste 2009/10 Half Year Monitoring

Executive Director's Statement

The Environment, Highways and Waste directorate delivers high profile, universal services to the people of Kent. Our over-riding priority is to provide these services with progressively improving efficiency and value for money at all times – ensuring the customer is treated well and that maximum front-line impact is secured from every pound we spend.

While our emphasis is on 'doing the day job', and getting it right first time, the directorate is not without an important strategic policy remit. In the last 6 months we have provided a significant contribution in the detailed follow up to KCC's recently published Regeneration Strategy - 'Unlocking Kent's Potential' – notably in the areas of Transport and Environment Strategy (including Climate Change).

A major landmark in the area of transport will be the introduction of high speed rail services for domestic passengers in December 2009. This will enable the people of Kent to benefit directly from perhaps the biggest single investment made in the county for many years. KCC has consistently backed the Channel Tunnel Rail Link (High Speed 1) and use of this line by domestic trains (High Speed 2) will dramatically cut journey times from East and North Kent to London, and act as a significant catalyst for economic development and regeneration. Passenger take-up on the limited preview services has exceeded expectations, and in total there will be some 5% more capacity on peak services between Kent and London, with the new services significantly improving the accessibility of Kent from London and other parts of the UK, benefiting particularly the coastal areas of Kent and providing additional stimulus to the growth areas of Thames Gateway and Ashford. Studies are underway into the feasibility of further extending direct access to HS2, including to Manston Airport.

Within Kent Highways Service, significant initiatives have been undertaken to enhance basic highways maintenance, including trialling new materials (e.g. cold fill) and systems (e.g. jet patching), and a local delivery pilot called 'pride in the patch' has been successfully piloted. 'My Kent Highways Online' has been launched for Member and Parish Councils; training has been provided for Members and we are half way through training Parish Councils in the use of the system. Kent is the first local authority in the country to have an approved permit scheme for road works, with Transport Minister Sadiq Khan saying "I want Kent to blaze a trail for other councils to follow". Procurement strategy is being reviewed to drive up commercial rigour. Good progress has been made on the T2010 target for reducing congestion, and county wide roll-out of the nationally recognised Freedom Pass completed.

The East Kent Waste project is moving ahead strongly after a lengthy period of discussion and development. The project will provide a common method of waste collection in four district councils for more efficient disposal by KCC, which will improve recycling services, increase diversion from landfill and deliver significantly increased value for money for the Kent tax payer over the next ten years. A joint procurement process is now underway to bring reality to the vision.

Significant effort has gone into preparing for the public enquiry into Kent International Gateway's proposals for a road/rail freight interchange at Bearsted. KCC's case against KIG, in support of Maidstone Borough Council, is now being tested at the public inquiry which started in mid-October. KCC officers will be giving evidence on Strategic Planning, Highways, Public Rights of Way and Archaeology issues.

Mike Austerberry

Executive Director, Environment, Highways & Waste

Business Plans

Exception reporting against core services and forecast activity levels, projects, developments and key actions and KPIs

Activity / Projects not expected to be completed as planned, reason(s) why and actions to rectify
Environment & Waste
<ul style="list-style-type: none"> ▪ Dartford Household Waste Recycling Centre replacement: current identified site unlikely to proceed due to planning issues; new site to be found and planning permission sought. Depending on overall decisions regarding authority-wide capital strategy, this project will be carried forward into next year's plan and provision for this has been made in our forward planning.
<ul style="list-style-type: none"> ▪ Extension to car park at Lullingstone: archaeological finds on the site have prevented the original plan proceeding – costs of further archaeological works required are uneconomic; alternative plan needs to be agreed. Project to be carried forward into next year's plan and timings agreed.
<ul style="list-style-type: none"> ▪ Green Flag award for Lullingstone: Delays in constructing additional car parking facilities meant that Lullingstone did not achieve the Green Flag award. This project is dependant on the previous project; once a new plan is in place for the car park the bid will be resubmitted next year
<ul style="list-style-type: none"> ▪ Working with Kent water companies to develop and deliver Kent-wide public-private action plan to raise awareness of water efficiency issues and develop joint initiatives: private sector side are not engaging in this as needed as they are waiting for sector targets to be issued by Government; these targets are due in January 2010 so a new deadline will be renegotiated and the work planned into next year's business plan.
Integrated Strategy & Planning
<ul style="list-style-type: none"> ▪ Integrated Transport Strategy (ITS): first draft was completed at the end of March 2009 and consultation has resulted in further revisions; currently consulting with all the district councils and public consultation will be completed in spring 2010.
<ul style="list-style-type: none"> ▪ Freight strategy: despite continuing to pressurise Government to provide funding for appropriate facilities for lorry drivers during Operation Stack and overnight, there has as yet been no change in the Government stance. This is a project where we will continue to lobby Government but the timescale is not in our gift and our chance of success uncertain.
<ul style="list-style-type: none"> ▪ Development of the Third Local Transport Plan: the development work for this was delayed due to the delay in the production of the Integrated Transport Plan. This work began in September 2009 and will continue over the next business plan period for final submission in April 2011.

KPI's not expected to be completed as planned, reason(s) why and actions to rectify

Performance Measure or Activity (not including T2010)	2008/09 Actual	2009/10 Target	2009/10 Forecast mid year/ actual	Reason and actions to rectify
Improve access to information on Kent's natural environment through Kent Landscape Information System (KLIS)	Average of 1600 hits per month in 2007/8	Increase hits on KLIS website to 2000	1500 (average over last 6 months) Forecast: 1800	Red: Below target as it includes June/ July/August which are notoriously low months (av. 1300) - increased to 1800 in September. Work to promote KLIS site will begin shortly and the site is to be altered so it can be used by internet browsers other than Explorer.
% of submissions made pursuant to conditions determined within 12 weeks	New Indicator	80%	Reg 3 68.69% Mins & Waste 75% Total actuals 69.3%	Red: Delays created by the scale and complexity of the proposals under consideration
% EHW Member Enquiries responded to on time	New indicator for 09/10	100%	85%	Red: Given that this is a newly introduced indicator this is an encouraging outcome.

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By: Nick Chard, Cabinet Member for Environment Highways & Waste (EHW)
Mike Austerberry, Executive Director (EHW)
Linda Davies, Chair, Equalities Group (EHW)

To: Environment Highways and Waste Policy Overview and Scrutiny Committee: Friday 22nd January 2010

Subject: Equalities in Environment Highways and Waste Annual Report

Classification: Unrestricted

Summary: This report provides an update on progress with Environment Highways and Waste directorate's work on Equalities and Diversity since the previous report in January 2009, in support of Kent County Council's ambition to achieve level 'excellent' in the Equalities Framework for Local Government (EFLG) by March 2011.

Recommendation: That Members:

- a) Note the content of this report
 - b) Endorse the approach for embedding Equalities into the directorate's business, in support of KCC's corporate commitment to achieve level 'Excellent' in the new EFLG.
-

1. Introduction

1.1 Legislative context

A new Equality Bill, drawing together all previous Equalities and Diversity legislation is expected to receive Royal Assent early in 2010. This Bill aims to provide straightforward practical guidance for employers, service providers and public bodies.

Since the previous report to EHW POC, the Equalities Framework for Local Government (EFLG) which provides the detailed criteria for how local authorities should manage Equalities and Diversity issues has been published.

1.2 Corporate context

The approach being taken across KCC is to ensure that we not only meet our statutory obligations, but to seek to ensure that in all aspects of understanding our communities, assessing customer needs and in shaping and delivering excellent services, we take account of the needs of individuals from all

backgrounds. This is in addition to our role as an employer recruiting, retaining and developing a workforce that reflects the communities we serve.

1.2.1 Diversity Mapping

This element of the new Equality Framework for Local Government (EFLG) is designed to ensure that an accurate picture is created of the differing needs and backgrounds of people in Kent.

1.2.2 Leadership and Corporate Commitment

The most important work under this heading is the redrafting and updating of the KCC Equality Strategy, to take account of progress within KCC since 2006 and to reflect the new EFLG standards.

The internal and consultation period closed at the end of December 2009. The final draft Strategy will be considered by the Corporate POSC at its April 2010 meeting.

1.2.3 Consultation and External Scrutiny

In identifying the scale and nature of existing consultation and involvement activities across KCC services it was clear that there are two important gaps in the current picture.

The first was that we have inconsistent levels of knowledge about exactly who takes part in some of our existing consultation and involvement activities.

The second relates to our consultation and involvement work with voluntary and community organisations (VCOs). Proposals for addressing both will be contained within the final draft Equality Strategy.

1.2.4 Service Delivery and Customer Care

The major development under this heading in 2009 was the introduction in April 2009 of a new approach to assessing the impact of policy, procedure and service changes, called Customer Impact Assessment. This meets all the requirements of the previous Equality Impact Assessment process, but has been designed to be simpler to use and to be a key element of what managers should consider not a 'specialised subject' which service and policy managers leave to others. New Customer Impact Assessment training was introduced by KCC's Improvement and Engagement Team in autumn 2009, and will be rolled out more widely during 2010.

1.3 Directorate context and proposed approach

At the time of the previous Equalities report to EHW POC in January 2009, the directorate had a full-time Equalities Officer. However with his departure in September 2009, the Directorate Management Team has decided not to

reappoint to the full-time post, but to integrate the work with the Public Involvement Manager's role as 20% of FTE.

There is common ground between Equalities and the Public Involvement function. However, a different approach is now needed mainly due to the reduction in officer time. DMT also regards this as an opportunity to mainstream Equalities further into day-to-day business which is consistent with the requirements of the Equalities Framework for Local Government.

2. Background

2.1 The new Equalities Framework for Local Government (EFLG) is based on a wider definition of equality that moves away from a purely legalistic interpretation to a concept of equal life chances. It aspires to be simpler, smarter, proportional and more relevant than the previous standard. It is outcome-based, and recognises that:

- equality is an issue for us all
- we don't all start from the same place
- to create a fairer society we need to recognise different needs

Local authorities will be audited on the following five performance areas:

- Knowing your community and equality mapping
- Place shaping, leadership, partnership and organisational commitment
- Community engagement and satisfaction
- Responsive services and customer care
- A modern reflective and diverse workforce

2.2 Customer Impact Assessments:

From 6 April 2009, Customer Impact Assessments (CIAs) have replaced Equality Impact Assessments in KCC, to reflect the continuous mainstreaming of equalities and diversity into our everyday thinking about who our customers are and how we can best meet their needs.

A Customer Impact Assessment (CIA) is primarily a tool for improving council services. It enables policy and service managers to identify the potential impact of a policy, procedure, project or service on the residents of Kent and KCC's workforce. It can help KCC to provide and deliver excellent services to the people of Kent by making sure that these reflect the needs of all members of the community.

CIAs give KCC staff the opportunity to think about how their work impacts on local people or other staff, particularly those from diverse communities, and to take action to prevent unfair discrimination

3. Achievements and progress since the previous report

3.1 Whilst in post, the full-time Equalities and Diversity Officer:

- supported teams and units in their duty to screen new policies, projects, procedures and services for customer impact, and supported full Customer Impact Assessments where appropriate
- provided briefings to staff and teams on their responsibilities
- drafted briefing notes on the seven diversity strands and procurement, cross-referenced to the five EFLG performance areas
- built links with a range of minority or 'seldom heard' groups
- revised the Equalities section of EHW's KNet pages as a reference tool for staff
- adapted the Corporate Customer Impact Assessment screening tool for use in EHW

3.2 Following the departure of the full-time Equalities and Diversity Officer, we have:

- realigned the way we address Equalities and Diversity in the directorate
- established a senior-level Equalities lead officer group, with representation from each team or unit, to ensure that Equalities issues are integrated with business planning
- planned workshops for managers and officers to enable them to understand their responsibilities with regard to the EFLG and the new directorate approach. These workshops are scheduled for delivery in February and March 2010
- Developed new ways of working to streamline the administrative burden on managers of producing evidence for standards such as EFLG and Customer Service Excellence (formerly Chartermark)

3.3 In the January 2009 report, there were three main areas of weakness noted, which have been addressed as follows:

- We have drafted and published briefings on all seven Equality 'strands' for staff and managers
- Whilst in post, the Equalities Officer built strong relationships with several community groups. These contacts have been passed to the Corporate Diversity Team to take forward
- The third area of weakness, that of embedding impact assessments in business as usual was started, and will be taken forward in the new directorate approach

- 3.4 Additional information on achievements and progress is included in Appendix 1, extracted from the directorate's 2009/10 half-year business plan monitoring. A typical compliment following work to address particular customer needs is as follows:

I am disabled and without the motorised trampers at Shornewoods Country Park my life would be very different. A big 'thank you' from my husband and I for giving us a lifeline. We cannot begin to even tell you how much it means to us. With sincere gratitude. (Mrs I Tumkins – Longfield)

4. The way ahead in 2010

- 4.1 In November 2009, EHW's Directorate Management Team approved a project management approach to integrating Equalities into the day to day business, based on the business planning process.
- 4.2 The approach is a simple system based on the five performance areas of the EFLG structure to enable services and teams to self-assess. Services and teams will be trained and supported to carry this out as part of project development, via a combination of Customer Impact assessments (CIAs), benchmarking and monitoring of service Action Plans against the five EFLG 'Performance areas' and using standards such as the '**Customer Excellence Standard**' to guide us.
- 4.3 Each team and service area has nominated a senior-level lead officer or manager to champion this within their teams. Members of this group will receive training and support to implement these activities within their team, so that self-assessment rapidly becomes part of project or service planning or the policy development process.
- 4.4 In addition to this group, the directorate has 'Strand Champions' who are able to offer expertise and challenge on the seven Equality Strands. The role of Strand Champion is undertaken as a staff-member's 'Wider Contribution' to the work of the directorate, and is distinct from the core 'Equalities in business planning' function of the senior-level lead officers' group mentioned at 4.3

4.5 The Directorate Management Team has agreed accountabilities within the directorate for the five EFLG areas as follows:

EFLG performance areas	Accountability
1. Knowing your communities and equality mapping	Directorate managers at all levels; team & project leads, with support from corporate KCC customer insight resources.
2. Place shaping, leadership, partnership and organisational commitment	Directorate management team and SMT, in support of KCC's corporate commitment
3. Community engagement and satisfaction	Public Involvement & Equalities Manager, all managers & team leaders
4. Responsive services and customer care	Directorate managers at all levels & project leads; Public Involvement and Equalities Manager, Customer Standards Officer
5. A modern, reflective and diverse workforce	All staff & managers with recruitment responsibility; all staff to be aware of equalities & diversity issues;

5. Conclusions and recommendations

5.1 The directorate's revised approach will mean that we will have to make greater demands in future on the specialists and experts outside our directorate, in the wider KCC organisation than has been the case to date. However, we will work collaboratively with colleagues across KCC to ensure that we play our part in meeting our responsibilities with regard to the corporate commitment to achieve level 'Excellent' in the EFLG by March 2011.

5.2 We recommend that Members:

- a) Note the content of this report
- b) Endorse the approach for embedding Equalities into the directorate's business, in support of KCC's corporate commitment to achieve level 'Excellent' in the new Equalities Framework for Local Government.

Appendix 1: EHW Half-year business plan Equalities monitoring

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**2009/10 Half Year Monitoring
 September 2009**

Units: Environment & Waste, Integrated Strategy & Planning,
 Kent Highway Services and Resources

Directorate: Environment, Highways & Waste

Business Plans – Equality Monitoring

Actions	Progress
Guidance to E&R staff on Equality legislation including embedding in Bus. Plans	Amber: Legislation and guidance is available to managers via KNet and is being reviewed and improved as changes come into force; also included in business plans 09/10 and 10/11. Some support and training have been provided to managers and staff and more is planned to understand how to integrate equalities into business as usual
Establish E&R Equalities Forum and co-ordinate and support directorate Equality Champions	Green: Equalities Forum is established as the Equalities Evidence Framework Group. This group will be the medium / resource for championing, challenging and providing expertise. With the departure of the Equalities Officer, (1 st Sept 2009), EHW intends to address Equalities using a project management approach: channelling information, ensuring managers and service teams understand their responsibilities and have the information to deliver this agenda as part of business as usual.
Update E&R Equalities Action Plan	Amber: Equalities Action Plan needs to be reviewed to take account of Equalities Framework for Local Government, and KCC's Equality Strategy (draft - Sept 09). Target completion date for this is February 2010.
Co-ordinate Best Equality Practice evidence for the new EFLG	Amber: Evidence is being collated, and Customer Impact Assessments undertaken where appropriate. Mechanisms for reporting and recording evidence are being developed. Twice yearly health-checks with service teams are designed to enable systematic co-ordination and reporting of evidence.
Ensure E&R (now EHW) representation on Kent Equality Network and other Kent forums across equality strands	Amber: With the departure of the Equalities Officer, (1 st September 2009), EHW directorate will not have the resource to attend the Kent Equalities Network on a regular basis, although champions will be supported to do so where possible. We rely on the KCC Corporate Diversity network to provide appropriate representation and cascade information.

Reporting on top-line actions from Directorate Equalities and Diversity Action Plan 2007-10:	
Diversity in Action training for staff	Not promoted during Jan-Sept 2009 as EHW had benefit of f/t Equalities Officer providing 121 sessions with managers and teams on Equality & Diversity, email guidance notes and Bridging Sessions on equalities strands. However, with departure of Equalities officer, Diversity in Action training will be promoted across EHW from Q3 onwards.
Complete online tool on "Diversity in the Workplace" (staff and managers)	45 Staff and managers undertook this during the period April to September 09. All staff and managers are encouraged to undertake this course. To date over 300 staff and managers have completed it. Email promoting course sent to all staff in Aug 09. Promotion by email again in Q3.
Divisional Business Plan	The 2009/10 directorate business plan was published in summary format as ' The Year Ahead '. Limited numbers of hard copies were produced and provided to all members following June 09 election, and also to Senior Managers Forum to cascade throughout their teams. Electronic copy was published to KNet and a link to all staff emailed.
Diversity in Action training for managers	As above comment re: Diversity in Action training for staff.
Ways to Success behaviour related to equalities and	W2S 'Equalities behaviour' incorporated into revised appraisal paperwork, and is a requirement for all managers.
Assess the impact of new policies, projects and practices on different equality groups	Customer Impact Assessment training is being rolled out to all managers; a summary flow-chart is being developed for managers to decide when to assess.
Positive Action recruitment training	All recruitment interviews will have at least one interviewer who has been PA recruitment trained.
Raise equality and diversity topics during team meetings	Pilot team meeting agenda to incorporate equalities information for attendees; AOB – team to identify any agenda items requiring CIA assessment
Training undertaken in the directorate since April 09 based on Equality & Diversity	Positive recruitment: 4 Equality Briefing for staff group chairs: 2. With the installation of OLM in April 2009, monitoring of participation can be more systematic.

By: Mr Nick Chard, Cabinet Member, Environment, Highways & Waste
 Richard Hallett, Directorate Finance Manager, Environment, Highways & Waste

To: Environment, Highways & Waste Policy Overview & Scrutiny Committee

Date: 22 January 2010

Subject: Environment, Highways & Waste Risk Register 2010/11

Classification: Unrestricted

Summary: This report identifies the strategic risks that are managed and controlled within the Environment, Highways & Waste Directorate

1. INTRODUCTION

1.1 It was agreed at a meeting of the Governance & Audit Committee on 5th March 2008 that in future years the risk registers will be considered by POCs in the January cycle before being reported to the Governance and Audit Committee.

1.2 The requirement to maintain risk registers ensures that potential risks, which may prevent the Authority from achieving its objectives, are identified and controlled. They also ensure that controls are in place to prevent occurrence of events which it would be unacceptable or undesirable to allow to happen. From time to time they may also highlight risks which are being over-controlled. The process of developing the registers is therefore important in underpinning performance management and service procedures and considerable significance is attached to it by external auditors and inspectors.

1.3 There is a standard format for Risk Registers and a 5x5 matrix is used to rank the scale of risk in terms of likely occurrence and impact (see Table 1) to give an overall score. The numeric score in itself is less significant than its importance in enabling categorisation of risks and prioritisation of any management action.

Table 1.

Likelihood	Very likely	5	5 Low	10 Medium	15 Medium	20 High	25 High
	Likely	4	4 Low	8 Medium	12 Medium	16 High	20 High
	Possible	3	3 Low	6 Low	9 Medium	12 Medium	15 Medium
	Unlikely	2	2 Low	4 Low	6 Low	8 Medium	10 Medium
	Very Unlikely	1	1 Low	2 Low	3 Low	4 Low	5 Low
RISK RATING MATRIX			1	2	3	4	5
			Minor	Moderate	Significant	Serious	Major
			Impact				

2. ENVIRONMENT, HIGHWAYS & WASTE RISK REGISTER 2010/11

2.1 As part of our refined business planning process we are dovetailing our risk registers more closely with our business planning processes and thus the 2010/11 risk register is still in final development. However, we do have an update undertaken in September 2009 and this is attached at Appendix 1 for information. We will report the refreshed 2010/11 Risk Register to the POSC later this year.

2.2 The current residual risk ratings on the register are based on what the accountable Service has rated the risk as. Following the business planning process and the refresh of the directorate risk register, a directorate-wide view will be taken on risk ratings and as such some risk ratings could be revised for 2010/11.

2.3 Members will be aware that the inclusion of risks on this register does not necessarily mean there is a problem. On the contrary it reflects the fact that we are well aware of them and of the need for controls. A cross-directorate group will be reviewing individual directorate risk registers in order to identify any cross cutting themes for incorporation into the Authority's Strategic Risk Register.

3. MONITORING AND REVIEW

3.1 During 2010/11 the controls in the register will continue to be tested and checked in order of significance, and new actions monitored. Risk Management Plans will be developed for every risk within the Directorate rated as *High* (i.e. with a score of 16 and above). These plans are a tool to be used by managers with their Services and Business Units to document and monitor actions for the high risks.

4. RECOMMENDATION

4.1 Members are asked to **NOTE** the Environment, Highways & Waste Directorate Risk Register updated in September 2009.

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Environment, Highways & Waste Directorate Risk Register

This is the Environment, Highways & Waste (EHW) Directorate Risk Register (Environment & Waste, Integrated Strategy & Planning, Kent Highway Services and Resources). In addition to this directorate register, each service unit of the directorate has its own risk register.

The focus for the directorate register is on crosscutting risks affecting the whole directorate (or at least several service units) and high impact or high profile risks.

The directorate register is agreed by the EHW Directorate Management Team (DMT) and each service unit register by the respective Senior Management Team.

Likelihood ↑	Very likely	5	5 Low	10 Medium	15 Medium	20 High	25 High
	Likely	4	4 Low	8 Medium	12 Medium	16 High	20 High
	Possible	3	3 Low	6 Low	9 Medium	12 Medium	15 Medium
	Unlikely	2	2 Low	4 Low	6 Low	8 Medium	10 Medium
	Very Unlikely	1	1 Low	2 Low	3 Low	4 Low	5 Low
RISK RATING MATRIX			1	2	3	4	5
			Minor	Moderate	Significant	Serious	Major
			Impact →				

VERSION HISTORY

EHW DIRECTORATE LEVEL RISK REGISTER

This register summarises the notable risks within the EHW Directorate.

Risks are recorded as HIGH, MEDIUM or LOW

The matrix used to assess the level of likelihood and impact is provided to the right for information.

This register has been compiled from the registers prepared by individual service units.

Risk Ranking Matrix:

Likelihood	Very likely	5	5 Low	10 Medium	15 Medium	20 High	25 High
	Likely	4	4 Low	8 Medium	12 Medium	16 High	20 High
	Possible	3	3 Low	6 Low	9 Medium	12 Medium	15 Medium
	Unlikely	2	2 Low	4 Low	6 Low	8 Medium	10 Medium
	Very Unlikely	1	1 Low	2 Low	3 Low	4 Low	5 Low
RISK RATING MATRIX			1	2	3	4	5
			Minor	Moderate	Significant	Serious	Major
			Impact				

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Version Date	Document Version	Document Revision History	Document Author/Reviser	Approval Date	Approver Name
December 2008	V1.0	Register compiled by the Business Improvement Team following the refresh of Service Unit Registers with the appropriate Leadership Team during Nov/Dec 08	David Thomas/ Kay Groves/ Gemma Warburton	17 December 2008	DST
January 2009	V2.0	Updated risk KHS18 following recommendations from Resources SMT	Simon Maloney	-	-
August 2009	V3.0	Updated due to refresh of E&W, KHS and Resources risk registers approved by appropriate SMT	Gemma Jones	-	-
September 2009	V4.0	Updated due to refresh of IS&P risk register approved by appropriate SMT	Gemma Jones	-	-

RISK REGISTER

Ref	Source	Event	Planned Outcome	Accountable Manager	Inherent rating (without any controls in place)	Existing Controls	New Tasks/ Actions	Date	Residual rating (with controls in place)
KHS1 Page 39	Financial, reputation Claim by URN/LCR against KCC for CTRL construction claims related to option on land taken under CPO for STDR4	Decision by House of Lords Appeal against Court of Appeal decision against KCC. This risk has a KCC wide impact	House of Lords grant permission to Appeal and that Appeal decision is in favour of KCC. Appeal lodged 1 June 09.	John Farmer	I= 5 L= 5 R= 25	<ul style="list-style-type: none"> Preliminary hearing before the President of the Lands Tribunal- Dec07 Court of Appeal decision against KCC –May 09. On-going Legal Counsel Advice. 	<ul style="list-style-type: none"> Awaiting House of Lords response to application to Appeal. Meeting held with Director of Finance, Cabinet Member for Finance and Head of Legal Services on 5 June 09 to confirm above. 	Ongoing	I= 5 L= 4 R= 20
SP2	The Kent Environment Strategy sets a wide-ranging and ambitious programme for environmental improvement. (Reputation, Partnerships)	Failure to meet key targets in the Kent Environment Strategy	Meet key targets which will help to secure a place where we all live and work in healthy, clean, safe, enjoyable situations with a clear regard for our impact on the broader environment	Geoff Mee	I= 4 L= 5 R= 20 High Risk	<ul style="list-style-type: none"> Strategies in place Monitoring, especially performance indicators Partnership working Established lines for accountability Have secured Member support/buy-in Business plans to include specific actions to deliver Climate Change Action Plan 	<ul style="list-style-type: none"> Continue to raise awareness Recruitment to Environmental Strategy Manager Post 	On-going Dependent on re-structure	I= 4 L= 5 R=20 High Risk

Ref	Source	Event	Planned Outcome	Accountable Manager	Inherent rating (without any controls in place)	Existing Controls	New Tasks/ Actions	Date	Residual rating (with controls in place)
SP3 Page 40	Implementing replacement planning applications system (Financial, Reputation)	Reduction in / loss of technical support for planning information system as providers move to a new system	New system meets business need and staff are proficient users	Sharon Thompson	I= 4 L= 4 R= 16 High Risk	<ul style="list-style-type: none"> · Review current system against business requirements · Liaison with current providers on requirements for new system · Input to tender process for alternative system from all sections of Group · Staff meetings · Project plan for implementation of new system and transfer of data between systems 	<ul style="list-style-type: none"> · Staff training on new system · Procure new system to meet requirements of 21st century planning system 	Ongoing	I= 4 L= 4 R=16 High Risk
SP 10	Financial, Compliance with law, Reputation	Meet statutory deadlines for policy development in terms of Minerals & Waste Development Scheme	Manage / control through to adoption	Mick Sutch	I= 4 L= 5 R= 20 High Risk	<ul style="list-style-type: none"> · Defined and communicated statutory timescales · Monitoring of workloads · Cabinet process · Business plan monitoring · Work Prioritisation · Appointment of suitable resources to deliver project 			I= 4 L= 4 R= 16 High Risk

Ref	Source	Event	Planned Outcome	Accountable Manager	Inherent rating (without any controls in place)	Existing Controls	New Tasks/ Actions	Date	Residual rating (with controls in place)
<p>KHS7 and EW7</p> <p style="text-align: center;">Page 41</p>	<p>Financial & Resources</p> <p>Climate Change and the possible affects of any extreme weather conditions which could prevail as a result</p>	<p>Damage to valuable assets/ infrastructure / affect on staff from extreme weather conditions</p>	<p>Take account of climate change and ensure resilience against extreme weather conditions</p>	<p>Norman Bateman for KHS</p> <p>And</p> <p>Carolyn Mckenzie / Linda Davies for E&W</p>	<p>I= 5 L= 4 R= 20</p> <p>High Risk</p>	<ul style="list-style-type: none"> • Information being collected on existing drainage systems • Flooding hot spots identified • Flood Risk Review almost complete • Contact maintained with Kent Resilience Forum <p><i>Whilst mitigating against severe weather, we can only strive to control the affects of this and there maybe extreme instances which breach our control.</i></p>	<ul style="list-style-type: none"> • Report to the KHS Executive on Safety Critical Assets <p>Flooding</p> <ul style="list-style-type: none"> • Review known ponding/flooding areas • Manage all known flood locations proactively (similar to winter maintenance) • Resurrect county wide drainage improvements database <p>Structures</p> <ul style="list-style-type: none"> • Review structures assets and identify strategic assets • Review inspection programme for strategic assets <p>Storms & Gales</p> <ul style="list-style-type: none"> • Review procedures for incident management during adverse weather events for tree damage/falls. <p>Continued over page...</p>	<p>Complete</p> <p>In progress</p> <p>Ongoing</p> <p>Complete</p> <p>Complete</p> <p>Early 2009</p> <p>Complete</p>	<p>I= 5 L= 3 R= 15</p> <p>Medium Risk</p>

Ref	Source	Event	Planned Outcome	Accountable Manager	Inherent rating (without any controls in place)	Existing Controls	New Tasks/ Actions	Date	Residual rating (with controls in place)
<p>KHS7 and EW7 cont.</p> <p style="text-align: center;">Page 42</p>	<p>Climate Change and the possible affects of any extreme weather conditions which could prevail as a result</p> <p>(Financial & Resources)</p>	<p>Damage to valuable assets/ infrastructure/ affect on staff from extreme weather conditions</p>	<p>Take account of climate change and ensure resilience against extreme weather conditions</p>	<p>Norman Bateman for KHS</p> <p>And</p> <p>Carolyn Mckenzie / Linda Davies for E&W</p>	<p>I= 5 L= 4 R= 20</p> <p>High Risk</p>	<ul style="list-style-type: none"> • Business Continuity Plan • Team Climate Change Action Plans 	<p>Heat waves</p> <ul style="list-style-type: none"> • Identify strategic assets vulnerable to heat damage. • Review use of bituminous materials to mitigate susceptibility to heat damage • Workgroup formed by Business Improvement Team to: • Review and test Business Continuity Plan • Update Business Continuity Plan after test and regularly as required • Climate Change action plans to be produced as part of business planning • Support Members Steering Group to ensure members are fully briefed 	<p>End 2009</p> <p>End 2009</p> <p>End 2009</p>	

Ref	Source	Event	Planned Outcome	Accountable Manager	Inherent rating (without any controls in place)	Existing Controls	New Tasks/ Actions	Date	Residual rating (with controls in place)
R2	<p>Effect on Service</p> <p>Reliance upon IT systems and adequate levels of support critical to business operations</p>	<p>IT System failures not reported or resolved in a timely way causing disruption and / or failure in continuity of services</p>	<p>Failures of systems and / or large scale faults are prevented where practical.</p> <p>Resolution of faults in line with third party SLA's. Continuity of service is not affected</p>	David Beaver	<p>I= 5</p> <p>L= 4</p> <p>R= 20</p> <p>High Risk</p>	<ul style="list-style-type: none"> Business Continuity Plan ISG corporate support Service and maintenance agreements in place Temporary IT support team Contractual SLA's Shared drive/ISG back-up Corporate IT Strategy Group External hosting 	<ul style="list-style-type: none"> Regular updates of Business Continuity Plans Externally hosted sites with disaster recovery in place. Testing of BCP's Recruit competent key personnel Recruit increased personnel User acceptance testing 	Ongoing	<p>I=5</p> <p>L=3</p> <p>R=15</p> <p>Medium Risk</p>
R3	<p>Financial & Resources</p> <p>Budget allocation, with major scheme cost over runs and increased investment in highways maintenance</p>	<p>Capital programme management, (Insufficient resources and inappropriate scheduling to deliver the programme)</p>	<p>Agreed programme of work delivered within agreed timescales and achieved, without the need for additional resource / funding</p>	Richard Hallett	<p>I= 5</p> <p>L= 5</p> <p>R= 25</p> <p>High Risk</p>	<ul style="list-style-type: none"> Budget monitoring Risk assessments Financial procedures Project Approval Process Scheduling PM Training 	<ul style="list-style-type: none"> Monthly budget monitoring to continue alongside quarterly corporate monitoring. Increased support to capital monitoring through team reorganisation 	Ongoing	<p>I=5</p> <p>L=3</p> <p>R=15</p> <p>Medium Risk</p>

Ref	Source	Event	Planned Outcome	Accountable Manager	Inherent rating (without any controls in place)	Existing Controls	New Tasks/ Actions	Date	Residual rating (with controls in place)
R10	<p>People Compliance with Law Reputation Effect on Service</p> <p>Health and Safety incidents</p>	Failure to manage H&S incidents within EHW	All Service Units are aware of their obligations with H&S under control	Alan Loft and Flavio Walker	<p>I = 4</p> <p>L = 3</p> <p>R = 15</p> <p>Medium Risk</p>	<ul style="list-style-type: none"> • Existing H&S Management plan covers biggest risk areas. • High risk environments have well established focus groups that monitor activity and process. • Training and instruction of staff to maintain standards. • Regular monitoring / audits of EHW and contractor H&S activity • Fostering good relationship with local enforcement agents. • H&S Board/ Groups • Review of internal H&S structure to meet new directorate needs and those of the Blue Book 	<ul style="list-style-type: none"> • 6 month update of H&S Management plan in November. • Audit programme to commence Jan 09 to Apr 09. • New internal H&S information pages due to be launched for directorate. • Move focus on high risk services e.g. KHS and E&W • Register of Risk Assessments • Audit of Contractors performance • H&S Management System • Develop Operational Risk Register • Mobile Phone Policy 	<p>Completed and on-going</p> <p>Ongoing</p> <p>Ongoing</p> <p>Ongoing</p> <p>Ongoing</p> <p>Ongoing</p> <p>Aug 09</p> <p>Aug 09</p>	<p>I = 5</p> <p>L = 3</p> <p>R = 15</p> <p>Medium Risk</p>

Ref	Source	Event	Planned Outcome	Accountable Manager	Inherent rating (without any controls in place)	Existing Controls	New Tasks/ Actions	Date	Residual rating (with controls in place)
SP1	The IS&P Division has a pivotal role in developing policy for the County and in influencing, on behalf of KCC, policy development at national.	Conflict between community and Members views across a range of issues affecting Divisional priorities	External influencers aligned to Planning & Development policy and have understanding of the Division's business.	Geoff Mee	I= 4 L= 5 R= 20 High Risk	<ul style="list-style-type: none"> · Consultation · Staff Training · Member briefing notes · Strong working relationships with Members · Partnership working / joint group working · IMG for key policy development 	<ul style="list-style-type: none"> · Engagement with new portfolio holder 	On-going	I= 4 L= 3 R= 12 Medium Risk
EW10 Page 45	Influencing how people behave towards the environment is a major theme for E&W (Reputation, Financial)	Waste projects do not positively influence peoples behaviors	Ensure Waste projects deliver change in public attitude	Caroline Arnold/ Sue Barton	I= 4 L= 4 R= 16 High Risk	<ul style="list-style-type: none"> · Campaigns and communication to the public 	<ul style="list-style-type: none"> · Contract with professional marketing communications company to ensure that messages and campaigns are targeted, and monitored 	Ongoing	I=4 L=3 R=12 Medium Risk

Ref	Source	Event	Planned Outcome	Accountable Manager	Inherent rating (without any controls in place)	Existing Controls	New Tasks/ Actions	Date	Residual rating (with controls in place)
R1	Financial & Resources Budget allocation	Insufficient budget/ major overspend on revenue budget (especially with Member expectation on service enhancement in highways maintenance)	Expenditure matches budget	Richard Hallett	I= 5 L= 4 R= 20 High Risk	<ul style="list-style-type: none"> Budget allocation/ monitoring DMT ownership Activity level reporting Risk assessment Management action plan to deliver savings Financial procedures/ training Income generation/ external funding process MTP process 	<ul style="list-style-type: none"> DMT agreeing MAP if required Finance team reorganisation to deliver correct support to new Directorate structure Business Plan communication to staff Action any internal audit recommendations 	Ongoing	I= 4 L= 3 R= 12 Medium Risk
R5	Effect on Service Replacement of MIDAS financial system	Monitoring and control issues resulting from the switch over to the new system. Failure of system before replacement is in place	MIDAS replacement in place and meeting business need	Richard Hallett	I= 4 L= 4 R= 16 High Risk	<ul style="list-style-type: none"> Detailed functionality specification completed Nov 08 Support from ISG/Corporate Finance Experienced MIDAS system operators 	<ul style="list-style-type: none"> Appoint ISG project officer and KSSIP support Prepare comprehensive project plan New spreadsheet system of checking invoices that could be used to recreate majority of expenditure 	Complete by April 2010	I= 4 L= 3 R= 12 Medium Risk

Ref	Source	Event	Planned Outcome	Accountable Manager	Inherent rating (without any controls in place)	Existing Controls	New Tasks/ Actions	Date	Residual rating (with controls in place)
KHS 18 * Page 47	Insufficient skill and capacity	Contracts are not administered in the correct way leading to failure of internal/ external audits	All contracts are administered correctly and receive satisfactory audit outcomes	Behdad Haratbar	I = 4 L = 5 R = 20 High Risk	<ul style="list-style-type: none"> Temporary Contracts Manager in post until Dec. Contracts Compliance Team (CCT) form to jointly resolve contractual issues Manual financial controls in place Line management scrutinizing cost Reporting of Financial reports are inaccurate in WAMS PDP's/appraisals Specialist support/expertise 	<ul style="list-style-type: none"> Advertised for permanent replacement at market rate Systems reports show compliance issues On-going system improvements Escalation meeting arranged with Red Sky & PBMI Training program being delivered New temporary contracts manager from Jan 09 Employ quantity surveyor Review of IT systems including cost capture and works ordering to ensure they are fit for purpose 	By Dec 09	I = 3 L = 4 R = 12 Medium Risk

* Previously R6 in the Resources Risk Register – Requested to be transferred to KHS Risk Register Jan 09

Ref	Source	Event	Planned Outcome	Accountable Manager	Inherent rating (without any controls in place)	Existing Controls	New Tasks/ Actions	Date	Residual rating (with controls in place)
R8	People Staff Engagement – KCC Internal Comms Paper, KCC Strategy for Staff	Staff morale, performance and retention levels are compromised through lack of meaningful engagement / communication	A culture of inspirational leadership embedded and improvement achieved in EHW and divisional staff engagement index (as measured by KCC and EHW internal staff surveys)	Alison St Clair Baker / Michelle Flegg / Deborah Benton	I= 4 L= 4 R= 16 High Risk	<ul style="list-style-type: none"> • EHW Learning & Development Plan • Work & Wellbeing Group • Induction / appraisal • Talent Management • Staff conferences • Rewards Strategy • Staff Survey • Support Line • Appraisals/PDP's/ One to Ones • Regular consistent communication • Quality Service Awards • Organisational Improvement Officer in post • Range of staff engagement activities incl. DMT monthly newsletter, Excellence in Everything Team established to drive forward Change Groups actions 	<ul style="list-style-type: none"> • Range of additional staff engagement activities to be introduced including: <ol style="list-style-type: none"> a) Review of appraisal and induction project management processes b) EHW Staff engagement events with DMT c) Introduction of Oracle Learning Management System d) Senior Management Development Programme 	Oct 08 and ongoing	I=4 L=3 R=12 Medium Risk

Ref	Source	Event	Planned Outcome	Accountable Manager	Inherent rating (without any controls in place)	Existing Controls	New Tasks/ Actions	Date	Residual rating (with controls in place)
KHS 4a	People, Financial, Reputation Traffic using the extensive road network throughout Kent results in traffic collisions	Road traffic collisions with fatal / life threatening consequences	Avoid Corporate Manslaughter / H&S prosecutions	Kim Hills	I = 5 L = 3 R = 15 High Risk	<ul style="list-style-type: none"> H&S Group Procedures Staff training Monitoring Ensure roads are inspected and repaired in line with statutory duty 	<ul style="list-style-type: none"> New process for meeting and engaging with the Police being finalized (lead by Hazel Walters. Highway Inspectors Manual updated and re-launched -09/10. (lead by Dennis Button) Improving response / repair times 	Sep 09 Jan 10 March 10	I = 5 L = 2 R = 10 Medium Risk
KHS 4c Page 49	People, Financial, Reputation Traffic using the extensive road network throughout Kent results in traffic collisions	Road traffic collisions with fatal / life threatening consequences	Reduce Killed and Seriously Injured (KSI) levels	David Beaver	I = 5 L = 4 R = 20 High Risk	<ul style="list-style-type: none"> Risk Manager Investigative audits and risk assessments Procedures Staff training Monitoring Maintain systems to facilitate the agreed joint procedures through the CaRe partnership and the Kent Police partnership CRM sites are identified and rectified Analyse KSI trends and deliver Education, Publicity and Training campaigns 	<ul style="list-style-type: none"> Identify areas of congestion across network Ensure reliability of traffic systems Continue to analyse crash data for new trends and develop innovative ETP programmes <p><i>Whilst mitigating against KSI and slight injuries, we can only strive to affect driver behaviour</i></p>	Year end 09/10 End Sep 09 End Nov 09	I = 5 L = 2 R = 10

Ref	Source	Event	Planned Outcome	Accountable Manager	Inherent rating (without any controls in place)	Existing Controls	New Tasks/ Actions	Date	Residual rating (with controls in place)
<p>KHS2</p> <p style="text-align: center;">Page 50</p>	<p>Financial, Effect on project objectives</p> <p>Budget allocation</p>	<p>Insufficient budget to meet public & member's expectations</p>	<p>Expenditure matches budget</p>	<p>Richard Hallett</p>	<p>I= 3 L= 5 R= 15</p> <p>Medium Risk</p>	<ul style="list-style-type: none"> · Budget allocated in accordance with approved policy and the member-approved maintenance plan · Programme management · Communications · Member engagement · Business plan and 6 Service Plans · Regular Resident, member and Parish Surveys for progress check · Specific Transformation Programme Risk and issues strategy in place and monitored. 	<ul style="list-style-type: none"> · 'Draft and consult on Asset Management Strategy and Plan for KHS. · Value for money initiative - to give members increased confidence in the service and to demonstrate that any additional funding will be used efficiently and in accordance with members' priorities. · Continuous improvement activity – ensuring that KHS is as efficient as possible so that savings are redirected to front-line service. · Robust project and programme controls to deliver the capital programme to time and budget. · Improved communication with members and the public to rebuild reputation based on results; publish the programme of activity in advance to give greater visibility and transparency and so that KHS can be held to account. 	<p>Draft complete July 09</p> <p>March 10 and ongoing</p> <p>For the current MTFP round and ongoing</p> <p>Sept 09 and then ongoing</p> <p>Ongoing</p>	<p>I= 3 L= 3 R= 9</p> <p>Medium Risk</p>

Ref	Source	Event	Planned Outcome	Accountable Manager	Inherent rating (without any controls in place)	Existing Controls	New Tasks/ Actions	Date	Residual rating (with controls in place)
KHS 17	Borough Green/ Platt by-pass	Not able to complete by-pass	Funding secured and programme of work agreed	John Farmer	I = 4 L = 4 R = 16 High Risk	<ul style="list-style-type: none"> Legal advice obtained which indicated minimum level of work required to enact the planning decision 	<ul style="list-style-type: none"> Review planning application result in Spring/Summer 	Spring/ Summer 09	I = 3 L = 3 R = 9 Medium Risk
EW18 Page 51	Improved two tier working	Improved Waste Management two tier working in East Kent	Pilot of two tier working is a success	Linda Davies	I = 5 L = 4 R = 20 High Risk	<ul style="list-style-type: none"> Kent Waste partnership with Districts exists Appointment of Project Manager Funding in place 	<ul style="list-style-type: none"> Membership of Steering Group Portfolio Holder on Project board Regular technical input 	March 09	I = 3 L = 3 R = 9 Medium Risk
R7	Financial & Resources New Resources Structure	Insufficient capacity in support services to meet requirements of services	Risk deleted at August 2009 refresh (V3.0) as no longer appropriate						

Ref	Source	Event	Planned Outcome	Accountable Manager	Inherent rating (without any controls in place)	Existing Controls	New Tasks/ Actions	Date	Residual rating (with controls in place)
R9	Reputation E&R Reputation	Poor public perception of services delivered	Positive perception of EHW services (as measured by surveys etc. within the service groups)	Alison St Clair Baker	I= 3 L= 5 R=15 Medium Risk	<ul style="list-style-type: none"> · EHW 08/09 Comms Strategy Statement · E&R Media Forward Planner · KCC Media Centre <i>Jewels in the Crown</i> · Complaints procedure · Monitoring Customer satisfaction · Member engagement · E&R web publisher network · Monthly meetings with Press Officer 	<ul style="list-style-type: none"> · Development of high level EHW engagement & Comms overview · Full review of customer experience across the directorate · Introduction of customer service champions · Support introduction of CSE Standards across EHW · Better use of TCP and B4S · Participation in Interreg IVA Mosaic customer insight project 	Sept 09 Sept 09 Sept 09 Ongoing Ongoing Ongoing	I= 3 L= 3 R= 9 Medium Risk

Ref	Source	Event	Planned Outcome	Accountable Manager	Inherent rating <small>(without any controls in place)</small>	Existing Controls	New Tasks/ Actions	Date	Residual rating <small>(with controls in place)</small>
SP8	The LTP sets out the transport vision for the County for 2025 (Effect on Service, Reputation)	LTP not used to drive and prioritise KCC transport schemes	Use the LTP to provide good, safe accessibility to jobs and services for all sections of the community in Kent, and to improve the environment and health of the community by reducing congestion and pollution, widening the choice of transport available, and by developing public transport, walking and cycling.	Mick Sutch	I= 4 L= 5 R= 20 High Risk	<ul style="list-style-type: none"> · Cabinet support for plan endorsed through committee process · Staff trained and experienced in using PIPKIN (prioritisation software) · Clear documentation of modeling processes · Monitoring reports · Internal liaison processes · Consultation processes in development of LTP 	<ul style="list-style-type: none"> · Promote more joint working across and with divisions · Ensure integration into Integrated Transport Strategy 	On-going As strategy is developed	I= 3 L= 3 R= 9 Medium Risk

Ref	Source	Event	Planned Outcome	Accountable Manager	Inherent rating (without any controls in place)	Existing Controls	New Tasks/ Actions	Date	Residual rating (with controls in place)
TBA – was KHS 12 but transferred to IS&P Risk Reg. Page 54	The M20/M2 motorway network provides the main vehicular gateway to and from Europe (People, Reputation)	Operation Stack - Unable to find alternative solution	Solution found to alleviate the effect of Operation Stack	Mick Sutch	I= 4 L= 5 R= 20 High Risk	<ul style="list-style-type: none"> Consultants appointed to support project development and provide expert advice 	<ul style="list-style-type: none"> Consultants for economic assessment commissioned – reporting September 09. Land referencing, geotechnical, and topographical surveys completed. Environmental surveys have commenced. Draft layout options prepared and discussion with Police, Fire and Environment Agency underway. <i>Transferred from KHS Risk Register</i>	Ongoing Ongoing	I= 4 L= 2 R= 8 Medium Risk

Ref	Source	Event	Planned Outcome	Accountable Manager	Inherent rating (without any controls in place)	Existing Controls	New Tasks/ Actions	Date	Residual rating (with controls in place)
EW15	The council's strategy is to manage the waste in Kent in a more sustainable manner and to move away from our traditional dependency on landfill. A key element of that strategy is the development of a major Waste to Energy Facility at Allington, near Maidstone (Reputation, Effect on Service, Financial)	Allington Waste to Energy Plant suffers failure	Full service capacity of the Allington Waste to Energy Plant	Linda Davies (Environment & Waste) Sue Barton	I = 3 L = 4 R = 12 Medium Risk	<ul style="list-style-type: none"> Contract provisions isolated KCC from contractual financial risk Liaison with waste collection activities re waste logistics during commissioning Watching brief on LATS risk Monitoring of financial implications 	<ul style="list-style-type: none"> If current takeover tests are unsuccessful review need for further due diligence enquiries 	Ongoing	I = 3 L = 2 R = 6 Low Risk

Ref	Source	Event	Planned Outcome	Accountable Manager	Inherent rating (without any controls in place)	Existing Controls	New Tasks/ Actions	Date	Residual rating (with controls in place)
KHS 14 Page 56	The ground-breaking Kent Freedom Pass was launched by KCC in June 07 and has proved to be a hugely popular scheme with a full countywide roll out in June 09	Unexpectedly high take-up for Kent Freedom Pass	Access to Kent Freedom Pass scheme to all those wishing to participate Delivery of ongoing operations	David Hall	I= 3 L= 3 R= 9 Medium Risk	<ul style="list-style-type: none"> Modeling of costs based on initial pilot Weekly count of applications Regular updates to Members 	<ul style="list-style-type: none"> Roll-out is on target with all District areas now having access to Freedom. As at the end of June 09, 15,000 passes have been issued, this is on target. Suggest removal from risk register in autumn as now business as usual 	Now County-wide	I= 3 L= 2 R= 6 Low Risk

Ref	Source	Event	Planned Outcome	Accountable Manager	Inherent rating (without any controls in place)	Existing Controls	New Tasks/ Actions	Date	Residual rating (with controls in place)
R4 Page 57	<p>Compliance with Law</p> <p>KCC has a legal duty to meet all Data Protection and Freedom of Information Act requirements</p>	<p>Infringe Data Protection Act / Freedom of Information Act</p>	<p>All Data Protection Act and Freedom of Information Act requests are dealt with inline with agreed processes and all Resources staff understand and follow correct procedures</p>	<p>Niel Caddick and Pauline Banks</p>	<p>I= 4 L= 3 R= 12 Medium Risk</p>	<ul style="list-style-type: none"> FOIA/DPA Officer Procedures / Plan Training Monitoring Corporate Reporting Recruitment of a new support staff member to assist the IG Officer. 	<ul style="list-style-type: none"> Improved recording & monitoring System General awareness training 	<p>Ongoing</p>	<p>I=2 L=3 R=6 Low Risk</p>
SP 13	<p>Requirement of a formal environmental assessment of certain plans and programmes which are likely to have significant effects on the environment</p> <p>(Compliance with Law)</p>	<p>Strategic Environment Assessments and Sustainability Assessments judged inadequate / of poor quality and possibility therefore of Planning Inspector or DCLG imposing external conditions on future activity</p>	<p>Strategic Environment Assessments and Sustainability Assessments are accurate and of sound quality</p>	<p>Mick Sutch</p>	<p>I= 3 L= 3 R= 9 Medium Risk</p>	<ul style="list-style-type: none"> Use of consultants/staff expertise Robust intelligence systems Project plan Staff training 	<ul style="list-style-type: none"> Recruitment to vacancy to fulfill role 	<p>Dependent on re-structure</p>	<p>I= 3 L= 2 R= 6 Low Risk</p>

Ref	Source	Event	Planned Outcome	Accountable Manager	Inherent rating (without any controls in place)	Existing Controls	New Tasks/ Actions	Date	Residual rating (with controls in place)
R11	People, Compliance with Law/ Contracts National legislation	Not meeting DDA/Race Equality requirements; Equalities not fully embedded in business plans; Directorate fails to achieve EFLG Level Excellent	Compliance with legislation; Equalities culture fully embedded across all services	Sukhi Bains	I = 3 L = 3 R = 9 Medium Risk	<ul style="list-style-type: none"> • EHW Equalities Group • Consultation procedures • Promotion of training opportunities to staff • EIA work • Specific actions in Business plans • Embedded in project management toolkit • Access to key demographic and economic data via Kent View • Link to Level Playing Fields, UNITE, Rainbow forums as well as the DDA access group • New Equality and Diversity Officer recruited Dec 08 	<ul style="list-style-type: none"> • Development of new Equalities evidence framework incorporating initiatives required to achieving EFLG level Excellent • Further promotion and monitoring of staff training • Monitoring of evidence via EHW Equalities Group 	Jan 09 onwards Ongoing Ongoing	I = 3 L = 2 R = 6 Low risk

By: Overview, Scrutiny and Localism Manager
To: Environment, Highways and Waste Policy Overview and Scrutiny Committee
22 January 2010
Subject: **SELECT COMMITTEE - UPDATE**
Classification: Unrestricted

Summary: This report updates Members on the progress to establish the Select Committee on Renewable Energy

Select Committee: Renewable Energy

1. (1) At its meeting on 16 October 2009 the Policy Overview Co-ordinating Committee (POCC) agreed to establish a Select Committee on Renewable Energy. This Select Committee falls within the remit of this Policy Overview and Scrutiny Committee (POSC).

(2) The Membership of the Select Committee is as follows; Mr Keith Ferrin, (Chairman Elect), Mr Richard King, Mr Charles Hibberd, Mr Chris Smith, Mrs Elizabeth Tweed, Mrs Paulina Stockell, Mr David Hirst and Mr Tim Prater.

(3) It has been agreed that Ms Sue Frampton, the Research Officer supporting the review would start preparatory work on developing the terms of reference and scope for this review. The Select Committee will start its work in January 2010 and submit its report to County Council on 14 October 2010.

(4) Regular update reports will be submitted to this POSC to keep Members informed of the progress of this Select Committee.

Recommendation

2. Members are asked to note the update report.

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Background Information: *Nil*

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