

Environment & Regeneration Directorate Risk Register 2008 - 2009

This is the Environment & Regeneration Directorate Risk Register for 2008 – 2009. 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

Risk No	Rank	Source	Event	Planned Outcome	Accountable Manager	Existing Controls	New tasks/Action Plan	Date
ER M1	I = 5 L = 4 Score = 20 Ranking = High	Financial, Reputation, Legislation	CTRL Claim (CPO Notice Dispute)	Manage/Control	John Farmer	<ul style="list-style-type: none"> Legal Counsel Preliminary hearings 	<ul style="list-style-type: none"> Preliminary hearing before the President of the Lands Tribunal in Dec 07 Result of preliminary hearing likely end of Feb 08 to establish next action 	On-going
ER M2	I = 5 L = 3 Score = 15 Ranking = Medium	Emergencies, People, Physical, Financial, Legislation, Reputation	Health & Safety incidents with fatal/life threatening consequences (Staff) Corporate Manslaughter / H&S prosecutions	Manage / control	Leigh Herington, 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 Champions in Divisions H&S Group Risk Assessments Procedures Staff training Monitoring Conditions of use Public notices 	<ul style="list-style-type: none"> Work towards ensuring a robust H&S Management System is in place (18001) Ensure suitable H&S Risk Assessments are in place which feed into Directorate risk register Audit of H&S training and Needs Continue to Audit high risk areas in order to identify the potential concern for corporate manslaughter 	On-going
ER M3	I = 5 L = 3 Score = 15 Ranking = Medium	Service Delivery, People	Wrotham Judicial Review	Manage/control	Geoff Harrison-Mee	<ul style="list-style-type: none"> Close working with Planning team Legal Services advice Review options and alternatives 	<ul style="list-style-type: none"> Decision on the way forward to be agreed with Keith Ferrin and Paul Carter by spring. 	March 08

Risk No	Rank	Source	Event	Planned Outcome	Accountable Manager	Existing Controls	New tasks/Action Plan	Date
ER M4	I = 3 L = 3 Score = 9 Ranking = Medium	People, Financial, Reputation, Legislation Service Delivery	Ensuring motivated good performing staff to allow us to continue to provide/manage services and have appropriate human resource	Manage / control	DST and Line Managers within E&R Other Key Managers: Kim Hills, Chair of Work & Wellbeing Group/Change Group) and Directorate Personnel Manager	<ul style="list-style-type: none"> Management skills training Work Well Being Group IIP action planning TCP and Appraisal process Learning Lunches Recruitment Retention Reward Group Events such as QSA Staff Surveys Support Line Reward Strategy Monitoring 	<ul style="list-style-type: none"> Induction training for all new managers Business Operating Plans include Strategic Objective on 'Developing motivated staff...' Regular staff survey to monitor staff views and help formulate action. Shaping future work on the results Promotion of regular appraisals, team meetings and one to ones to assess workloads and stress levels 	On-going
ER M5	I = 3 L = 3 Score = 9 Ranking = Medium	Financial, Reputation	Not able to secure sufficient external funding / support required to ensure completion of important R&E projects. Having insufficient staffing capacity to ensure delivery	Manage/ Control	Caroline Lwin	<ul style="list-style-type: none"> Development of funding strategies Construction of robust business cases to secure funding and support Briefings to Members to raise awareness and support Appointment of dedicated project managers for high visibility projects Ensure these projects are managed by experienced staff with proven track records on delivery Use of business planning process to prioritise work activity Regular reports to Leadership leads on strategic projects 	<ul style="list-style-type: none"> 	On-going
ER M6	I = 3 L = 3 Score = 9 Ranking = Medium	Reputation, Financial	Ensure satisfaction with the services e.g. Member or public perceptions that the service are delivering and that money is being spent on the right things	Manage/ control	Alan Loft	<ul style="list-style-type: none"> Complaints procedure Monitoring Customer satisfaction monitoring Mystery shopping 	<ul style="list-style-type: none"> Consultation exercises Work to achieve the Customer Charter Mark 	On-going

Risk No	Rank	Source	Event	Planned Outcome	Accountable Manager	Existing Controls	New tasks/Action Plan	Date
ER M7	I = 3 L = 3 Score = 9 Ranking = Medium	Financial Reputation	Establish a clear IT Strategy and ensure IT business improvement (MIDAS, WAMS 2, MVM, EDRMS, Kent View)	Manage/Control	Alan Loft Other Key Managers: Barry Gould (MIDAS), David Beaver (WAMS 2), Sharon Thompson (MVM), Kelli Davis/Head of Organisation and Performance Improvement (EDRMS), Peter Welsh (Kent View)	•	<ul style="list-style-type: none"> Appoint an IT Strategy Manager Improve IT resource under new Directorate structure 	April/May 08
ER M8	I = 3 L = 3 Score = 9 Ranking = Medium	Financial, Reputation	Un-expectedly high e take-up for Kent Freedom Pass	Manage/Control	Geoff Harrison Mee Other Key Managers: David Hall	<ul style="list-style-type: none"> Modelling of costs based on initial pilot Weekly count of applications Regular updates to Members 	•	On-going
ER M9	I = 3 L = 3 Score = 9 Ranking = Medium	Financial, Reputation	Ensure appropriate management of Capital Programme Major Schemes (Sittingbourne Northern Relief Road, Ashford Schemes, East Kent Access Phase 2)	Manage/Control	Geoff Harrison Mee Other Key Managers: John Farmer	<ul style="list-style-type: none"> Regular budget reviews Project Estimate Review Board to be re-established Independent Estimate Review process Monitor construction price inflation 	•	On-going
ER M10	I = 3 L = 3 Score = 9 Ranking = Medium	Reputation	Borough Green/Platt by-pass implementing consent	Manage / Control	Geoff Harrison-Mee Other Key Managers: John Farmer	•	<ul style="list-style-type: none"> Planning consent review to identify what level of work constitutes and implementation of consent for this scheme (this must be done within 3 years to keep the consent active) 	

Risk No	Rank	Source	Event	Planned Outcome	Accountable Manager	Existing Controls	New tasks/Action Plan	Date
ER M11	I = 4 L = 2 Score = 8 Ranking = Medium	Reputation, Partnerships	Failure to meet key targets in the Kent Environment Strategy	Manage/Control	Leigh Herington (will be new Environment Policy Manager once appointed)	<ul style="list-style-type: none"> Strategies in place Monitoring, especially performance indicators Partnership working Established lines for accountability Have secured Member support/buy-in Business plans to include specific actions to deliver Climate Change Action Plan 	<ul style="list-style-type: none"> Continue to raise awareness of issues 	On-going
ER M12	I = 4 L = 2 Score = 8 Ranking = Medium	Financial, Reputation, Partnerships, Physical	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/housing development is linked to jobs growth	Manage/Control	Caroline Lwin	<ul style="list-style-type: none"> Project progress reports Clear delegation and accountability across directorates Joint working Business plan targets cover whole of county Specific targets in business plan supporting economic and skills development Use of economic statistics to monitor and identify trends Close involvement with Inward Investment Agency, (LiK) 	<ul style="list-style-type: none"> Addressing issue of resources within Directorate restructure 	April/May 08

Risk No	Rank	Source	Event	Planned Outcome	Accountable Manager	Existing Controls	New tasks/Action Plan	Date
ER M13	I = 4 L = 2 Score = 8 Ranking = Medium	Financial	Regeneration Strategy fails to materialise, resulting in no clear vision and possibly no lever to secure future funding for our services	Manage/ Control	Adam Wilkinson Other Key Managers: Peter Welsh, DST	<ul style="list-style-type: none"> Specialist Team established 	<ul style="list-style-type: none"> Approval/monitoring processes set up during restructure Directorate Restructure 	April 2008
ER M14	I = 4 L = 2 Score = 8 Ranking = Medium	Financial, Reputation	Insufficient budget/ major overspend on revenue budget 2008 – 2009 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 Waste Growth for 2008/09 assumed at +1% (higher than current growth level) 	<ul style="list-style-type: none"> DST agreeing MAP if required 	March 2009
ER M15	I = 4 L = 2 Score = 8 Ranking = Medium	Emergencies, People, Physical, Financial, Legislation, Reputation Service Delivery	Emergency event that disrupts staff & services for example: IT Systems failure, pandemic illness causing high level of absence & threatening continuity of services. Risk is having inadequate Business Continuity Plans.	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. Testing of Directorate BCP by March 2008. 	On-going
ER M16	I = 4 L = 2 Score = 8 Ranking = Medium	Financial, Reputation	Capital Programme financial 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

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ER M17	I = 2 L = 4 Score = 8 Ranking = Medium	Financial, Reputation	Ensure effective/appropriate management of KHS Programme delivery	Manage/Control	Geoff Harrison Mee Other key Managers: Behdad Haratbar	<ul style="list-style-type: none"> Monthly finance and programme reporting 	<ul style="list-style-type: none"> 	On-going
ER M18	I = 4 L = 2 Score = 8 Ranking = Medium	Financial, People, Service Delivery, Legislation, Reputation	E&R restructure causing disruption, low staff morale, loss of key people and expertise, pressure on E&R Directorate support services, need to restructure Directorate's budgets, expertise concentrated in too few people/areas, quality, uncertainty, excessive aspirations, filling capacity gaps e.g. project/programme management, Business Process Re-engineering, IT Strategic capacity	Manage/Control	Adam Wilkinson Other Key Managers: DST	<ul style="list-style-type: none"> Management skills training Staff forums/consultations Staff Change Groups Training Budget IIP PDP's, Appraisals, Induction Succession Planning Workload monitoring Staff surveys Support Line Monitoring 	<ul style="list-style-type: none"> Establish a Project Team with a Project Manager Talent Management Skills Audit 	April 2008
ER M19	I = 4 L = 2 Score = 8 Ranking = Medium	Reputation Financial	Operation Stack - Unable to find alternative solution		Leigh Herington Other Key Managers: Mick Sutch	<ul style="list-style-type: none"> 	<ul style="list-style-type: none"> 	

Risk No	Rank	Source	Event	Planned Outcome	Accountable Manager	Existing Controls	New tasks/Action Plan	Date
ER M20	I = 3 L = 2 Score = 6 Ranking = Low	People, Financial, Partnership, Reputation	Non delivery of improvements to the highway service through the KHS Alliance	Manage / Control	David Thomas	<ul style="list-style-type: none"> · Risk monitoring · Programme management · Communications · Member engagement · Operating plan and 7 Service Plans · Connected performance process to be rolled out across KHS · Regular Staff Surveys for early warning · Regular Resident, member and Parish Surveys for progress check 	<ul style="list-style-type: none"> · Alliance Executive and Board engaged in Risk management · Specific Transformation Programme Risk and issues strategy in place and monitored. · Publish a 'vision' to staff so that they know where KHS is going as well as the importance of their role in delivering the right service · Monthly Measuring Success report to Alliance Board Executive and all staff to demonstrate performance with actions identified and taken to drive improvement 	Monthly review

Risk No	Rank	Source	Event	Planned Outcome	Accountable Manager	Existing Controls	New tasks/Action Plan	Date
ER M21	I = 3 L = 2 Score = 6 Ranking = Low	Financial Service	Failure to 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 on LDF process. Team leads identified for each district · Joint negotiation strategies with Districts for major site developments (developments over 500 units) · Quarterly monitoring reports also sent to Cabinet, COG and FSB · Developer's Guide linked to Community Strategy · Use of in-house demographical model for identifying provision required from developers · Seek for full range of KCC services · Use of external contractor for work on minor sites and to assist with major site developments · Use of virtual multi-disciplinary teams to work on major sites · Training provided for team members on specific issues identified as part of staff development sessions · Continued liaison with AIT on service mapping (needs resourcing) 	<ul style="list-style-type: none"> · Continue series of training workshops where appropriate · Review of resource requirements and workloads in light of changes to personnel and priorities arising from Directorate re-structure · Development of standard proforma for progress reporting including project risk registers 	On-going

Risk No	Rank	Source	Event	Planned Outcome	Accountable Manager	Existing Controls	New tasks/Action Plan	Date
ER M22	I = 3 L = 2 Score = 6 Ranking = Low	Financial	Waste Infrastructure Capital programme	Manage/Control	Linda Davies Other Key Managers: Caroline Arnold	•	<ul style="list-style-type: none"> Following approval of funding, proposals will be developed to provide a split of options with appropriate proposals for risk transfer to avoid excess costs but mitigate exposure in each case, such as through acquiring the land. Further report setting out procurement proposals and seeking authority to proceed will be prepared Approval to move forward from 08/09 onwards to deliver these improvements will be sought through formal procedures 	
ER M23	I = 2 L = 3 Score = 6 Ranking = Low	Financial	Excessive delays in the production of the Waste Development Framework	Manage/Control	Leigh Herington	• Regular progress monitoring and reporting	•	On-going
ER M24	I = 2 L = 3 Score = 6 Ranking = Low	Legislation, People, Reputation	Improving our Equality and Diversity performance	Manage / control	Linda Davies, Chair of Equalities Group/Change Group Other Key Managers: Katie Chantler	<ul style="list-style-type: none"> Equalities Group Procedures Directorate Action Plan Link to Level Playing Fields', UNITE and Rainbow forums as well as the DDA access group EIA Work and ESLG work Consultation procedures Promotion of training opportunities to staff Required element of project checklist Monitoring Access to key demographic and economic data via Kent View website Specific actions being included in 2008/09 Business Operating Plans 	<ul style="list-style-type: none"> Work towards completing Level 3 of the ESLG Further promotion and monitoring of training for all staff 	On-going

Risk No	Rank	Source	Event	Planned Outcome	Accountable Manager	Existing Controls	New tasks/Action Plan	Date
ER M25	I = 2 L = 3 Score = 6 Ranking = Low	Legislation Reputation Financial	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 Feedback/reports from FOI Co-ordinator included in QPMR to DST Awareness sessions 	On-Going
ER M26	I = 3 L = 2 Score = 6 Ranking = Low	Financial, Reputation	Role as an accountable body for 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 2008
ER M27	I = 2 L = 3 Score = 6 Ranking = Low	People Emergency	Ensure reduced risk of violence to staff, especially in front-line services	Manage/control	Leigh Herington Other Key Managers: Flavio Walker, Judith Feline, Geoff Harrison Mee	<ul style="list-style-type: none"> Risk assessments Procedures on lone working Violence policy Protective equipment Staff training 	<ul style="list-style-type: none"> Health and Safety group meet to discuss training and other requirements. Extend and improve existing controls – introduction of Lone Star system in Contact Centre to be piloted as of January 2008 (CMY and E&R) with intention of introducing corporately 	On-going
ER M28	I = 3 L = 2 Score = 6 Ranking = Low	Climate, Change, Reputation	Adverse impact on environment and climate change arising from E&R business activity	Manage – Control	Linda Davies	<ul style="list-style-type: none"> Use of dedicated staff leading on environmental regeneration projects Mapping of existing activity Project checklist requirement for projects demonstrate support for KCC Climate Action Change Programme Close liaison with key agencies in project development Learning lunches demonstrating exemplar projects Work by Alison Cambray 	<ul style="list-style-type: none"> Mainstream across all business activity Further awareness raising among staff 	On-going

Risk No	Rank	Source	Event	Planned Outcome	Accountable Manager	Existing Controls	New tasks/Action Plan	Date
ER M29	I = 3 L = 2 Score = 6 Ranking = Low	People Reputation	Poor communications with staff/public	Manage/control	Alan Loft Other Key Managers: Janetta Murrie	<ul style="list-style-type: none"> • Communications Officer/Strategy • Press & PR Strategy • Staff Survey • Complaints Monitoring • E&R Staff Forums • Change Groups 	<ul style="list-style-type: none"> • Look to address during the Directorate restructure 	On-going