

By: Pete Raine, Managing Director

To: Environment & Regeneration Directorate Policy Overview Committee

Subject: Directorate Annual report 2006/07 – year end elements

Classification: Unrestricted

Summary: An annual summary of four key elements of the quarterly reports that are considered by the management team are made available to enable POC Members to examine the Directorate's performance in these areas.

Introduction

1. The Directorate Strategy Team (DST) receive a quarterly report that covers a range of operational management issues such as performance monitoring, HR information and health and safety updates.
2. The KCC Annual Plan (item B2) gives an end of year summary of much that features in the quarterly management reports. However, four areas as not covered in as much detail in the Annual Plan and are included with this report so that Members have the opportunity to review them.
3. The four areas are customer feedback, equalities, risk and internal controls, and consultations and research.

Recommendation

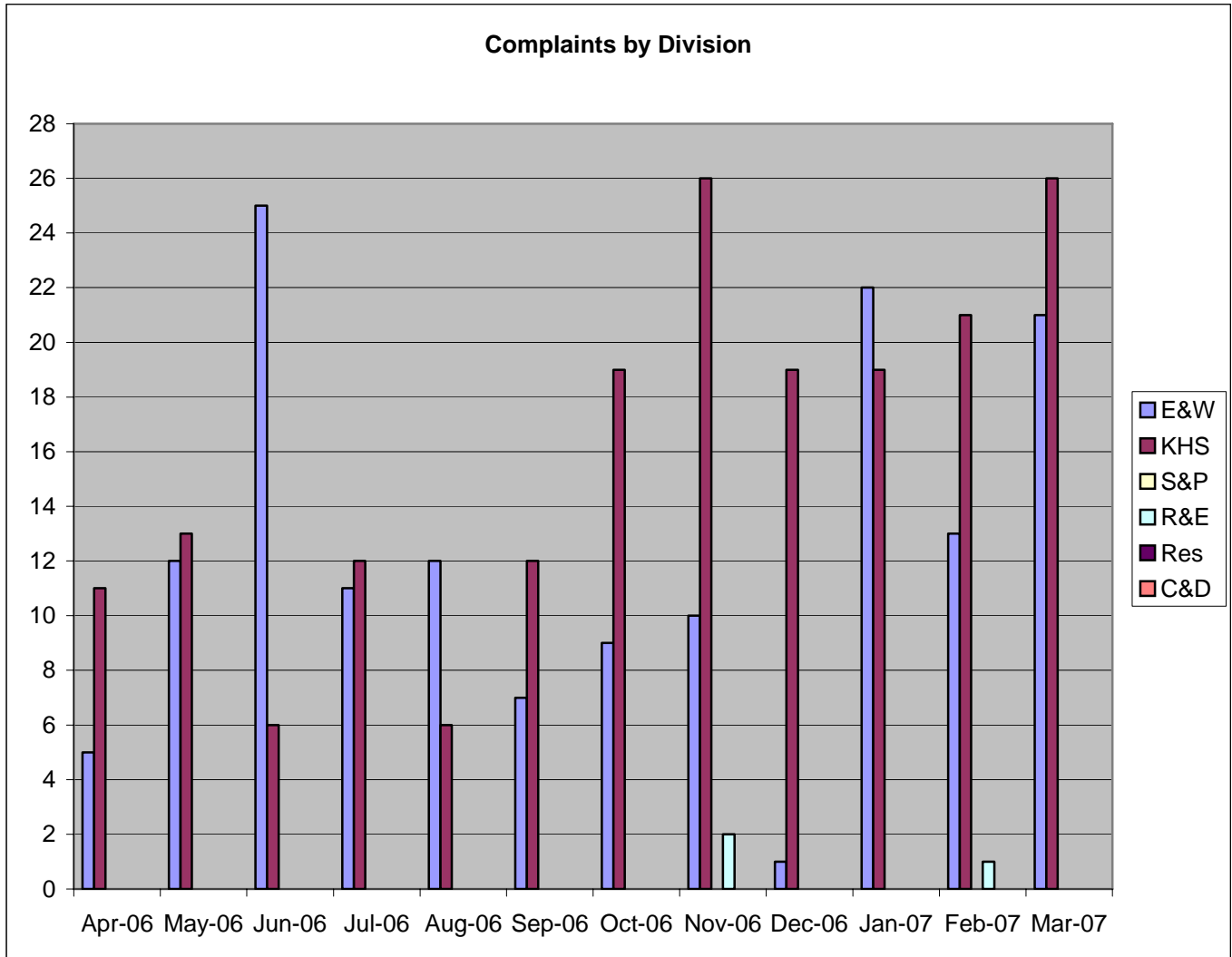
4. Members are asked to review the performance of the Directorate in these four areas of activity and comment accordingly.

Contacts: Alan Loft (ext 1955); Kelli Davis (ext 6836)

➤ Customer Feedback

The purpose of this Customer Feedback section is to provide information about the operation of the E&R complaints/compliments procedure between 1 April 2006 and 31 March 2007. This includes information regarding the number of complaints/compliments received, acknowledgement times, Customer Feedback Questionnaires and an update on developments relating to the operation of the procedures.

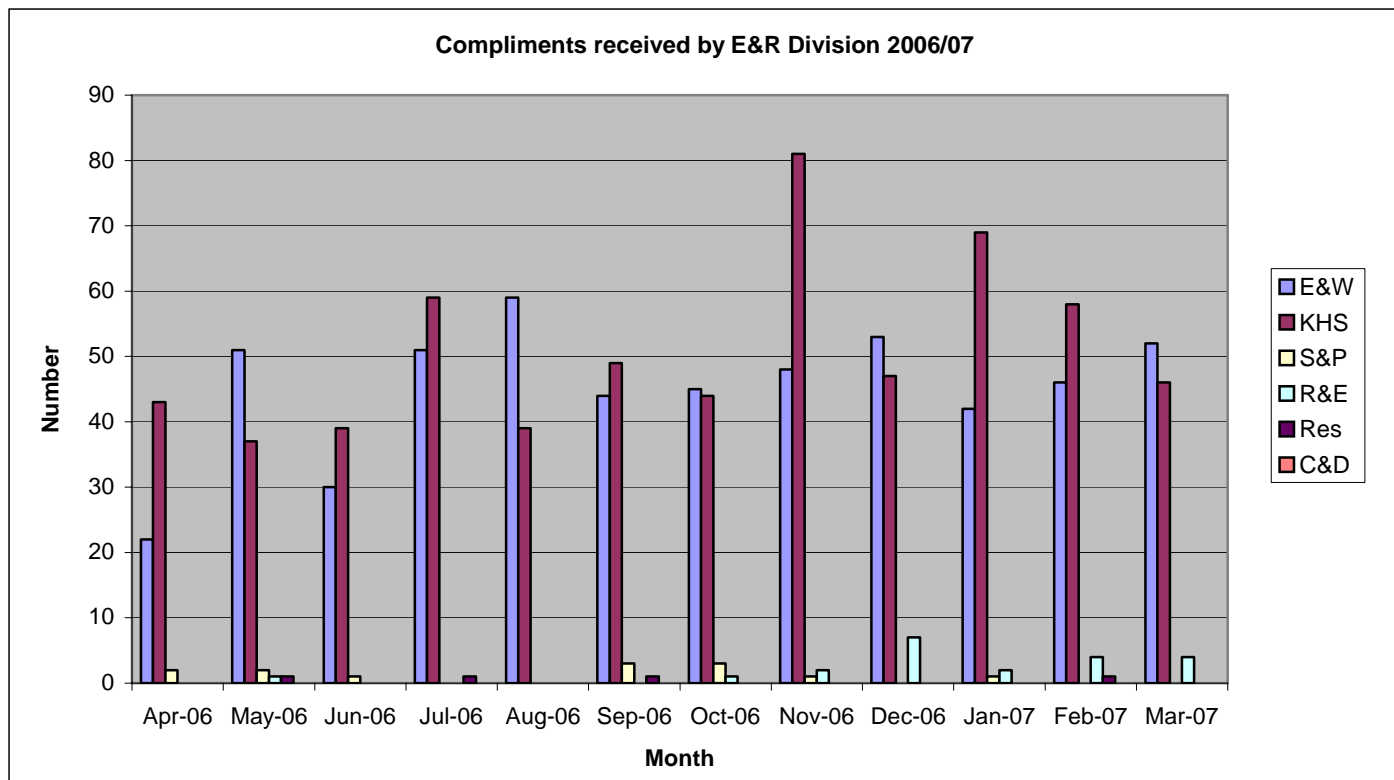
The Number of Complaints and Compliments Received:



Comments:

- In total, 341 complaints were received by E&R between April 2006 and March 2007; not surprisingly, as frontline services, 56% of these complaints were received by KHS and 43% by E&W.
- Numbers of complaints has generally increased from April 2006 to March 2007.
- Although the numbers of complaints has increased, this does not necessarily represent a decline in the standard of service provided by E&R. This increase almost certainly reflects the effectiveness of the improved reporting procedure now in place. It also reflects that people are better informed about our complaints procedure and people are willing to exercise their right to complain if they are not happy with the service(s) they received.
- Complaints are a useful form of feedback from our customers and provide the Directorate with the opportunity for service recovery and to learn lessons where the service has not been to the standard expected.

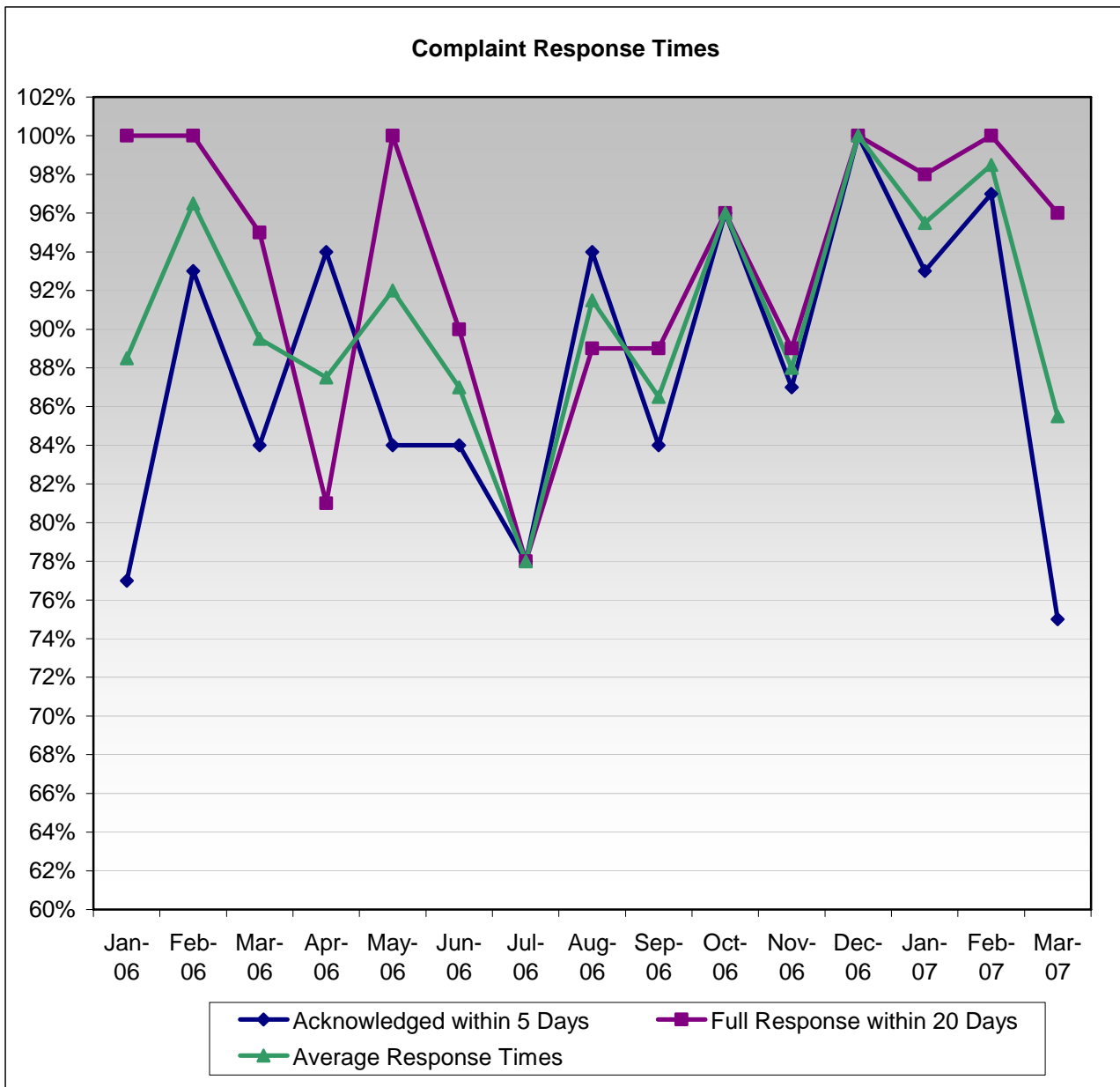
The Number of Complaints and Compliments Received continued:



Comments:

- In total, 1192¹ compliments were received by E&R between April 2006 and March 2007. Once again the majority of these were received by KHS (51%) and E&W (46%).
- Compliments have also generally increased between April 2006 and March 2007.
- Copies of all external compliments are filed and provided to the Managing Director of E&R on a quarterly basis.

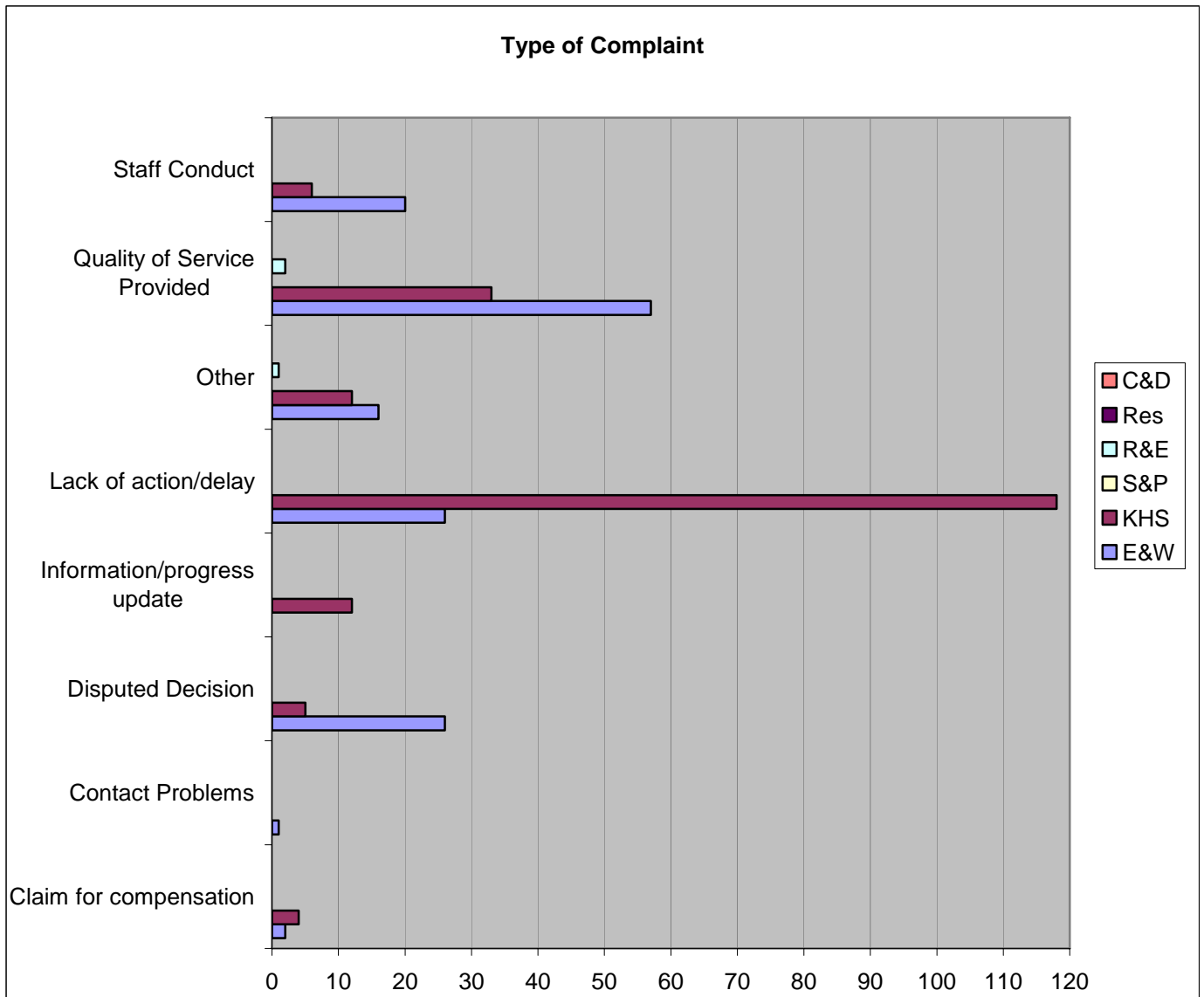
Complaint Response Times:



Comments:

- The E&R Customer Service Performance Standards Policy sets clear timescales for providing a response to complaints; acknowledgment within 5 working days and a full response within 20 working days.
- As shown by the line graph above, acknowledgement and response times have generally improved between April 2006 and March 2007. However, a significant downturn in performance with regard to acknowledgements was seen in March 2007. Senior Managers within KHS and E&W were asked to address this area of poor performance in the recent Customer Feedback Report.
- A great improvement in response times was seen between July 2006 and August 2006. This may be due to the publication of the E&R Customer Service Performance Standards Policy on 18 July 2006. This policy clearly identifies what is expected of staff when responding to enquiries and service requests.

Complaint Type:

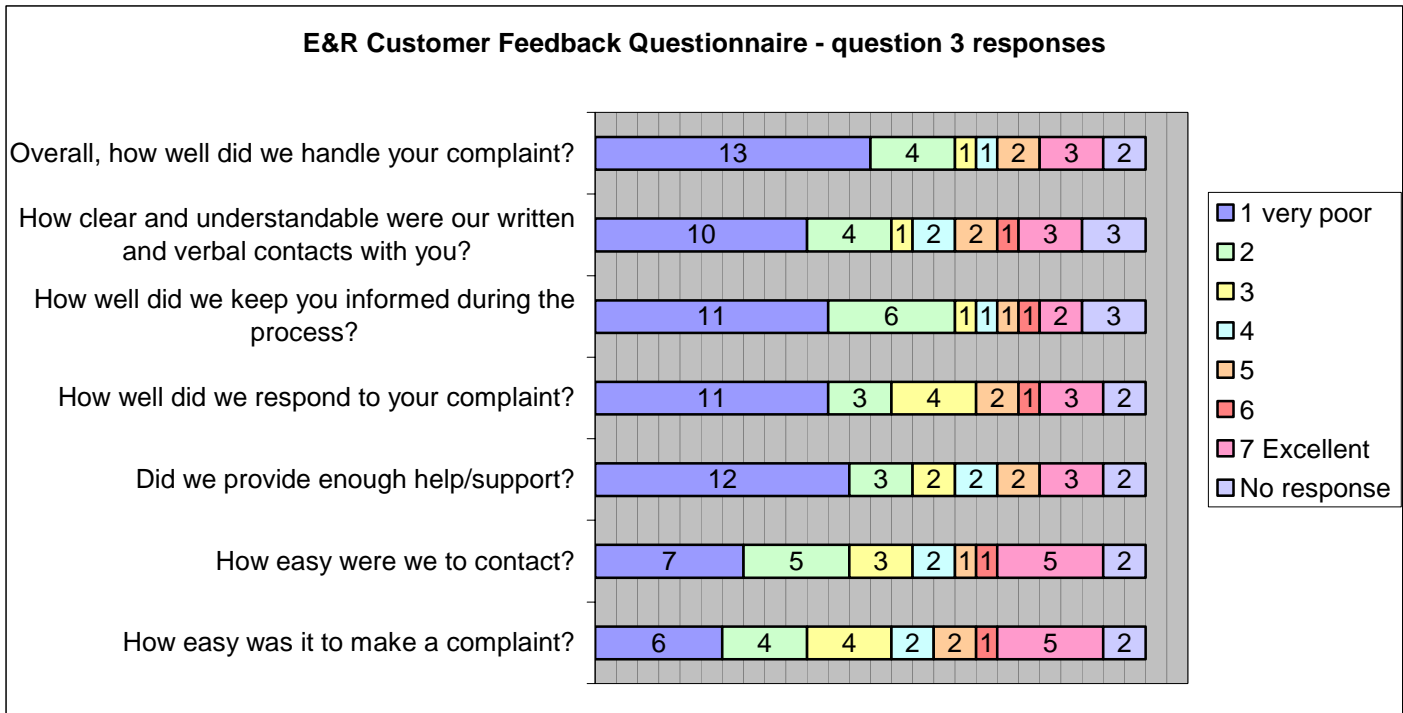


Comments:

- The most common type of complaint received by the Directorate was regarding Lack of Action/Delay (accounted for 42% of complaints) followed by Quality of Service Provided (which accounted for 27%).
- Complaints categorised as concerning Lack of Action/Delay tended to be about the failure to carry out requested highway works. Typical examples included street light repairs, blocked road gullies and potholes.
- Complaints categorised as concerning Quality of Service were generally about the Household Waste Recycling Centres (operated by Contractors to KCC). Typical examples of complaints included staff attitude at the sites, containers being too full up to use and the time it took for the containers to be changed.

Customer Feedback Questionnaire:

Customer Feedback Questionnaires were sent out to all people who complained and provided contact details between January 2006 and December 2006 in order to track whether complainants were satisfied with the responses they received. Results to date are as follows:



Comments:

- Of the 143 E&R Customer Feedback Questionnaires sent out only 26 (18%) were returned. This is a typical response rate for postal surveys (please see comment below)
 - The results indicate that the Directorate has good processes in place; the problems lie with the way we handle these. The Service Standards Project Board will discuss how to address the culture change needed to begin to handle complaints in a more effective way. Feedback and recommendations will be summarised in the subsequent Customer Feedback Report. Learning and Development certainly will be targeted to address the behaviours required to respond to complaints more effectively
 - The questionnaire also included an equalities monitoring section, which allows us to identify whether we are providing a good level of service to all members of our community. The results of this section of the questionnaire are, to date, as follows:
 - 22 respondents said they were White British, 4 did not respond to this question
 - 14 were aged 25-59, 4 were aged 60-64 and 4 were aged 65+, 4 did not respond to this question
 - 4 respondents considered themselves disabled, 17 did not, 5 did not respond to this question
 - 16 respondents were male and 6 were female, 4 did not respond to this question
- Some of the people who returned questionnaires felt that the Equalities monitoring section was not relevant and therefore did not complete it.
- This postal survey produced a low response rate, with a 25% response rate being hoped for. The main disadvantage in this instance is the problem of small samples flowing from the low response rates. This in turn means that there is every chance the results of the survey are unrepresentative. The questionnaires may well have been completed by the most satisfied or conversely those who see the questionnaire as a convenient medium for complaining further – with the scores then being generally skewed towards the extremes. The problem is not knowing what the non-responders think. Despite this we take the results seriously and will put in place an action plan to improve future performance.

Learning the Lessons from Complaints:

- E&R continues to use complaints and compliments as useful feedback. Information on complaints and compliments are collected from each E&R Division on a monthly basis by the Performance Team. The aggregated data is analysed in a monthly Customer Feedback Report and circulated to the E&R Service Standards Project Board for discussion and comment. Following this, the monthly report is distributed more widely to the Directorate's Portfolio Holders, KCC Chief Executive, the E&R Directorate Strategy Team (DST) and E&R Senior Managers so that any themes and issues can be identified and actioned as necessary.
- For example, in January 2007, 55% of the complaints received by Environment and Waste (E&W) were regarding disputed decisions. The decisions in question were the pay and display parking fees at the Country Parks and the height barrier policy at the Household Waste Recycling Centres. Following the circulation of the Customer Feedback Report, these issues were raised at the E&W Leadership Team, where suggestions were made as to what they could do to combat receiving so many complaints about these issues. Ideas, such as displaying prominent signs communicating these policies to the public and hopefully pre-empting any complaints, were then passed to the appropriate managers to action as necessary.
- The Customer Feedback Report also identifies whether any of the complaints received were concerning an equalities issue. If so, this is reported and then actioned as necessary by the E&R Equalities Group Chair, who is a member of the circulation list mentioned above.
- The Customer Feedback Questionnaire also includes an Equalities monitoring section. Although we explain what our aims are with regard to this section of the questionnaire, it would appear from the returns we have had that some people resent the questions raised. It would therefore perhaps be appropriate for our aims to be explained in more detail and include an outline of our legal requirements with regard to equalities. A note could also be added to ensure people are aware that there is no obligation to complete this particular section.

Other Developments:

- E&R recognise that we rely on our staff to deliver good customer care. Therefore, for example, we have offered Plain English Training to key members of staff around the Directorate to ensure they are well trained and proficient in responding to Customer enquiries.
- E&W are following the Charter Mark Framework to gauge their current position with regard to customer care. Although the Charter Mark is under review, and the outcome of this is not due until autumn 2007, it is believed that two of the existing criteria will be carried over into any revision and therefore E&W are focusing on these two areas at present. These areas are: '*Set standards and performs well*' and '*Be actively engaged with your users and staff*'. A Customer Focus Group has been established in E&W to lead on this work.
- E&R believes it is important that we are all familiar with the requirements of the policies and that managers promote awareness and compliance within their teams with regard to customer care. Therefore a series of meetings with each of the Business Officers across Kent Highway Services (KHS) has taken place to discuss how the issue of customer service is being taken forward within their teams. The focus of these visits was concentrated on the following key areas:
 - Standards & Policy Awareness
 - Roles & Responsibilities
 - Acknowledgments & Responsibilities
 - Recording Compliments & Complaints
 - Provision for Unavailability and 'Out of Hours'
 - Communication Channels
 - Training

The outcomes of these visits as well as recommendations were forwarded to the KHS Business Development Manager for action in February 2007.

Similar visits have now been arranged for groups across the E&W Division for June 2007.

Consultations:

Please see Appendix 1 for the E&R Consultations and Research 2006/07 summary spreadsheet, which details where applicable the Division, Project, Lead Officer, when it was carried out, the objective, the target group, the target area, how people could get involved, the outcome, the actions for outcome, how the results were fed back and the update position in January 2006, September 2006 and March 2007.

Consultation Summary:

- South East Plan; Public Consultation on SE Plan prior to Examination in November 2006: KCC invited to participate in more Examination in Public sessions on core policies than any other Council.
- *Fastrack* User Satisfaction Surveys: Passenger numbers 50% above expectation and 95% satisfaction levels amongst users.
- For the first time since 1987 the highway service has more people happy with condition of roads, pavements and streetlights than dissatisfied. This is a significant step and the first time in 10 surveys. A further survey is planned for late 2007.
- For the first time in 2006 KHS asked both County Members and Parish Councils the same questions that they asked the public and their views contradicted that of the public. In other words there are more Parish Councillors and County Members dissatisfied with the condition of roads, pavements and streetlights than satisfied, which is a different view to that of the public. A summary report on resident's views of schemes completed by KHS is being used to improve delivery of both maintenance works and highway improvements; this includes views of Parish and County Members together with those of the public.
- The tracking of service requests into the contact centre has enabled KHS to create an annual press release schedule to get ahead of issues i.e. a vast increase in grass and hedge calls in May means that KHS do a press release in April saying that we cut highway trees but private hedges next to the road should be cut by the resident who owns it and not KHS. Our call back surveys to residents who have logged a service request are enabling us to understand their reasons for being un-happy with KHS which is generally slowness to respond or to keep them up-to-date with what is going on.
- Of the people who have contacted KHS 39% are satisfied with the service but 50% are not and the issues are around perceived lack of action and time to respond so more work is needed here.
- Only 9% of the public have ever contacted KHS to report a problem whereas 100% of parish and County members have hence the different perception of the service. KHS need to do more to keep the public informed if they have logged a call with us or repair things more quickly.
- The tracker survey indicates that 24% of people are aware of the single number to contact KHS and more will be done to raise the brand profile of KHS via leaflets and press releases. KHS are using the information in their transformation process to help them re-shape the organisation fit for the future.

➤ Equalities

Achievements:

Equality Standards for Local Government (ESLG)

The purpose of an Equality Impact Assessment is to review our policies, practices and procedures to improve our work as a directorate by making sure we do not discriminate and that, where possible, we promote equality. These assessments contribute to level 3 of ESLG.

The majority of E&R's screening has now been completed. From the screening process so far, 1 policy has been identified as high impact, 12 medium and the remainder low. The main themes of policies requiring full assessments are disabled access and parking, road works planning, health and safety, travel planning and rights of way improvements

Equality Strategy

E&R contributed significantly to KCC's first Equality Strategy incorporating Disability, Gender and Race Equality Schemes. It has identified five priority outcomes the Council. One of the key areas for E&R is to respond to the priorities identified in the Disability Equality Scheme:

1. Improve roads and pavements
2. Provide good, reliable, accessible and appropriate transport
3. Improve the communication of information and the involvement of people with disabilities

Kent Highways Services are agreeing actions to address these priorities.

Consultation

Throughout 2006/07 there has been various consultation and involvement in E&R's work:

- Agreement for KHS engineers and planners to meet with disabilities groups when designing road schemes
- Web publishers held an interactive workshop to explore how to communicate with people from different cultures and backgrounds
- Completed "By All Means" project which focussed on testing methods for increasing the numbers of disabled people visiting the countryside
- Planned focus groups with people from Black and Minority Ethnic groups in Gravesham and Ashford to understand their needs accessing the countryside
- Improved literature for the public e.g. country parks events leaflet
- Consulted with disabled people when surveying use and non use of countryside

Learning & Development (Equalities & Diversity)

Over 100 staff from E&R attended KCC Diversity in Action Training, more people than any other directorate. KHS piloted an event for 70 of their staff and held a session for senior managers to increase understanding of the Social Model of Disability. Three recruitment workshops have been held for over 30 people to raise understanding of the recent age legislation and its impact on recruitment. Web Publishers had an interactive workshop to explore how to communicate with people from different cultures and backgrounds. E&R have also organised two "Out and About" days in Gravesend to understand different cultures and faiths.

Areas for concern:

- There is an ongoing need to assess the impact of new policies and to consider how this can be done across the directorate. Risk that this work is seen as a "tick box" exercise
- Few mechanisms exist with E&R to involve the community in our work, particularly those from diverse groups or who are seldom heard
- 25% of our recruitment panels have no members diversity trained (Oct 2006 to Jan 2007)
- There is more work to be done to achieve a more diverse workforce and to encourage applicants from minority ethnic communities and disabled applicants. The table below illustrates that we need to do more to meet our targets.

Forward Look:

Focus on work needed for Equality Standard for Local Government Level 3 which will contribute significantly towards evidence for Comprehensive Performance Assessment 2008

BVPI Workforce Equality Statistics:

Best Value Performance Indicators (BVPI)	2006/07 Targets	2006/07 Actuals
BV11a - Female top 5% earners	46.0	24.01
BV11b – Black and Minority Ethnic (BME) top 5% earners	2.0	1.7
BV11c - Employees declaring that they meet Disability Discrimination Act 1995 disability criteria that are in top 5% earners	3.0	5.0
BV16 - Employees declaring that they meet Disability Discrimination Act (DDA) 1995 disability criteria	2.2	1.9
BV17 – Employees from minority ethnic communities	2.4	1.5

➤ Risk

Please see Appendix 2 for the Environment & Regeneration Directorate Risk Register 2007.

The Environment & Regeneration Directorate Managing Director's Statement on Internal Controls and Risk Management processes for year ending 31 March 2007 is as follows:

ENVIRONMENT & REGENERATION DIRECTORATE

MANAGING DIRECTOR'S STATEMENT ON INTERNAL CONTROLS AND RISK MANAGEMENT PROCESSES FOR YEAR ENDED 31 MARCH 2007

The Council is responsible for ensuring that its business is conducted in accordance with the law and proper standards, and that public money is safeguarded and properly accounted for and used economically, efficiently and effectively. In discharging this accountability, members and senior officers are responsible for putting in place proper risk management processes and internal controls to ensure the proper stewardship of the resources at its disposal.

As a Managing Director, I have responsibility for maintaining a system of risk management; and of sound internal controls; within my Directorate to support the achievement of Corporate and Directorate objectives.

The risk management system identifies principal risks and the existing internal controls in place to manage the risks. It puts action in place to test key controls and if appropriate new controls are introduced in order to manage them more efficiently, effectively and economically. The system of internal controls is designed to manage rather than eliminate the risk of failure to achieve objectives; it can therefore only provide reasonable and not absolute assurance of effectiveness.

I am also responsible for reviewing the effectiveness of the system of internal controls in place during 2006 / 2007. My review has taken into account the following

- (i) Outcomes from risk assessment and evaluation
- (ii) Self-assessments of key service areas within the Directorate
- (iii) Internal audit reports and results of follow ups regarding implementation of recommendations
- (iv) Outcomes from reviews of services by other bodies including, Inspectorates, external auditors etc
- (v) Linkage between business planning and the management of risk

Improvements have already been made to controls in certain areas during the year as follows: -

- The criteria used for considering support for socially necessary bus contracts now reflects those agreed by members.
- The production of an integrated budgetary, activity, risk and performance report on a regular basis for DST, identified as a priority in my previous statement.
- Refinement of the directorate risk register
- Improvements in the arrangements with districts regarding coastal protection work

I have also identified certain areas where key internal controls still need to be enhanced. These are as follows:

- Financial, management and activity information relating to the Kent Highway Service alliance, linking together KCC, Ringway, Jacobs and TSUK. The outcomes of an internal audit review are expected soon and this area will need to remain an area of focus in 2007/08 in order to ensure that monitoring information is up to date, reliable and accurate
- The processes for the management and monitoring of the growing capital programme need to be reviewed. There has been a degree of slippage of capital projects and this needs to be examined.

Action plans to introduce these improvements are being developed and I am satisfied that these steps will enhance the system of internal controls. These action plans will be monitored to ensure their implementation and operation. I am also satisfied that except for these matters a sound system of internal control has been in place throughout the financial year and is ongoing.

Signed:

Managing Director:

Pete Raine

Date:

Statement of Control

The Directorate's risk management system identifies the principal risks and the management controls that are in place to manage them. The 2007/08 register lists all risks rated as having at least a medium level impact and a medium level likelihood of occurrence, of which there are 19. For all risks scored above the medium/medium threshold a written action plan is produced setting out the mechanisms for managing the risks in the most effective, efficient and economic way. These action plans are signed off by the Directorate's Strategy Team (DST). The system of internal controls is designed to manage rather than eliminate risk.

As Managing Director of Environment & Regeneration I have responsibility for maintaining a system of risk management and internal control within the Directorate that complements and supports the achievement of corporate and Directorate objectives. Our risk management systems identify and quantify the principal risks we face and the control systems that are in place manage those risks. Key controls are tested and new controls are introduced where needed. The effectiveness of the controls we have in place are tested through risk assessments, self assessment of key areas of activity / risk, internal audit reports and any relevant outcomes from reviews of inspections of our services.

I identified one area in my previous risk and control assessment in April 2006 that needed improvement in 2006/07. Improvements have been made as follows:

Better integration of budgetary, activity, risk and performance information

The directorate has strong, well-established mechanisms for each of the above on an individual basis. Budgetary information is monitored monthly with a strong focus on volatile areas such as KHS and waste management; activity and performance are both picked up as part of T2010, LAA, PSA and business plan monitoring ; and each division maintains and monitors its own risk register when feeds into the overall directorate-wide risk register. While these were all robust processes in their own right they were not integrated in a way that allowed for rapid assimilation by the senior management team. This gap has now been addressed.

Overall I am satisfied that the risk management and control systems we have in place in the Directorate are robust and reliable and that a sound system of internal control has been maintained throughout 2006/07.

REPORT STRUCTURE

Statement of Control

Core Business and service objectives

These are covered fully in the Directorate and Divisional business plans, the KCC annual report, and the KCC medium term plan 2007 – 2010.

Major strategic risks and controls in place

Each of the divisions in the Environment & Regeneration Directorate produces a list of risks that are relevant to its service, updated annually to reflect any changes in business plans. These are summarised and prioritised from a whole directorate perspective and together form the Environment & Regeneration Risk Register for 2007/08. 19 risks are identified as having a risk score of 8 or above and of these ten have a score of 12 or above, and these are a particular focus for the Directorate's Strategy team. The overall approach means that risks are recognised and appraised at the most appropriate level within the Directorate.

The Directorate Risk Register is refreshed on a half-yearly basis or when events, either internal or external, are sufficient to trigger a change in the impact or likelihood of any risk. Risks are identified by individual Divisions and risk assessment and management is integrated into business planning processes, ensuring that it is an integral part of the overall management process.

Divisional Business Continuity Plans have been updated setting out how the Directorate would cope with any major disruptions to business (e.g. fire in Invicta House) and how critical services and systems would be maintained, protected and re-started before, during and after a major catastrophe.

The Internal Audit Plan for 2006/07 included audits of seven elements of Environment & Regeneration activity. External value for money reviews have been undertaken by PWC in KHS and waste management and a peer review was undertaken in KHS, led by the Chief Executive. For major capital projects the Directorate links into the corporate Project Approval Group (PAG) and this group scrutinises projects of over £1m in value, including new road programmes and initiatives such as the joint client/consultant/contractor accommodation being progressed as part of the reshaping of Kent Highway Services. In addition, minor improvements to improve the reliability of a key corporate system managed by the Directorate, geographical information systems, have taken place during the year.

Arrangements for checking and ensuring the effectiveness of key control systems and examples of actions taken in 2006/07 to maintain and improve controls

- Internal and external audit programme, including external VFM reviews
- Internal reviews and improvements undertaken by the Directorate, including in 2006/07 improvements to the technical infrastructure of the geographical information system.
- A planned programme of financial review and control undertaken by a dedicated officer in the Directorate's finance team.
- Monthly budget and key volatile activity monitoring and reporting
- Monthly monitoring of workforce numbers and equality and DDA monitoring.
- Six monthly monitoring of Best Value Performance Indicators (where this is possible) and business plan targets.
- Regular health and safety audits at key operational sites.

- Environment & Economy Division achieved re-accreditation of ISO14001 (environmental management standards) and maintained IIP accreditation.
- A dedicated in-house team, supported by external consultants, were established to take forward the next stage of transformation of Kent Highway Services and its alliance partners Jacobs, Ringway and TSUK.

Evaluation of the effectiveness of the controls during 2006/07

Controls have been both effective and secure. Issues raised by audits or reviews have been addressed and new procedures and capacity has been introduced to address gaps in certain areas, such as public transport contracts.

There has been some adverse press coverage during 2006/07 related to investment by KCC in regeneration initiatives, particularly the Manston-based EUJet and Virginia Flights projects. Regeneration projects will always, by their nature, have a higher element of risk associated with them than many of the other activities the council engages in and adopting a totally risk-averse approach would seriously impact on KCC's efforts to improve the circumstances of Kent's less well-off areas. We will continue to take a balanced approach to risk in areas like regeneration, taking into account potential costs and benefits while accepting that, on occasion, things will not turn out as we would wish.

Summary of new action to be taken in 2007/08

There are two areas where action is needed in 2007/08 to improve performance and reduce risk.

- The new financial monitoring and monitoring arrangements within the KHS and its alliance partners, in particular the linkages and robustness of systems through which job and cost information is managed, need to be examined.
- Improvements in the programming and planning of major capital projects are required in order to reduce the risk of unplanned or unexpected slippage

Overall Summary

There are robust controls in place in the Directorate, many of which have been in place for a number of years and have been proven to be effective and reliable. Controls are reviewed and tested and where gaps or weaknesses are apparent they are corrected.

We are aware that weaknesses remain, for example asset management and replacement, but addressing this issue (e.g. the known backlog in road maintenance) would require very substantial additional resources that are simply not available. In such cases we take an active risk management approach to our work programmes, prioritising effort using sound and well developed asset management models. This approach will continue enabling us to maximise outcomes while minimising risks.

Location of Evidence

Documentation and reports are kept by individual professional support functions and within the Resources Division. Any inquiries or requests for documentation should be channelled through Alan Loft, Divisional Director.

Appendix 1– Consultations and Research 2007/08

Division	Project	Lead Officer / Contact Details	Carried Out By	Date Carried Out	Objective	Target Group	Target Area	How people can get involved	Statutory Y / N	Outcome	Actions from Outcome	How results will be feedback	Jan. 06 Update Position	Sept. 06 Update Position	March 07 Update
S&P	Sustainability Reviews:														
S&P	Minerals and Waste Development Framework issues and options	Minerals - Richard Feasey x1611 Waste - Sharon Thompson x6052	Strategy and Planning v	Feb 06 - Aug 08	Input to preferred options Process leading up to adoption of plan	Key stakeholders and public	Kent-wide	Basis is determined by Statement of Community Involvement	Yes	Production of preferred options for further consultation	Progression to next stage of process in adoption of MDF and WDF	Report on outcomes on web. Final options will also be subject to Examination in Public where further representation can be made		See entry on Minerals and Waste Development below	
S&P	Minerals and Waste Development Framework consultations			March 06, Aug 06 (plan publication) and Oct 06 (GOSE submission)										As above	
S&P	South East Plan	Tim Martin x1618	GOSE, SEERA	1st April 06 for 12 weeks	Public consultation on SE Plan prior to Examination in November. Minor role on consultation for KCC	GOSE will consult KCC, Districts, all Stakeholders and Public	Kent Wide	Process led by GOSE	Yes	Prepare KCC response to SE Plan prior to EIP	See updates			KCC submitted formal views via Cabinet in June. Government website summarises all views received. Used to inform issues at EIP which opens November 28. KCC is presenting case on housing, economy, transport and development in Kent.	KCC invited to participate in more Examination in Public sessions on core policies than any other Council

Appendix 1 continued – Consultations and Research 2007/08

Division	Project	Lead Officer / Contact Details	Carried Out By	Date Carried Out	Objective	Target Group	Target Area	How people can get involved	Statutory Y / N	Outcome	Actions from Outcome	How results will be feedback	Jan. 06 Update Position	Sept. 06 Update Position	March 07 Update
S&P	Minerals and Waste Development	Sharon Thompson x6052	Internal/Business Support	Various between 2005 – 2007	Requirement of new development framework system	Public, Businesses, Voluntary organisations, Government organisations,									See entry on Minerals and Waste Development below
S&P	Consultations on Planning Applications	Sharon Thompson x6052		Continuous throughout plan period	Required by statute. Basis set out on Statement of Community Involvement (SCI)	Public, Statutory consultees	Kent Wide	Various methods – set out in SCI	Yes	Determination of Planning Applications	KCC standards and objectives are not compromised	Inform affected parties as part of process			BP lists possible applications that may lead to enquiry. Aim is have KCC position upheld
S&P	Kent Prospects	Steve Arnett x1938	Internal/Business Support	March – June 06	To influence final draft	Districts, Growth Area delivery Boards, Area Partnerships, LSPs, Kent Partnership organisations, businesses, FE/HE sector, Voluntary Sector, Public, KCC Directorates	Kent wide	Workshops and through partnerships and organisations	No	Updated strategy					Revised strategy agreed by Cabinet
S&P	Kent and Medway Structure Plan	Richard Feasey x1611		April – May 06	Statutory consultation before formal adoption	Stakeholders and public	Kent and Medway	Various methods – set out in SCI	Yes	Influence final Plan prior to EIP	EIP	Letter and on web		No consultation undertaken as carried out earlier in January prior to formal adoption in July	Plan adopted in July 2006

Appendix 1 continued – Consultations and Research 2007/08

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S&P	Kent Minerals and Waste Development Frameworks	Richard Feasey x1611 and Sharon Thomson x6052	Internal/Business Support	April – June 06(possibly two consultations) November 06 – January 07	Inform preparation of submission document Inform participants of issues for 2007/08 Examination in Public	Stakeholders and public. As Above									<p>Waste Development Document: Spatial Options Evidence Gathering Consultation undertaken July – October 06. Initial report due 18 October. Results will inform WDF Preferred Options Paper due Jan/Feb 07. Consultation outcomes on Kent Joint Municipal Waste Strategy also used to inform WDF and vice versa.</p>	Now progressing as part of consultation listed at row 2

Appendix 1 continued – Consultations and Research 2007/08

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S&P														<p>Minerals Development Document: Consulted on three preferred options development plan documents (Core Minerals Strategy, Generic Development Control Policies and Construction Aggregates,) in June/July 06. Used to inform preparation of submission documents to Government Office due in November 06</p>	Now progressing as part of consultation listed at row 2
S&P	Kent Mineral and Waste Annual Monitoring Report			September - November 06	Inform final report	Stakeholders and public								No formal consultation required but did undertake limited consultation with informed stakeholders to input to final monitoring report	

Appendix 1 continued – Consultations and Research 2007/08

Division	Project	Lead Officer / Contact Details	Carried Out By	Date Carried Out	Objective	Target Group	Target Area	How people can get involved	Statutory Y / N	Outcome	Actions from Outcome	How results will be feedback	Jan. 06 Update Position	Sept. 06 Update Position	March 07 Update
S&P	Planning Applications Customer Survey Consultation	Bill Murphy	Planning Applications	September - November 06	Meet BVPI 111 requirements to canvass customer satisfaction	Service users	Kent Wide	Questionnaire sent to sample of all service users	Yes	Determined rating for service	Reported result to Government and in business plan. Feeds into KCC rating for BVPIs	Via business plan			89% net satisfaction rating achieved
R&E	Developers Guide	Nigel Smith	Internal/Business Support	Spring 06	Input to Developers Guide as basis for determining service provision requirements at major sites	KPOG and sub-groups, Development Contribution Forum, Kent and Medway Chief Executives, Kent Developers Group, House Builders Forum	Kent Wide	Responding to draft guides	No	Agreed basis for calculation of S106 developer contributions for community infrastructure facilities	Report to Cabinet on recommendations	Guide is "hooked" into V4K and therefore will stand as SPG that developers will need to take into account when undertaking developments		Took form of an informative presentation on direction and current state of guide to feed into more formal consultation process planned for Autumn 06	Guide agreed by cabinet
R&E	Public Realm - East Kent	Val Hyland, George Chandler	Possibly DTW (to be confirmed)	Dec-06	Inform Living Landmarks lottery bid and ongoing development of Natural Park initiative	Stakeholders	East Kent		No	Bid made for lottery funding				Some consultation work undertaken as part of Consultants study brief to help inform a post Living Landmarks Lottery bid. Consultant's report due 18 October and will include consideration for further stakeholder engagement process as project moves forward	Bid unsuccessful.

Appendix 1 continued – Consultations and Research 2007/08

Division	Project	Lead Officer / Contact Details	Carried Out By	Date Carried Out	Objective	Target Group	Target Area	How people can get involved	Statutory Y / N	Outcome	Actions from Outcome	How results will be feedback	Jan. 06 Update Position	Sept. 06 Update Position	March 07 Update
R&E	Ashford Ring Road	John Calder	KCC	Apr-06	To inform public of the scheme	Public	Ashford	Public meetings, letters and exhibitions	No	To raise awareness of scheme proposal	Progress scheme			Took form of public exhibition in June. On-going stakeholder meetings to keep public informed prior and during construction of scheme	CIF funding bid secured to press ahead with proposal
R&E	New Town Road Bridge	John Calder	KCC	Summer 06	To inform public of the scheme	Public, key stakeholders	Ashford	Public meetings, letters and exhibitions	No	To raise awareness of scheme proposal	Progress scheme			Delayed to Spring 07 as Network Rail have been slow to engage in scheme	See previous entry
R&E	Queenborough/Rushenden Masterplan	Hilary Coleman	SEEDA	Jan 05 – June 06	Inform knowledge of community needs	Public, key stakeholders	Queenborough/Rushenden			Development for area	Agreed priorities for development of area			Outcomes included in submissions to Swale Borough Council and also to support Heritage Lottery bid focussing on Queenborough Old School and Library community project which is being led by the local Town Council with support from KCC officers	Proposed masterplan with Swale BC for consideration

Appendix 1 continued – Consultations and Research 2007/08

Division	Project	Lead Officer / Contact Details	Carried Out By	Date Carried Out	Objective	Target Group	Target Area	How people can get involved	Statutory Y / N	Outcome	Actions from Outcome	How results will be feedback	Jan. 06 Update Position	Sept. 06 Update Position	March 07 Update
R&E	Sheerness Masterplan	Hilary Coleman	Swale Forward	Summer 06	Local input into town development and improvement	Public, public and private sector stakeholders	Sheerness		No	Development for area	Agreed priorities for development of area			Outcomes feeding into masterplan process and submission due in November 06	Proposed masterplan with Swale BC for consideration
R&E	<i>Fastrack</i> user satisfaction surveys	David George	<i>fastrack</i> Delivery Executive	October	Find out user views on and use of service	Public	Dartford and Gravesend	User surveys	No	Monitor use of service and satisfaction levels of users	Performance report	Fastrack website		Planning for survey underway for October collection and reporting in November	Passenger numbers 50% above expectation and 95% satisfaction levels among users
R&E	No Use Empty Initiative	Susan Pledger	KCC	March – April 06	Encourage owners/developers to renovate empty properties	Owners and developers	Swale, Dover, Thanet and Shepway districts	Direct contact	No	Help raise awareness of designed e to meet PSA2 target	Bring empty homes back into occupied use	Via designed plan and reporting on PSA2		Negligible response though analysis confirmed assumptions made during project development	on Schedule to deliver above target
R&E	Traffic calming and management measures in Leybourne area	Geoff Cripps	KCC	Apr-06	Assessment of traffic calming options	Public, stakeholders, local Member, parish council and local resident associations	Leybourne and West Malling	Notices and meetings	No	Raise awareness of options	Shape final proposals			Report submitted to Tonbridge and Malling Transport Board and KCC Highways Advisory Board. Works being designed and programmed	Works completed

Appendix 1 continued – Consultations and Research 2007/08

Division	Project	Lead Officer / Contact Details	Carried Out By	Date Carried Out	Objective	Target Group	Target Area	How people can get involved	Statutory Y / N	Outcome	Actions from Outcome	How results will be feedback	Jan. 06 Update Position	Sept. 06 Update Position	March 07 Update
R&E	Everards Link Phase 2	John Turner	KCC	Summer/Autumn 06	To inform community of proposed option as part of planning application process	Public, key stakeholders	Dartford and Gravesend	Notices and meetings	No	Raise awareness of options	Shape final proposals			Consultation being undertaken within overall planning application processes	Construction started on final scheme proposals
R&E	Greenhithe Station Upgrade	Richard Shelton	KCC	Summer 06	To inform community of proposed option as part of planning application process	Users of Greenhithe Station	Greenhithe	Notices	No	Raise awareness of options	Shape final proposals			Delayed to Spring 07 as Network Rail have been slow to engage in scheme	See previous entry
R&E	Kent Rural Delivery Framework	Stuart Gibbons/Liz Craven	KCC	July – September 06	To inform and guide the development of the Kent Rural Strategy and the resultant action plan	Kent Rural Board, Rural stakeholders	Kent Wide	Stakeholder groups	No	Produce a draft consultation framework	Consulted further on draft framework	Stakeholder groups		Currently analysing responses	Consultation undertaken and draft action plans being prepared as a result
R&E	Kent Rural Opinion Survey	Tony Atkinson	Action with Communities in Rural Kent	Summer 06	Guidance for Action with Rural Communities in Rural Kent business plan and Kent Rural Strategy/framework for delivery	Parish Councils, Village Hall Committees, other rural champions	Kent Wide	Stakeholder groups	No	To inform Kent Rural Delivery Framework Consultation	See above	See above		Bi-annual survey last undertaken in 2005 so no action planned for 2006. Next survey due 2007 subject to funding provision	See above
R&E	Leader+ Rural Development Funding (2007-13)	Christine Taylor	KCC	May-06	Development of next Mid Kent LEADER+ Programme	All delivery agents and programmes for rural development	Mid Kent area covered by programme	Through project officers	No	To inform future programme parameters				Workshop held in May with outcomes forming paper to DEFRA for local action groups views for next programme projects	See previous entry

Appendix 1 continued – Consultations and Research 2007/08

Division	Project	Lead Officer / Contact Details	Carried Out By	Date Carried Out	Objective	Target Group	Target Area	How people can get involved	Statutory Y / N	Outcome	Actions from Outcome	How results will be feedback	Jan. 06 Update Position	Sept. 06 Update Position	March 07 Update
R&E	Public Realm Strategy Workshops	Katherine Putnam	KCC	Apr-06	To inform Public Realm Strategy	Public, key stakeholders	Kent Wide		No					Outcomes feeding into final strategy that itself will be embedded in LDFs	See previous entry

Appendix 1 continued – Consultations and Research 2007/08

Division	Project	Lead Officer / Contact Details	Carried Out By	Date Carried Out	Objective	Target Group	Target Area	How people can get involved	Statutory Y / N	Outcome	Actions from Outcome	How results will be feedback	Jan. 06 Update Position	Sept. 06 Update Position	March 07 Update	
E&W	County Parks Users Survey	Graham Dear	Internal	Yearly	To inform improvements in service and to understand more how the service is used	Visitors to Country Parks										One of the projects of the new Countryside Programme focuses on Customers and what they want from the service. Some actions from that project: In October some staff from the country parks will be mystery shopping some of their "competitors" and some E&W staff will be mystery shopping our parks. This data will be analysed and an action plan drawn up to address issues and learn from other ideas. The annual user survey (referred to in this table) is being revised and will not be used until summer next year. It is hoped to use SNAP software and hand-held devices to get the results automatically downloaded and analysed. This will then be used by staff to make improvements to the service.

Appendix 1 continued – Consultations and Research 2007/08

Division	Project	Lead Officer / Contact Details	Carried Out By	Date Carried Out	Objective	Target Group	Target Area	How people can get involved	Statutory Y / N	Outcome	Actions from Outcome	How results will be feedback	Jan. 06 Update Position	Sept. 06 Update Position	March 07 Update
E&W	Home Composting Initiative	Belinda Moran	Compost Bin Supplier (Currently Blackwells)	Annually	To find out whether people are happy with their bin, the service they receive etc to inform service improvements	People buying a Home Composter through the KCC scheme								Survey undertaken earlier this year – results came back in May 2006. Due to a lot of complaints about the service the contract has been stopped. Kent has successfully applied to be part of a new national WRAP scheme to supply compost bins and so a new contract is being negotiated.	

Appendix 1 continued – Consultations and Research 2007/08

Division	Project	Lead Officer / Contact Details	Carried Out By	Date Carried Out	Objective	Target Group	Target Area	How people can get involved	Statutory Y / N	Outcome	Actions from Outcome	How results will be feedback	Jan. 06 Update Position	Sept. 06 Update Position	March 07 Update
E&W	Rights of Way Improvement Plan	Ian Baugh	Probably Internal	Summer 2006	To test the emerging themes coming from the results of the initial consultation on the publication of draft ROWIP later in the year	Public & Partners								Consultation currently being finalised and will be "launched" at the Access Conference in November, will be made available on the internet and wider (final details not yet agreed). This consultation will be testing the prioritisation of issues raised during the initial consultation. Results expected February 2007. Draft ROWIP to be published June 2007.	
E&W	Environment Attitude Survey	Clare Saunders	Internal	Spring 2006	To get some baseline data on KCC's staff attitudes to recycling and other awareness and action campaigns, plus it will be used as a means of raising staff's awareness on these issues	KCC Staff								This consultation is due to go out to staff in KCC in mid-October through the Extra Mail system.	

Appendix 1 continued – Consultations and Research 2007/08

Division	Project	Lead Officer / Contact Details	Carried Out By	Date Carried Out	Objective	Target Group	Target Area	How people can get involved	Statutory Y / N	Outcome	Actions from Outcome	How results will be feedback	Jan. 06 Update Position	Sept. 06 Update Position	March 07 Update
E&W	Saxon Shore Way Guidebook Reader Feedback	Sally Pike	ENV-CA	Oct-06	To gain feedback on the guidebook and its marketing, and to gain contact details for permission-based DM	Guidebook readers								Not defined	
E&W	Explore Kent Website	Rebecca Lacey	ENV-CA	Jul-06	To gain feedback on the features and usability of the Explore Kent website, and to gain contact details for permission-based DM	Explore Kent web users (-ve)								Page on Explore Kent	
E&W	Countryside Access Improvement Plan Priorities Stakeholder Consultation	Colin Finch	ENV-CA	Nov-06	To find stakeholders top 15 priorities for the Countryside Access Improvement Plan	CA Conference Delegates								As part of CAIP, and section on PROW web pages	
E&W	Countryside Access Improvement Plan Priorities Public Consultation	Colin Finch	ENV-CA	Nov-06	To find public's views on what their top 15 priorities are for the Countryside Access improvement Plan	Motivated General Public								As part of CAIP, and section on PROW web pages	
E&W	Country Parks Service User Surveys	Amanda Dunk & Judith Roberts	ENV-CA	Spring 07	TBC	Visitors to all KCC Countryside sites								TBC	

Appendix 1 continued – Consultations and Research 2007/08

Division	Project	Lead Officer / Contact Details	Carried Out By	Date Carried Out	Objective	Target Group	Target Area	How people can get involved	Statutory Y / N	Outcome	Actions from Outcome	How results will be fed back	Jan. 06 Update Position	Sept. 06 Update Position	March 07 Update
KHS	Call Back Survey	David Thomas	Contact Centre	Monthly	To gauge level of customer satisfaction with service	100 users	Kent	Calls are made to people who have logged a service request	No	survey results to Measuring success group and Alliance board	Results are service area based (i.e. street lighting) and results shared with accountable managers.	Newsletter distributed to Performance Officers, Comms Officers and the overall result goes to Board	Survey to be reviewed and input from external research companies.		Revised survey launched April 2007 but using Contact Centre staff
KHS	Completed highway project feedback survey	David Thomas	Divisions	As project completed	To gauge level of customer satisfaction with roadworks undertaken in their residential area	Residents, Cty Members and Parish/Town councils	Kent	If residents have lived next to roadworks they could be invited to complete a questionnaire	No	A report is produced for each scheme surveyed. An annual report is then produced with recommendations for improvement	Recommendations for improvement shared with accountable managers	Annual report together with individual reports for each project surveyed			Surveys continuing as last year
KHS	Section 38 New development feedback	Ashley Ralph	HQ	As development is completed	To gauge level of customer satisfaction with KHS involvement in new developments	Residents	Kent	If residents have moved into a new development they could be asked to complete a questionnaire	No	A report is produced for each scheme surveyed. An annual report is then produced with recommendations for improvement	Recommendations for improvement shared with accountable managers	Annual report together with individual reports for each project surveyed			Surveys continuing as last year
KHS	Scheme Consultation	KHS Divisions	KHS Divisions	As project develops	To gauge resident involvement with schemes	Residents	Kent	If a scheme is likely to impact on local residents they will be asked to participate in the consultation process	No	A design concept is finalised		Residents are informed of the proposed scheme to be taken forward			Consultation takes place on relevant schemes
KHS	Press Coverage	Claire Knight	KHS Comms and Marketing team	Weekly	To gauge customer satisfaction	Newspaper readers	Kent	n/a	No	a monthly report on the positive and negative press coverage		Monthly report			Monthly review continues



Appendix 1 continued – Consultations and Research 2007/08

Division	Project	Lead Officer / Contact Details	Carried Out By	Date Carried Out	Objective	Target Group	Target Area	How people can get involved	Statutory Y / N	Outcome	Actions from Outcome	How results will be fed back	Jan. 06 Update Position	Sept. 06 Update Position	March 07 Update
KHS	Tracker Survey	David Thomas	BMG Research	December	Measure level of public satisfaction	1200 residents, County Members, Parish/Town Councils	Kent	If picked as part of the sample survey	No	Annual report and HAB report	Report shared with staff	Annual report			Next survey Nov 2007
KHS	Staff Survey	Kay Groves / David Thomas	BMG Research	June and Dec	Measure Job Satisfaction and attitudes to change	KHS staff across the Alliance	Staff	All staff invited to take part	No	Report	Report shared with staff and actions developed by Executive	Report every six months			Next survey June 07
KHS	Parish Council Liaison	KHS Business Officers	KHS Business Officers	Monthly	To get feedback regarding satisfaction and resolution of current issues	Parish Councils	Kent	Parishes are contacted by KHS staff	No	Action by Division to address issues raised	n/a	n/a			Call backs continues
KHS	Access Group Liaison	Nicola Mclish	HQ	Regular meetings	Information gathering, dissemination and action on issues	Mobility impaired residents	Kent		Yes						
KHS	Kent Reference Panel	Nicola Mclish	HQ	Regular meetings	Review policies, update current DDA legislation and to reflect issues	Residents	Kent		Yes						

Appendix 2 – E&R Risk Register 2007

Environment & Regeneration Directorate Risk Register 2007

This is the Environment & Regeneration Directorate Risk Register for 2006 – 2007. It details all anticipated risks having at least a medium level Directorate wide impact and a medium level likelihood of occurrence i.e. scoring 8 or more using the risk rating matrix below. In addition to this Directorate register, each Division of the Directorate has its own risk register. The focus for the Directorate register is on cross-cutting risks affecting the whole Directorate or at least several Divisions. Major risks to service delivery mostly affect a single Division and are therefore contained within Divisional registers, unless their impact is so great that the business continuity of the whole Directorate would be compromised. The Directorate register is agreed by the Directorate Strategy Team and each Division register by the respective Divisional Management Team. Monitoring against these registers is undertaken on a six monthly basis.

 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 				

Risks should be scored for impact and likelihood to provide an overall ranking of 'high', 'medium' or 'low'. All scores should be entered onto the risk register.

i.e. Impact = 3: Likelihood = 4: Ranking = Medium

Appendix 2 continued – E&R Risk Register 2007

Each risk is assigned an Accountable Manager who is responsible for action to manage and control that particular risk. For risks scored as 12 or above a written action plan for managing the risk is produced for submission to DST in signing off the register and monitoring on-going progress. Accountable Managers should submit action plans to Kelli Davis, Resources Division before 23rd February 2007.

Environment & Regeneration Directorate Risk Register
2007

Risk No	Rank	Event / Risk	Planned Outcome	Accountable Manager	Existing controls	New tasks / action plans	Date
ER M1	I = 5 L = 3 Score = 15	Health & safety incidents with life threatening consequences. Corporate manslaughter / H & S prosecutions for example fatalities on roads, CA sites, country parks, PROW.	Manage / Control	Leigh Herrington, Chair of H & S Group Other key managers: Flavio Walker, Linda Davies, Geoff Harrison-Mee.	<ul style="list-style-type: none"> ▪ H & S Officer ▪ H & S Group ▪ Risk Assessments ▪ Procedures ▪ Staff Training ▪ Monitoring ▪ Conditions of Use ▪ Public Notices 	<ul style="list-style-type: none"> ▪ Continue to audit high risk areas in order to identify the potential areas of concern for corporate manslaughter. 	All high risk areas to be audited by Dec 07.

Appendix 2 continued – E&R Risk Register 2007

Risk No	Rank	Event / Risk	Planned Outcome	Accountable Manager	Existing controls	New tasks / action plans	Date
ER M2	I = 5 L = 3 Score = 15	Non delivery of improvements to the highway service through the KHS Alliance	Manage / Control	Geoff Harrison-Mee Other Key Managers: Alliance Executive Group	<ul style="list-style-type: none"> ▪ Risk Monitoring Programme management ▪ Communication ▪ Member engagement ▪ 7 Strategic Objectives 	<ul style="list-style-type: none"> ▪ Strategic Vision statements in place & project plans to deliver improvements managed by the Alliance Executive. ▪ Alliance Executive & Board engaged in Risk Watch List (higher risk issues) ▪ Three monthly review of risks & mitigating actions as identified in the Alliance Risk Register & Risk Watch Register. 	On-Going Mid Mar 07 Mid Jun 07 Mid Sep 07
ER M3	I = 5 L = 3 Score = 15	Failure to deliver aspirations of "Kent - What Price Growth" by not delivering the key infrastructure that needs to be in place to achieve the sustainable communities agenda / benefits of new growth confined to Ashford and North Kent	Manage / control	Caroline Lwin / Bryan Raine	<ul style="list-style-type: none"> ▪ Project progress reports ▪ Clear delegation and accountability across directorates ▪ Joint working ▪ Business plan targets cover whole of county 		

Appendix 2 continued – E&R Risk Register 2007

Risk No	Rank	Event / Risk	Planned Outcome	Accountable Manager	Existing controls	New tasks / action plans	Date
ER M4	I = 5 L = 3 Score = 15	Failure to ensure appropriate planning policies and secure developer contributions and infrastructure to help delivery of sustainable communities and service directorate strategies	Manage / control	Nigel Smith	<ul style="list-style-type: none"> ▪ Representations to Districts ▪ Monitoring reports ▪ Developer's Guide linked to Community Strategy ▪ Local Development Framework Working Group ▪ Representations to Districts ▪ Developing service directorate strategies 		

Appendix 2 continued – E&R Risk Register 2007

Risk No	Rank	Event / Risk	Planned Outcome	Accountable Manager	Existing controls	New tasks / action plans	Date
ER M5	I = 4 L = 3 Score = 12	CTRL disruption claim for South Thameside Development Route Stage 4 against KCC is successful	Manage / control	Rob White	<ul style="list-style-type: none"> ▪ Solicitors handling case to have claim rejected. 		
ER M6	I = 4 L = 3 Score = 12	Insufficient budget/ major overspend on revenue budget 2006 – 2007 and beyond.	Manage / Control	Alan Loft Other Key Managers: Barry Gould, DST.	<ul style="list-style-type: none"> ▪ Budget monitoring ▪ Corporate reporting ▪ Activity Level Reporting ▪ Risk Assessment ▪ Management Action Plan to deliver savings ▪ Financial Procedures ▪ KHS Audit 	<ul style="list-style-type: none"> ▪ DST agreeing MAP if required 	March 2007
ER M7	I = 4 L = 3 Score = 12	Inability to proceed with new waste facilities, causing increasing reliance on landfill & incurring escalating landfill tax.	Manage / Control	Linda Davies Other Key Managers: Sue Barton, Caroline Arnold	<ul style="list-style-type: none"> ▪ Contracts with Kent Enviropower and others with clear expectations and timescales 	<ul style="list-style-type: none"> ▪ Monthly meetings with contractors to ensure the development on track, issues identified & action taken. ▪ Regular liaison with planners & developers to identify suitable sites & progress development of Transfer Stations at Pepperhill & Ashford, action & resolve issues. 	On-Going
ER M8	I = 4 L = 3 Score = 12	Failure to achieve/embed joint working will mean directorate objectives are not fully achieved	Manage / control	Robert Hardy	<ul style="list-style-type: none"> ▪ Staff secondments ▪ Change Champions Network ▪ Directorate co-ordination Group ▪ Senior Managers Forum 		

Appendix 2 continued – E&R Risk Register 2007

Risk No	Rank	Event / Risk	Planned Outcome	Accountable Manager	Existing controls	New tasks / action plans	Date
ER M9	I = 4 L = 3 Score = 12	Poor communications with public.	Eliminate	Robert Hardy Other Key Managers: Janetta Murrie Alison St Clair Baker	<ul style="list-style-type: none"> ▪ Communications Officer / Strategy ▪ Press & PR Strategy ▪ Complaints Monitoring 		
ER M10	I = 3 L = 4 Score = 12	Winter emergency, flooding / standing water or hurricane.	Manage / Control	Geoff Harrison – Mee Other Key Managers: Matthew Sims	<ul style="list-style-type: none"> ▪ Weather forecasts ▪ Business Continuity Plans ▪ Emergency procedures ▪ Bellwin Formula 	<ul style="list-style-type: none"> ▪ Regular updates of Business Continuity Plans ▪ Review known ponding & flooding areas. ▪ Manage all known flood locations proactively. ▪ Resurrect county wide drainage improvements database. 	On – Going On- Going On – Going Summer 07
ER M11	I = 5 L = 2 Score = 10	Emergency that disrupts staff & services for example: IT Systems failure, pandemic illness causing high level of absence & threatening continuity of services.	Manage / Control	Alan Loft Other Key Managers: Natasha Stonestreet , DTB	<ul style="list-style-type: none"> ▪ Business Continuity Plan ▪ Back up of servers ▪ Virus protection & firewalls ▪ Maintenance agreements ▪ Sickness monitoring data 	<ul style="list-style-type: none"> ▪ Regular updates of Business Continuity Plans ▪ Externally hosted sites with disaster recovery in place. ▪ Completion of Directorate BCP by February 2007. 	

Appendix 2 continued – E&R Risk Register 2007

Risk No	Rank	Event / Risk	Planned Outcome	Accountable Manager	Existing controls	New tasks / action plans	Date
ER M12	I = 3 L = 3 Score = 9	Stressed, de-motivated and distracted staff, high absenteeism.	Manage / Control	Geoff Harrison – Mee, Chair of Work & Wellbeing Group Other key managers: Directorate Personnel Manager.	<ul style="list-style-type: none"> ▪ Work & Wellbeing Group ▪ Recruitment, Retention & Reward Group ▪ Events ▪ Reward Strategy ▪ Monitoring ▪ Staff Surveys 	<ul style="list-style-type: none"> ▪ Monitor the use of rewards. ▪ Improved communications. ▪ Staff away days ▪ Managers trained to deal with staff & manage workloads & performance issues. 	

Appendix 2 continued – E&R Risk Register 2007

Risk No	Rank	Event / Risk	Planned Outcome	Accountable Manager	Existing controls	New tasks / action plans	Date
ER M13	I = 3 L = 3 Score = 9	Road collapse giving rise to serious accidents.	Manage / Control	Geoff Harrison – Mee Other Key Managers: Matthew Simms Norman Bateman	<ul style="list-style-type: none"> ▪ Investigative audits & risk assessments ▪ Procedures ▪ Staff training ▪ Monitoring 	<ul style="list-style-type: none"> ▪ Mapping geological strata 	Summer 07
ER M14	I = 3 L = 3 Score = 9	Unable to recruit suitable candidate to specialist posts due to short supply of skills in labour market	Live with, but ensure business continuity	Caroline Lwin / Bryan Raine Other Key Managers: Margot McArthur / Kim Hills	<ul style="list-style-type: none"> ▪ KCC recruitment and retention policies ▪ Learning and development opportunities 		
ER M15	I = 3 L = 3 Score = 9	Loss of key people, expertise, succession planning, talent management.	Manage / Control	Robert Hardy, Chair L & D Board Other Key Managers: L & D Board, Katie Chantler	<ul style="list-style-type: none"> ▪ L & D Board ▪ Training Plan ▪ Appraisal ▪ Monitoring ▪ Succession Planning 	<ul style="list-style-type: none"> ▪ Talent Management ▪ Assessment 	
ER M16	I = 3 L = 3 Score = 9	Poor communications with staff.	Eliminate	Robert Hardy Other Key Managers: Janetta Murrie Alison St Clair Baker	<ul style="list-style-type: none"> ▪ Communications Officer / Strategy ▪ Staff Survey ▪ Tea & Talk 		

Appendix 2 continued – E&R Risk Register 2007

Risk No	Rank	Event / Risk	Planned Outcome	Accountable Manager	Existing controls	New tasks / action plans	Date
ER M17	I = 4 L = 2 Score = 8	Capital Programme Management, (Ensure sufficient resources and appropriate scheduling to deliver the programme)	Manage / Control	Alan Loft Other Key Managers: Barry Gould, Geoff Harrison-Mee, Caroline Lwin, Bryan Raine	<ul style="list-style-type: none"> ▪ Budget Monitoring ▪ Corporate Reporting ▪ 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. 	On-Going
ER M18	I = 2 L = 4 Score = 8	Conflict between local and national policy affecting Government funding available to KCC and its partners.	Manage / control	Robert Hardy / Leigh Herrington	<ul style="list-style-type: none"> ▪ Consultation ▪ Staff Training ▪ Member briefings ▪ Member/officer liaison 		
ER M19	I = 4 L = 2 Score = 8	Failure to deliver PSA 2 target relating to empty homes	Manage / control	Theresa Bruton	<ul style="list-style-type: none"> ▪ Dedicated project manager ▪ Project planning ▪ Training seminars ▪ Joint working initiatives ▪ Monitoring and audit reports on "successes" 		
ER M20	I = 3 L = 2 Score = 6	Failure to meet key targets in the Kent Environment Strategy	Manage / control	Peter Moore	<ul style="list-style-type: none"> ▪ Strategies in place Monitoring, especially performance indicators ▪ Partnership working 		
ER M21	I = 2 L = 3 Score = 6	New and existing development places pressure upon water reserves. Difficulty for housebound clients accessing water if not supplied if not in property.	Manage / Control	Leigh Herrington		<ul style="list-style-type: none"> ▪ Environmental risk analysis to be completed. ▪ Joint planning work with the water authorities. 	Summer 07 On - Going

Appendix 2 continued – E&R Risk Register 2007

Risk No	Rank	Event / Risk	Planned Outcome	Accountable Manager	Existing controls	New tasks / action plans	Date
ER M22	I = 3 L = 2 Score = 6	Reduction in / loss of technical support for planning information system as providers move to a new system	Manage / Control	Sharon Thompson	<ul style="list-style-type: none"> ▪ Review current system against business requirements ▪ Liaison with current providers on requirements for new system ▪ Possible tender process for alternative system 		
ER M23	I = 3 L = 2 Score = 6	Applying a "stop" notice / Incorrect determination of a planning application that subsequently becomes the subject of a successful challenge.	Manage / control	Sharon Thompson	<ul style="list-style-type: none"> ▪ Staff training ▪ Use of competent staff ▪ Internal QA checking of decisions 		
ER M24	I = 3 L = 2 Score = 6	Not meeting all equality & diversity legislation requirements.	Manage / Control	Linda Davies Other Key Managers: Katie Chantler, DST	<ul style="list-style-type: none"> ▪ Equalities Group ▪ Procedures ▪ Assessments ▪ Equalities Action Plan ▪ Training ▪ Monitoring 	<ul style="list-style-type: none"> ▪ Work towards completing Level 3 of the Local Government Equalities Standard. 	
ER M25	I = 3 L = 2 Score = 6	Not able to secure sufficient external funding required to ensure completion of important projects and specific posts thereby leading to possible redundancy	Manage / control	Caroline Lwin / Bryan Raine / Linda Davies Other Key Managers: Theresa Bruton	<ul style="list-style-type: none"> ▪ Development of funding strategies ▪ Construction of robust business cases ▪ Appointment of dedicated project managers for high visibility projects ▪ Lobbying ▪ Bid development strategies 	<ul style="list-style-type: none"> ▪ Assess scale of impact ▪ Take into consideration in 3 year service strategy 	

Appendix 2 continued – E&R Risk Register 2007

Risk No	Rank	Event / Risk	Planned Outcome	Accountable Manager	Existing controls	New tasks / action plans	Date
ER M26	I = 3 L = 2 Score = 6	Failure to complete Waste and Minerals Local Development Frameworks to Government timetables	Manage / control through to adoption in 2007	Sharon Thompson	<ul style="list-style-type: none"> ▪ Recruitment of key staff / use of consultants ▪ Monitoring progress against work plan timetable ▪ Performance monitoring ▪ Programme management 		
ER M27	I = 3 L = 2 Score = 6	Poor CPA scores for Environment.	Manage / Control	Alan Loft Other Key Managers: Niel Caddick, Kelli Davis, BVPI Lead Officers	<ul style="list-style-type: none"> ▪ PI Monitoring ▪ Performance Network ▪ BDM Network ▪ IA Liaison 	<ul style="list-style-type: none"> ▪ Work with Audit Commission to influence method and process ▪ BVPI Monitoring and reports to DST ▪ Performance Management Network – monitoring and influence ▪ Work through BDMs to highlight risk areas early ▪ KCC early warning system ▪ Focus on customer satisfaction improvement 	On-Going
ER M28	I = 2 L = 3 Score = 6	Poorly trained & developed staff: expertise in too few staff	Eliminate	Robert Hardy, Chair L & D Board Other Key Managers: L & D Board, Katie Chantler	<ul style="list-style-type: none"> ▪ L & D Board ▪ Training Plan ▪ Training Budget ▪ liP ▪ PDP's, Appraisal ▪ Induction ▪ Succession Planning 	<ul style="list-style-type: none"> ▪ Talent Management ▪ Skills Audit ▪ Guidance issued on appraisal process including key standards. ▪ Directorate monitoring of compliance to appraisal process. 	On-Going

Appendix 2 continued – E&R Risk Register 2007

Risk No	Rank	Event / Risk	Planned Outcome	Accountable Manager	Existing controls	New tasks / action plans	Date
ER M29	I = 2 L = 3 Score = 6	Risk of violence to staff, especially within front line services	Manage / Control	Geoff Harrison-Mee Other Key Managers: Flavio Walker, Judith Feline.	<ul style="list-style-type: none"> ▪ Risk Assessments ▪ Procedures on Lone Working ▪ Violence Policies ▪ Protective Equipment ▪ Staff Training 	<ul style="list-style-type: none"> ▪ Extend & improve existing controls 	On-Going

Appendix 2 continued – E&R Risk Register 2007

Risk No	Rank	Event / Risk	Planned Outcome	Accountable Manager	Existing controls	New tasks / action plans	Date
ER M30	I = 2 L = 3 Score = 6	Infringe Data Protection Act / Freedom of Information Act	Manage / Control	Alan Loft Other Key Managers: Pauline Banks	<ul style="list-style-type: none"> ▪ FOIA/DPA Officer ▪ Procedures / Plan ▪ Training ▪ Monitoring ▪ Corporate Reporting 	<ul style="list-style-type: none"> ▪ Improved recording & monitoring System 	On-Going
ER M31	I = 3 L = 2 Score = 6	Optimising external funding opportunities whilst coping with the demands of funding regimes,	Manage / Control	Alan Loft Other Key Managers: Barry Gould, Caroline Lwin, Bryan Raine, Linda Davies.	<ul style="list-style-type: none"> ▪ EF Procedures ▪ EF Finance Team ▪ EF Officers 	<ul style="list-style-type: none"> ▪ Review 	Nov 2007
ER M32	I = 2 L = 3 Score = 6	Pressure on E & R Directorate support services, increased by KCC reorganisation & slippage in KSSIP.	Manage / Control	Alan Loft Other Key Managers: Barry Gould, DPM	<ul style="list-style-type: none"> ▪ Workload Monitoring ▪ Prioritisation ▪ Staff Flexibility ▪ Reorganisation Process ▪ WWB focus ▪ Engagement in KSSIP 	<ul style="list-style-type: none"> ▪ Re-engineer Finance function following re-organisation. 	July 2007
ER M33	I = 3 L = 2 Score = 6	Strategic Environment Assessments and Sustainability Assessments judged inadequate / of poor quality and possibility therefore of Planning Inspector or Department of Communities and Local Government imposing external conditions on future activity	Manage / control	Mick Sutch	<ul style="list-style-type: none"> ▪ Use of consultants/staff expertise ▪ Robust intelligence systems ▪ Project plans ▪ Staff training 		

Appendix 2 continued – E&R Risk Register 2007

Risk No	Rank	Event / Risk	Planned Outcome	Accountable Manager	Existing controls	New tasks / action plans	Date
ER M34	I = 2 L = 3 Score = 6	Failure / collapse of Provider or funded external companies that receive significant funding.	Live with but ensure business continuity	Caroline Lwin / Bryan Raine / Linda Davies	<ul style="list-style-type: none"> ▪ Financial scrutiny ▪ Monitoring ▪ Audit Reports 		
ER M35	I = 2 L = 3 Score = 6	Failure to secure Planning Delivery Grant	Manage / control	Bill Murphy	<ul style="list-style-type: none"> ▪ Performance monitoring ▪ Programme management 		
ER M36	I = 3 L = 2 Score = 6	Loss of funding / unable to recover expenditure if KCC or partners fail to deliver project outcomes where KCC is the accountable body	Manage / control	Rob White	<ul style="list-style-type: none"> ▪ Project management and monitoring processes ▪ Staff training / awareness in required finance and audit skills ▪ Regular liaison with ODPM and partners ▪ Dedicated staff to monitor ODPM funded projects 		
ER M37	I = 3 L = 2 Score = 6	Failure to secure LTP1 Delivery report to gain necessary financial funding for transport infrastructure	Manage / control	Mick Sutch	<ul style="list-style-type: none"> ▪ Project planning to produce report including monitoring progress 		
ER M38	I = 3 L = 2 Score = 6	Failure of Kent Prospects Strategy to deliver in providing employment opportunities, especially in growth and priority regeneration areas	Manage / control	Steve Arnett	<ul style="list-style-type: none"> ▪ Strategies in place ▪ Bi-annual action plan ▪ Monitoring especially performance indicators ▪ Partnership working 		

Appendix 2 continued – E&R Risk Register 2007

Risk No	Rank	Event / Risk	Planned Outcome	Accountable Manager	Existing controls	New tasks / action plans	Date
ER M39	I = 2 L = 3 Score = 6	Problems encountered in managing relocation and taking over management of SEEH lease (Need to review as timetable becomes more critical next year)	Manage / control	Marie Dancourt-Cavanagh	<ul style="list-style-type: none"> ▪ Clear accountabilities ▪ Project plan ▪ Clear communications with those involved / affected 		
ER M40	I = 2 L = 3 Score = 6	Having to carry out preparatory work on a scheme that is unlikely to receive government funding	Manage / control	Rob White	<ul style="list-style-type: none"> ▪ Consultation ▪ Lobbying to promote KCC view ▪ Input to Local Transport Plan process 		
ER M41	I = 2 L = 2 Score = 4	Breach of our statutory duties and potential prosecution or other consequences	Manage/ control	Judith Feline/ Mike Overbeke	<ul style="list-style-type: none"> ▪ ISO14001 	<ul style="list-style-type: none"> ▪ Audit of highest risks 	
ER M42	I = 1 L = 4 Score = 4	Partner organisation does not provide the level of service required to the public, or misuses funds thereby damaging KCC's reputation and leading to reduced public satisfaction with the authority overall.	Manage/ control	Linda Davies	<ul style="list-style-type: none"> ▪ Contracts ▪ Monitoring ▪ Audits 	<ul style="list-style-type: none"> ▪ Memorandum of agreement reviewed to ensure risk is shared 	Ongoing
ER M43	I = 2 L = 2 Score = 4	Poor in-house service; failure to meet duties; incorrect or inadequate advice, misinterpretation of legislation	Manage/ control	Linda Davies	<ul style="list-style-type: none"> ▪ Trained staff ▪ Procedures ▪ Supervision 		

Appendix 2 continued – E&R Risk Register 2007

Risk No	Rank	Event / Risk	Planned Outcome	Accountable Manager	Existing controls	New tasks / action plans	Date
ER M44	I = 2 L = 2 Score = 4	The Government will continue to drag its heels with standards for composting and our contractor will not be able to finalise a licence and get its sites up and running.	Manage/control	Linda Davies/ Sue Barton (Caroline Arnold)	<ul style="list-style-type: none"> Lobby Government 		
ER M45	I = 4 L = 2 Score = 4	Our external commitments to match partners' resources on projects can only be met at the expense of internal commitments	Manage/control	Linda Davies	<ul style="list-style-type: none"> Monthly budget monitoring 	<ul style="list-style-type: none"> Attendance by Sally Smith at Leadership Team meetings on a monthly basis 	Ongoing
ER M46	I = 2 L = 2 Score = 4	Volunteers recruited to the Environmental Taskforce fail to perform and/or conduct themselves improperly. The scheme fails to meet its objectives and falls into disrepute	Manage/control	Linda Davies	<ul style="list-style-type: none"> Training and supervision of scheme supervisors to ensure service is well managed 		
ER M47	I = 1 L = 2 Score = 2	Unable to provide financial support to <i>Fastrack</i> during first years of operation	Manage / control	Rob White	<ul style="list-style-type: none"> Financial modelling 	<ul style="list-style-type: none"> Transfer to private sector 	2011