



Environment, Highways and Waste Risk Register

December 2012

EHW CABINET COMMITTEE - JANUARY 2013

Summary Risk Profile

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

Risk No.	Risk Title	Current Risk Rating	Target Risk Rating
EE1	Delivery of key projects	15	12
EE2	Delivery of budget targets	15	10
EE3	Health & Safety considerations	15	10
EE4	Partner organisations/contractors not offering the required level of service to the public	6	6
EE5	Ash dieback	Risk assessment in progress corporately	
EE6	Severe Weather	12	8

Risk ID	EE 1	Risk Title	Delivery of key projects			
Source / Cause of Risk		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
Directorate is required to deliver some key iconic projects in conjunction with a variety of partners that have high political and public interest.		Risk that we fail to successfully deliver key projects e.g. Growth without Gridlock, Kent Environment strategy, Minerals and Waste development framework, Mid-Kent 2 tier working, East Kent Waste project. Future Highways Programme	Reputational damage with Members, partners and public. Consequences on the environment of development. Possible legal issues.	Directorate Management Team	Possible (3)	Major(5)
					Target Residual Likelihood	Target Residual Impact
					Possible (3)	Serious (4)
Control Title				Control Owner		
High risk projects on E&E Project register and monitored by E&E Directorate Management Team.				Director of Highways and Transportation (H&T) Director Planning and Environment (P&E) Director of Waste Resource Management /Head of Strategic Projects		
Rigorous project management including project management plans and risk plans for each large project.				Director of Highways and Transportation Director Planning and Environment. Director of Waste Resource Management / Head of Strategic Projects		
Regular discussion of progress at 1:1's and Divisional Management Team meetings.				Director of Highways and Transportation Director Planning and Environment. Director of Waste Resource Management.		
Client Procurement manager in place for Future Highways Programme and consultant support employed where necessary				Director of Highways and Transportation		
Action Title		Action Owner			Planned Completion Date	
Full assessment of services to internalise		Commercial Manager (David Beaver)			March 2013	

Risk ID	EE2	Risk Title	Delivery of budget targets			
Source / Cause of Risk		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
Reduced budget allocation.		There is a risk that budget targets including income targets are not met.	Lack of funding to develop key transport and waste improvements.	Directorate Management Team	Possible (3)	Major (5)
There are several legal challenges being disputed by KCC relating to past major projects.			Reputational damage		Target Residual Likelihood	Target Residual Impact
			Overspend could impact on other parts of the Authority.		Unlikely (2)	Major (5)
Control Title				Control Owner		
Monitoring of fees through budget process				Directorate Management Team		
Financial forecasting and intelligence analysis through pre-application liaison to gauge possible income levels.				Directorate Management Team		
External funding team in place to support KCC officers in exploring funding opportunities.				Finance Business Partner		
Delivery of some savings through adoption of the new Household Waste Recycling Centre operating policy.				Director of Waste Resource Management		
Fastrack Lands Tribunal referral being defended. Counsel retained together with support from KCC				Director of Highways and Transportation		
Ringway Claim: Contractual process being exercised, Legal advice and further investigation of mitigation, Specialist contract advice being obtained				Director of Highways and Transportation		
Action Title			Action Owner	Planned Completion Date		
Monthly monitoring through new finance system.			Directorate Management Team	March 2013		
Investigate innovative financial models to pay for transport infrastructure.			Director Planning and Environment Transport Strategy delivery manager	March 2013		
Monitoring and comparison of tonnages at HWRCs following policy change.			Director of Waste Resource Management Business Manager – Waste Management	March 2013		
Independent costs consultants are analysing contractors claim and negotiations are in progress in relation to Drovers M20 Junction 9 schemes			Director of Highways and Transportation	March 2013		
In relation to CPO claims; Expert witnesses being retained, KCC Officers regularly review strength of case and monitor fee expenditure, Ongoing dialogue with claimants to try and resolve / narrow areas of dispute. Full Hearing set for Feb 2013			Director of Highways and Transportation Major Capital Project Manager	Feb 2013		
Ringway claim: Validity of claim continues to be disputed, Ongoing legal opinion and contract law advice in place, Accrual to be considered with Finance Team			Director of Highways and Transportation Commercial Manager	March 2013		

Risk ID	EE 3	Risk Title	Health & Safety considerations.			
Source / Cause of Risk		Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
Services across the directorate need to pay due regard to potential Health and Safety issues due to the nature of the work they undertake.		There is a risk of death or serious injury to the public, KCC staff or contractors.	Possible legal action against the authority and serious reputational damage to the Authority.	Directorate Management Team	Possible (3)	Major (5)
					Target Residual Likelihood	Target Residual Impact
					Unlikely (2)	Major (5)
Control Title					Control Owner	
Maintain sound health and safety systems at waste sites including reviewing accidents and near-misses.					Director of Waste Resource Management	
Staff to follow Health and Safety legislation and guidance.					Directorate Management Team	
Regular reporting of accident data and H&S updates to senior managers.					Directorate Management Team	
Lone working system operated by contact centre staff.					Directorate Management Team	
Regular risk assessments of sites and hazards.					Directorate Management Team	
Planning & Environment divisional Health & Safety group in place and meets quarterly and reports to Divisional Management Team quarterly					P&E Divisional Management Team	
Systems in place in Highways division to facilitate the agreed joint procedures through the CaRe and Kent Police partnerships					Head of Transportation	
Killed and Seriously injured (KSI) on roads data regularly analysed by the Highways Team and education, publicity and training campaigns delivered					Head of Transportation	
Highways – crash remedial sites are identified and rectified					Head of Transportation	
Regular testing for hazards such as legionella and tree surveys on gypsy and traveller sites.					Directorate Management Team	
Action Title			Action Owner		Planned Completion Date	
Waste Management - Ensure full implementation of the recommendations of the independent Health and Safety review carried out in 2011.			Operations Manager - Waste		Ongoing - March 2013 review	
Ensure appropriate risk transfer through site management contracts.			Operations Manager - Waste		Ongoing - March 2013 review	
Implement electronic performance management system			Operations Manager - Waste		Ongoing - March 2013 review	
Revision of Health & Safety procedures for the Planning & Environment division			P&E Divisional Management Team		March 2013 review	

Risk ID	EE 4	Risk Title	Partner Organisations / contractors not offering the required level of service			
Source / Cause of Risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact	
KCC works closely with partners and contractors to provide its services to the people of Kent	Partner organisations or contractors do not provide the required level of service to the public	Efficient / good value for money / high quality services are not delivered	Director Highways and Transportation Director of Waste Resource Management Director Planning and Environment	Unlikely (2)	Significant (3)	
				Target Residual Likelihood	Target Residual Impact	
				Unlikely (2)	Significant (3)	
Control Title				Control Owner		
Waste Management - robust contract management and client function.				Operations Manager, Waste		
Waste Management - rigorous programme of pre-qualification checks on potential contractors to assure ability to deliver				Operations Manager, Waste		
Service Level Agreements are put in place where services are provided by a third party				Commercial Manager		
Highways - all key partnerships are identified and have risk registers, performance management and governance arrangements in place				Director Highways and Transportation		
Highways - All 'Significant Contractors' have business continuity plans and risk registers in place for their contracts				Director Highways and Transportation		
Enterprise to produce a monthly performance report showing OPM results				Director Highways and Transportation		
Action Title		Action Owner		Planned Completion Date		
Annual review of Partnership Register		Director Highways and Transportation Business Manager		January 2013		
Assess any reputational risks around home to school transport being provided by third parties (at the end of the academic year)		Director Highways and Transportation Transport Integration Manager		August 2013		
Identify new mitigation measures relating to third party under-performance in home to school / SEN / support bus areas if necessary (at the end of the academic year)		Director Highways and Transportation Transport Integration Manager		August 2013		

Risk ID	EE 5	Risk Title	Ash Dieback (Risk escalated to Corporate Risk Register due to requirement for KCC-wide management of implications)			
Source / Cause of Risk	Risk Event	Consequence	Risk Owner	Current Likelihood*	*Current Impact	
Instances of Ash Dieback (Chalara fraxinea) disease have been discovered within the county. Although the outbreak is not currently widespread, there is evidence from Europe to suggest that it will spread. (Scientists from Denmark suggest that as many as 95% of ash trees may be affected).	There is a risk that significant numbers of Ash trees may be affected by this disease in Kent.	Large areas of woodland and individual trees may become infected, leading to difficulties surrounding surgery to and removal of trees from public and private sites including highways and school campuses, for health and safety purposes, at significant unplanned cost. Efforts will also be required to contain the spread of the disease wherever possible	On behalf of the Corporate Management Team: Corporate Director Enterprise & Environment Corporate Director Customer & Communities		*Target Residual Likelihood	*Target Residual Impact
				*Risk Assessment in progress		
Control Title				Control Owner		
Local Strategic Coordinating Group established.				Director of Planning & Environment / KCC Emergency Planning Manager		
Interim bio-security precautions established and ratified by UK Chief Plant Health Officer				Emergency Planning Manager / Director of Planning & Environment		
Interim Chalera Control Plan published by DEFRA in December 2012				DEFRA		
Multi-agency 'Gold' strategy developed to manage the response in Kent, agreed by all partners and published				Emergency Planning Manager / Director of Planning & Environment		
Direct link set up between KCC, DEFRA the Food and Environment Research Agency (FERA), Forestry Commission and local partners in Kent to ensure a consistent approach in dealing with the outbreak				Emergency Planning Manager / Director of Planning & Environment		
Ash Dieback summit held in Kent in December 2012, featuring National and International experts and other interested parties				Emergency Planning Manager / Director of Planning & Environment		
Action Title		Action Owner		Planned Completion Date		
Local multi-agency Action Plan being developed to implement the key actions in the local Gold Strategy and the Defra Interim Chalara Control Plan		Director of Planning & Environment / KCC Emergency Planning manager		February 2013		
Communications strategy to be developed		KCC Emergency Planning Manager		February 2013		
Briefings to be undertaken to all Senior Staff at KCC		KCC Emergency Planning Manager / Director of Planning & Environment		March 2013		

Risk ID	EE 6	Risk Title	Severe Weather			
Source / Cause of Risk	Risk Event	Consequence	Risk Owner	Current Likelihood*	*Current Impact	
Severe weather events	Severe weather causes disruption and or damage to the Kent Highway Network.	Excessive damage/congestion/closed roads following severe weather leading to disruption to the public of Kent including KCC staff. This in turn would impact on key services being delivered by KCC.	Head of Highway Operations	Likely (4)	Significant (3)	
				*Target Residual Likelihood	*Target Residual Impact	
				Likely (4)	Moderate (2)	
Control Title			Control Owner			
Winter Policy in place each year.			Head of Highway Operations			
Gain support from the local community who undertake snow ploughing.			Head of Highway Operations			
Agree and publish priority salting routes for the County.			Head of Highway Operations			
Ensure provision and filling of salt bins.			Head of Highway Operations			
Agree and publish local emergency action plans with Districts/Boroughs and KCC.			Head of Highway Operations			
Carry out a lessons learnt review after each winter.			Head of Highway Operations			
Action Title		Action Owner		Planned Completion Date		
Consider a winter repair programme (Find and Fix) if we get a severe winter.		Head of Highway Operations		12/4/2013		
Monitor and report specific measures such as drought (further restrictions hampering operational service delivery, actions in local hotspots etc).		Highway Manager		12/4/2013		