# CHIEF EXECUTIVE'S DEPARTMENT RISK REGISTER

## DATE:  DECEMBER 2007

This register summarises the notable risks within the Chief Executive's Department.

Risks are recorded as HIGH, MEDIUM or LOW

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

**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 |
| | | 1 | 2 | 3 | 4 | 5 |
| RISK RATING MATRIX | | Minor | Moderate | Significant | Serious | Major |
| | | Impact | | | | |

| Ref | Source | Event | Planned Outcome | Acc'table manager | Existing controls & accountable officers | New tasks / action plans & accountable officers | Date | Inherent rating | Current rating |
|---|---|---|---|---|---|---|---|---|---|
| CED 1 | Political | Ensure KCC retains a level four in the Corporate Assessment | Manage | Head of Corporate Performance | ❑ A cross directorate team led by Chief Executive to evaluate KCC's performance against the corporate assessment framework (KLOE) and ensure full identification of a wide range of evidence<br>❑ Complete excellent self-assessment<br>❑ Implementation of communication strategy led by Corporate Communications<br>❑ Keep Cabinet & COG informed of progress<br>❑ Monitoring report 'Staying Excellent' produced for COG/Cabinet members on a regular basis<br>❑ Further resources (with more being identified)<br>❑ IDA peer review complete | ❑ Team briefings as part of communication strategy<br>❑ Proactively keep in touch with national policy<br>❑ Cross directorate policy officer meetings | Ongoing | I = 5<br>L = 2<br>R = 10<br><br>**MED** | I = 5<br>L = 1<br>R = 5<br><br>**LOW** |

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|---|---|---|---|---|---|---|---|---|---|
| CED 2 | Professional | Achievement of full partnership 'buy-in' to and consensus for KA2 by end March 2008. | Manage | Kent Partnership Director | ❑ KA2 aligned to V4K Strategy. <br> ❑ Clear programme with consultation, negotiation and decision deadlines. <br> ❑ Robust programme/project management | | Ongoing | I = 5 <br> L = 5 <br> R = 25 <br><br> **HIGH** | I = 5 <br> L = 2 <br> R = 10 <br><br> **MED** |
| CED 3 | People | KCC needs to maintain Health & Safety of employees, service users and contractors. <br><br> Prevent and avert major accidents / breaches of legislation to ensure a continued ability to deliver services and trade | ❑ Assess likelihood & manage <br> ❑ Compliance with legislation <br> ❑ Effective H&S practice and a managed safe working environment | Director of Personnel & Devel'ment for Corporate Policy / strategy & statutory obligation <br><br> Director of Property for property / assets <br><br> Commercial Services Director | ❑ Corporate Policy <br> ❑ Corporate H&S action plan <br> ❑ Monitoring <br> ❑ Training & Development <br> ❑ Corporate H&S Board + KCC Jt H&S Committees <br> ❑ Dedicated H&S staff corporately + within directorates <br> ❑ Directorate H&S groups <br> ❑ Risk Assessments <br> ❑ Public notices <br> ❑ Construction Design & Management Regulations <br> ❑ Asbestos policy | ❑ Legionella policy submitted for approval <br> ❑ Legionella register to be fully populated <br> ❑ Asbestos central register to be developed | Ongoing | I = 4 <br> L = 3 <br> R = 12 <br><br> **MED** | I = 3 <br> L = 2 <br> R = 6 <br><br> **LOW** |
| CED 4 | People | Reduce levels of sickness absence | Manage | Director of Personnel & Devel'ment | ❑ Attendance Management policy, procedures and training <br> ❑ Review and revise corporate sick pay policy <br> ❑ Staff care <br> ❑ Staff care package <br> ❑ Absence recording <br> ❑ Return to work interviews | ❑ Positive Attendance Guidance <br> ❑ New programme of health promotion and wellbeing activity <br> ❑ Working group developing new attendance strategies <br> ❑ Including absence information for managers at service unit and directorate level on HR Business Intelligence data <br> ❑ New 3 year health check programme for non-schools based staff | Ongoing | I = 4 <br> L = 4 <br> R =16 <br><br> **HIGH** | I = 3 <br> L = 3 <br> R = 9 <br><br> **MED** |

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|---|---|---|---|---|---|---|---|---|---|
| CED 5 | Property | Ensure the Property portfolio is fit for purpose and provides adequate platform for KCC service delivery<br><br>Budget on maintenance must be consistent with need in order to prevent building failure. | ❑ Periodic condition survey of assets to access & quantify backlog<br><br>❑ Monitor spend against baseline & target for reducing backlog | Director of Property (with directorate Resource Managers) | ❑ Corporate Asset Management Plan in place<br>❑ Education (LEA) Asset Management Plan in place<br>❑ Performance Indicators in place<br>❑ 3 year financial plan in place<br>❑ Medium Term Service Planning including linking with client service plans and partnership approach with customers<br>❑ Ongoing assessment of key areas:<br>- Suitability<br>- Sufficiency<br>- Condition | ❑ Continue to develop Corporate and Service Asset Management Plans with client directorates<br>❑ Support the Asset Management process throughout the Authority<br>❑ Monitor backlog figures | Ongoing | I = 4<br>L = 4<br>R = 16<br><br>**HIGH** | I = 3<br>L = 3<br>R = 9<br><br>**MED** |
| CED 6 | Financial - Major strategic projects | Delivery of major projects with appropriate management of financial and borrowing risks<br>– Manston<br>- Eastern Quarry<br>- London Array<br>- Ashford development | Project objectives achieved within budget | Director of Finance | ❑ Existing project plans<br>❑ Governance of projects<br>❑ Financial planning of projects | ❑ Proactive financial input to projects<br>❑ Evaluation of risks | Ongoing | I = 4<br>L = 3<br>R = 12<br><br>**MED** | I = 3<br>L = 3<br>R = 9<br><br>**MED** |
| CED 7 | Financial - Government funding and constraints on local taxation | Government Grant needs to increase in line with inflation, demographic, legislative changes etc<br><br>Capping criteria is too strict | Manage | Director of Finance | ❑ Lobbying of Central Government<br>❑ Robust MTP<br>❑ Peer review of pressures and savings | ❑ Continued lobbying of Government<br>❑ Policy led budgeting approach | Feb 2008 | I = 4<br>L = 4<br>R = 16<br><br>**HIGH** | I = 2<br>L = 3<br>R = 6<br><br>**LOW** |

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| CED 8 | People | Ensure greater filling of senior and key posts, including front line staff<br><br>Secure succession planning and reduce reliance on a limited group of officers<br><br>Improve ability to recruit and retain high calibre staff leading to a positive impact on service delivery | ❑ Manage<br>❑ Clear Succession Planning<br>❑ Improved management and organizational resilience | Director of Personnel & Devel'ment<br><br>Commercial Services Director | ❑ Management Development programmes<br>❑ Contract with external recruitment agency<br>❑ Recruitment practices/ policies<br>❑ Induction pack and training<br>❑ Workforce Development plan<br>❑ Talent management programme<br>❑ Benefits package<br>❑ Total Contribution Pay<br>❑ Strategy for Staff<br>❑ Reward Strategy<br>❑ Links with best practice organizations<br>❑ Work & Wellbeing programme<br>❑ Recruitment & Selection training<br>❑ Second phase of Equal Pay Audit<br>❑ Appraisal<br>❑ Staff care package<br>❑ Link with interim management agencies (Kent Success)<br>❑ Ready for Practice Scheme<br>❑ Teacher Recruitment team in CF&E<br>❑ Exit interview records<br>❑ Range of staff groups (including UNITE, Stonewall etc)<br>❑ Extended new Kent Graduate Programme | ❑ Recruitment hotspots identified & strategies developed to address<br>❑ Strategy for staff development<br>❑ Reward strategy<br>❑ Development recruitment management system & strategy<br>❑ Strategic workforce plan<br>❑ Exit interviews analysis and action | Ongoing | I = 4<br>L = 4<br>R = 16<br><br>**HIGH** | I = 3<br>L = 3<br>R = 9<br><br>**MED** |

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|---|---|---|---|---|---|---|---|---|---|
| CED 9 | Technological | Provision of core technology to ensure delivery of KCC services in response to:<br><br>-Growth in service demand – technology funding exceeds availability<br><br>-Increased availability of service required i.e. 24 x 7<br><br>-Increased reliance on technology for service delivery<br><br>-Increased provision of services to the public – increased security requirements<br><br>-Insufficient funding for disaster recovery | Manage | Heads of ICT Commiss'ing and Operations | ❑ Medium term plan for technology agreed by COG and Cabinet.<br>❑ Improved planning of technology projects.<br>❑ Implementation programmes use consistent Prince 2 project management methodology.<br>❑ Contingency planning – in consultation with the business.<br>❑ Security Officer who deals with security of information.<br>❑ Disaster Recovery considered on a system by system basis.<br>❑ Account Managers provide an interface/liaison with their respective directorates.<br>❑ Change management process includes risk assessment and handover requirements. | ❑ Monitor implementation of agreed medium term plan for technology.<br>❑ Consistency of IT platform across KCC (Technology Refresh Programme).<br>❑ Maintain key business needs as identified by all business units.<br>❑ Provision of professional advice to facilitate the assessment of risk. | Ongoing | I= 4<br>L= 3<br>R= 12<br><br>**MED** | I= 4<br>L= 2<br>R= 8<br><br>**MED** |