From: Matthew Balfour, Cabinet Member for Environment & Transport

               Barbara Cooper, Corporate Director for Growth, Environment & Transport

To: Environment & Transport Cabinet Committee – 9th April 2015

Subject: **Risk Management - Strategic Risk Register**

Classification: **Unrestricted**

Past Pathway of Paper: None

Future Pathway of Paper: None

Electoral Division: All

Summary: This paper presents the strategic risks relating to the Environment & Transport Committee, in addition to a risk featuring on the Corporate Risk Register for which the Corporate Director is the designated 'Risk Owner'. The paper also explains the management process for review of key risks.

Recommendation(s):

The Cabinet Committee is asked to consider and comment on the risks presented.

1.   **Introduction**

1.1   Directorate business plans are reported to Cabinet Committees each March / April as part of the Authority's business planning process. The plans include a high-level section relating to key directorate risks, which are set out in more detail in this paper.

1.2   Risk management is a key element of the Council's Internal Control Framework and the requirement to maintain risk registers ensures that potential risks that may prevent the Authority from achieving its objectives are identified and controlled. The process of developing the registers is therefore important in underpinning business planning, performance management and service procedures. Risks outlined in risk registers are taken into account in the development of the Internal Audit programme for the year.

1.3   Directorate risk registers are reported to Cabinet Committees annually, and contain strategic or cross-cutting risks that potentially affect several functions

across the Growth, Environment & Transport directorate, and often have wider potential interdependencies with other services across the Council and external parties.

1.4 Corporate Directors also lead or coordinate mitigating actions in conjunction with other Directors across the organisation to manage risks featuring on the Corporate Risk Register. The Corporate Director for Growth, Environment & Transport directorate is designated 'Risk Owner' for several corporate risks, one of which (CRR 4 – civil contingencies & resilience) is of relevance to this Committee and is presented for comment in appendix 1.

1.5 A standard reporting format is used to facilitate the gathering of consistent risk information and a 5x5 matrix is used to rank the scale of risk in terms of likelihood of occurrence and impact. Firstly the current level of risk is assessed, taking into account any controls already in place to mitigate the risk. If the current level of risk is deemed unacceptable, a 'target' risk level is set and further mitigating actions introduced with the aim of reducing the risk to a tolerable and realistic level.

1.6 The numeric score in itself is less significant than its importance in enabling categorisation of risks and prioritisation of any management action. Further information on KCC risk management methodologies can be found in the risk management guide on the KNet intranet site.

2. Financial Implications

2.1 Many of the strategic risks outlined have financial consequences, which highlight the importance of effective identification, assessment, evaluation and management of risk to ensure optimum value for money.

3. Strategic Priorities and Policy Framework

3.1 Risks highlighted in the risk registers relate to strategic priorities of the *Facing the Challenge* KCC transformation agenda and achievement of outcomes in KCC's Strategic Statement, as well as the delivery of statutory responsibilities.

3.2 The presentation of risk registers to Cabinet Committees is a requirement of the County Council's Risk Management Policy.

4. Risks relating to the Growth, Environment & Transport directorate

4.1 There are currently seven directorate risks featured on the Growth, Environment & Transport directorate risk register (appendix 2), none of which are rated as 'High'. One risk is currently being assessed relating to dependencies on ICT that affect key systems across the directorate. Many of

the risks highlighted on the register are discussed implicitly as part of regular items to Cabinet Committees.

4.2 Since last reported to Cabinet Committee in July 2014, two risks have been assessed as increasing in severity (GET 03 – partner organisations / contractors not offering the required service and GET 05 – response and resilience to severe weather incidents). New risks have been added relating to skills shortage and capacity issues to manage contracts and projects; and dependencies on ICT.

4.3 Inclusion of risks on this register does not necessarily mean there is a problem. On the contrary, it can give reassurance that they have been properly identified and are being managed proactively.

4.4 Monitoring & Review – risk registers should be regarded as 'living' documents to reflect the dynamic nature of risk management. Directorate Management Teams formally review their risk registers, including progress against mitigating actions, on a quarterly basis as a minimum, although individual risks can be identified and added to the register at any time. Key questions to be asked when reviewing risks are:

- Are the key risks still relevant?
- Have some risks become issues?
- Has anything occurred which could impact upon them?
- Has the risk appetite or tolerance levels changed?
- Are related performance / early warning indicators appropriate?
- Are the controls in place effective?
- Has the current risk level changed and if so is it decreasing or increasing?
- Has the "target" level of risk been achieved?
- If risk profiles are increasing what further actions might be needed?
- If risk profiles are decreasing can controls be relaxed?
- Are there risks that need to be discussed with or communicated to other functions across the Council or with other stakeholders?

5. **Recommendation**

Recommendation:

The Environment & Transport Cabinet Committee is asked to consider and comment on the directorate risk register and relevant corporate risk outlined in appendices 1 and 2.

6.   Background Documents

6.1   KCC Risk Management Policy and guidance on KNet intranet site.

7.   Contact details

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KCC Corporate Risk Register

CORPORATE RISKS LED BY OFFICERS IN THE GROWTH ENVIRONMENT & TRANSPORT DIRECTORATE

Corporate Risks led by Officers in the Growth Environment & Transport Directorate
Summary Risk Profile

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

Risk No.*	Risk Title	Current Risk Rating	Target Risk Rating
CRR 4	Civil contingencies and resilience	12	8

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*Each risk is allocated a unique code, which is retained even if a risk is transferred off the Corporate Register. Therefore there will be some 'gaps' between risk IDs.

NB: Current & Target risk ratings: The 'current' risk rating refers to the current level of risk taking into account any mitigating controls already in place. The 'target residual' rating represents what is deemed to be a realistic level of risk to be achieved once any additional actions have been put in place. On some occasions the aim will be to contain risk at current level.

Likelihood & Impact Scales					
Likelihood	Very Unlikely (1)	Unlikely (2)	Possible (3)	Likely (4)	Very Likely (5)
Impact	Minor (1)	Moderate (2)	Significant (3)	Serious (4)	Major (5)

Risk ID	CRR4	Risk Title	Civil Contingencies and Resilience

Source / Cause of Risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
The Council, along with other Category 1 Responders in the County, has a legal duty to establish and deliver containment actions and contingency plans to reduce the likelihood, and impact, of high impact incidents and emergencies and severe / extreme weather conditions.	Failure to deliver suitable planning measures, respond to and manage these events when they occur.

Critical services are unprepared or have ineffective emergency and business continuity plans and associated activities. | Potential increased harm or loss of life if response is not effective.

Serious threat to delivery of critical services.

Increased financial cost in terms of damage control and insurance costs.

Adverse effect on local businesses and the Kent economy.

Possible public unrest and significant reputational damage

Legal actions and intervention for failure to fulfill KCC's obligations under the Civil Contingencies Act or other associated legislation. | On behalf of CMT

Barbara Cooper, Corporate Director Growth, Environment & Transport

Responsible Cabinet Member(s):

Mike Hill, Community Services | Possible (3)

Target Residual Likelihood

Unlikely (2) | Serious (4)

Target Residual Impact

Serious (4) |

Control Title	Control Owner
Legally required multi-agency Kent Resilience Forum in place, with work driven by risk and impact based on Kent's Community Risk Register. Key roles of group include: • Intelligence gathering and forecasting; • Regular training exercises and tests; • Task & Finish groups addressing key issues. • Plan writing • Capability building	Mike Overbeke, Head of Public Protection (for Kent Resilience Team activity) / Ann Carruthers, Head of Strategic Planning & Policy (for KCC Resilience and Emergencies Unit Corporate Resilience Programme)
Critical functions identified across KCC as a basis for effective Business Continuity Management (BCM).	Ann Carruthers, Head of Strategic Planning & Policy
Management of financial impact to include Bellwin scheme	Dave Shipton, Head of Financial

	Strategy
Maintenance & delivery of emergency procedures, plans and capabilities in place to respond to a broad range of challenges.	Mike Overbeke, Head of Public Protection / Ann Carruthers, Head of Strategic Planning & Policy
System in place for ongoing monitoring of severe weather events (SWIMS)	Carolyn McKenzie, Head of Sustainable Business and Communities
Implementation of Kent's Climate Adaptation Action Plan	Carolyn McKenzie, Head of Sustainable Business and Communities
Local multi-agency flood response plans in place for each district / borough in Kent, in addition to overarching flood response plan for Kent	Mike Overbeke, Head of Public Protection
Winter Resilience Planning Group & action plan in place.	Mike Overbeke, Head of Public Protection
ICT resilience improvements made to underlying data storage, data centre capability and network resilience.	Paul Day, Interim Director ICT
Business Continuity Management Plan in place to improve overall resilience for Contact Point	Christopher Smith, Operations Manager Contact Point
On-going programme of review relating to Disaster Recovery and Business Continuity	Paul Day, Interim Director ICT
Kent Resilience Team in place bringing together personnel from KCC, Kent Police and Kent Fire and Rescue Service in an integrated and co-located team to deliver enhanced emergency planning and business continuity in Kent	Mike Overbeke, Head of Public Protection
Multi-Agency recovery structures are in place at the Strategic and Tactical levels & working effectively.	Paul Crick, Director Environment Planning & Enforcement
KCC Community Wardens trained as Incident Liaison Officers	Mike Overbeke, Head of Public Protection
Pan-Kent Flood Group established to oversee implementation of multi-agency recommendations arising from lessons learnt from Christmas and New Year floods 2013/14	Paul Crick, Director Environment Planning & Enforcement
KCC and local Kent Resilience Forum partners have tested preparedness for Ebola outbreak in line with national requirements. The Director of Public Health has additionally sought and gained assurance from the local Public Health England office and the NHS on preparedness and maintaining business continuity.	Andrew Scott-Clark, Director of Public Health
'Introduction to Emergency Planning' e-learning package available to all staff	Ann Carruthers, Head of Strategic Planning & Policy
Emergency planning training rolled out at strategic, tactical and operational levels	Ann Carruthers, Head of Strategic

	Planning & Policy
Operations Loki, Hawk and Ragnarok exercises conducted in March 2015 testing different elements of KCC emergency and business continuity arrangements	Tony Harwood, Resilience & Emergencies Manager
Senior Management on-call rota devised and agreed	Ann Carruthers, Head of Strategic Planning & Policy
Upgraded / enhanced automated call distribution system introduced offering improved resilience	Paul Day, Interim Director ICT / Jane Kendal Head of Service – Customer Relationships

Action Title	Action Owner	Planned Completion Date
Continue to conduct regular exercises and rehearsals of plans.	Tony Harwood, Resilience & Emergencies Manager (lead role)	March 2016(review)
Implement recommendations from internal and external debriefs into the Christmas/New Year 2013 -14 storms and floods and other recent emergencies.	Paul Crick, Director Environment Planning & Enforcement	March 2016 (review)
Recruitment of additional emergency reservists to aid emergency responses	Paul Crick, Director Environment Planning & Enforcement	March 2016

GROWTH, ENVIRONMENT AND TRANSPORT DIRECTORATE RISK REGISTER

MARCH 2015

Summary Risk Profile

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

Risk No.*	Risk Title	Current Risk Rating	Change since July 2014	Target Risk Rating
GET 01	Delivery of budgets targets	15	⬌	10
GET 02	Health & Safety considerations	10	⬌	10
GET 03	Partner organisations/contractors not offering the required level of service	9	⇧	6
GET 04	Ash Dieback	12	⬌	9
GET 05	Response and resilience to severe weather incidents	15	⬌	8
GET 08	Skills shortage and capacity issues to manage contracts and projects	12	NEW	6
GET 09 (DRAFT)	Loss of ICT systems	TBC	NEW	TBC

*Each risk is allocated a unique code, which is retained even if a risk is transferred off the Directorate Register. Therefore there will be some 'gaps' between risk IDs.

NB: Current & Target risk ratings: The 'current' risk rating refers to the current level of risk taking into account any mitigating controls already in place. The 'target residual' rating represents what is deemed to be a realistic level of risk to be achieved once any additional actions have been put in place. On some occasions the aim will be to contain risk at current level.

Likelihood & Impact Scales					
Likelihood	Very Unlikely (1)	Unlikely (2)	Possible (3)	Likely (4)	Very Likely (5)
Impact	Minor (1)	Moderate (2)	Significant (3)	Serious (4)	Major (5)

Risk ID	GET 01	Risk Title	Delivery of budget targets 2015/16

Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
Financial challenges facing services across the directorate. For example a number of services across the directorate rely on significant external funding, grants and partner contributions in order to provide their services. Demand for some services can also fluctuate.	There is a risk that budget targets are not met, including the risk of greater than planned for reduction or cessation of external funding and grants, or reduced funding.	Insufficient budget or an overspend. Lack of funding to deliver key transport and waste improvements. Reputational damage. Overspend could impact on other parts of the Authority.	GET Directorate Management Team	Possible (3)	Major (5)
				Target Residual Likelihood	**Target Residual Impact**
				Unlikely (2)	Major (5)

Control Title	Control Owner
Regular monitoring of fees through budget process.	GET Directorate Management Team
Financial forecasting and intelligence analysis through pre-application liaison and operator discussions by the planning applications group to gauge possible income levels.	Sharon Thompson, Head of Planning Applications
External funding team in place to support KCC officers in identifying and accessing external funding in line with strategic outcomes.	Katie Stewart, Deputy Director, Economic Devt / Ron Moyes, Head of International Affairs
A 3-5 year forecast to incorporate future contracts and accepted various waste tonnage scenarios has been completed.	Roger Wilkin, Interim Director of Highways, Transportation & Waste
KCC Officers regularly review progress of cases and monitor fee expenditure relating to major projects	John Farmer, Major Projects Manager
Collaborative Planning is used for financial monitoring within services. DMT receive regular financial monitoring updates	GET Directorate Management Team
Full participation in KCC Medium Term Financial Plan and financial monitoring processes.	GET Directorate Management Team
Innovative financial models investigated to pay for key projects transport infrastructure	Paul Crick, Director Environment, Planning & Enforcement

Action Title	Action Owner	Planned Completion Date
Service redesign being planned and delivered across the directorate.	GET Directorate Management	31st March 2016

Team		
Transport Review – consideration of business case	Phil Lightowler, Head of Public Transport	October 2015
Libraries Registration & Archives Trust proposal – outcome of public consultation	Angela Slaven, Interim Head Libraries, Registration & Archives	June 2015
Ensure robust scrutiny of Waste contract	Roger Wilkin, Interim Director Highways, Transportation & Waste	October 2015 (review)

Risk ID	GET 02	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, where KCC fails to take all reasonable steps to prevent such an incident.	Distress to families concerned, possible legal action against the authority and reputational damage.	GET Directorate Management Team	Unlikely (2)	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.	Roger Wilkin, Interim Director, Highways, Transportation & Waste
Staff to follow Health and Safety legislation and guidance	GET Directorate Management Team
Regular reporting of accident data and H&S updates to Senior managers.	GET Directorate Management Team
Regular risk assessments of all Directorate sites and hazards	GET Directorate Management Team
Lone working system operated by contact centre staff	Christopher Smith, Head of Contact Centre/GET Directorate Management Team
EPE Divisional Health and Safety group in place and meets quarterly and reports to Divisional Management Team.	EPE Divisional Management Team
Systems in place in Highways division to facilitate the agreed joint procedures through the CaRe and Kent Police partnerships	Tim Read, Head of Transportation
Killed and Seriously injured (KSI) on roads data regularly analysed by the Highways Team and Education. Publicity and training campaigns delivered.	Tim Read, Head of Transportation
Highways - Crash remedial sites are identified and rectified.	Tim Read, Head of Transportation
Regular testing for hazards e.g. tree surveys.	GET Directorate Management Team
To ensure recommendations of the independent Health and Safety review are monitored and improved as required***	Roger Wilkin, Interim Director Highways, Transportation & Waste

Action Title	Action Owner	Planned Completion Date
Health & Safety audit commissioned to incorporate all waste sites run by new contractor	Roger Wilkin, Interim Director Highways, Transportation & Waste	June 2015
Ensure Health & Safety records from waste contractors are captured.	Roger Wilkin, Interim Director Highways, Transportation & Waste	June 2015
Further H&S training planned through the Kent Resource Partnership (KRP)	Roger Wilkin, Interim Director Highways, Transportation & Waste	31st March 2015

Risk ID	GET 03	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 - including services across the GET directorate, work 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 provided.	GET Directorate Management Team	Possible (3)	Significant (3)
				Target Residual Likelihood	**Target Residual Impact**
				Unlikely (2)	Significant (3)

Control Title	Control Owner
Waste management - robust contract management and client function.	Roger Wilkin, Interim Director Highways, Transportation & Waste
Waste Management - Rigorous programme of pre-qualification checks on potential contractors to assure ability to deliver.	Roger Wilkin, Interim Director Highways, Transportation & Waste
Service Level Agreements are put in place where services are provided by a third party.	David Beaver, Commercial Manager
Amey to produce a monthly performance report showing QPM results.	Roger Wilkin, Interim Director Highways, Transportation & Waste
Partners have business continuity plans, risk registers, performance management and governance arrangements in place	Roger Wilkin, Interim Director Highways, Transportation & Waste
Monitoring of outcomes from Regional Growth Fund loans.	David Smith, Director Economic Development
Transport Integration - risk analysis conducted as part of individual contract arrangements with third parties	Stephen Pay, Transport Integration Manager

Action Title	Action Owner	Planned Completion Date
Ensure robust monitoring and enforcement of improvement plan with highways contractor	Roger Wilkin, Interim Director of Highways, Transportation & Waste	June 2015 (review)
Strengthen approach to managing contracts across the directorate	Growth, Environment & Transport Directorate Management Team	March 2016 (review)

Risk ID	GET 04	Risk Title	Ash Dieback			

Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
Instances of Ash Dieback (Hymenoscyphus fraxineus) disease have been discovered within the county. The outbreak is not widespread and research during the last 12 months indicates that although it is still prevalent in the east of the County, the disease is not spreading at a rate that was anticipated.	There is a risk that significant numbers of ash trees may be affected by this disease in Kent. Ash is the most widespread tree species in Kent.	Large areas of woodland and individual trees may become infected, but as the rate of spread is much slower than anticipated the impact on budgets and services is likely to be much less severe than originally anticipated.	Paul Crick, Director Environment Planning & Enforcement	Likely (4) **Target Residual Likelihood** Possible (3)	Significant (3) **Target Residual Impact** Significant (3)

Control Title	Control Owner
Local Strategic Co-ordinating Group established.	Ann Carruthers, Head of Strategic Planning & Policy / Paul Crick, Director Environment Planning & Enforcement
Interim bio-security precautions established and ratified by UK Chief Plant Health Officer	Ann Carruthers, Head of Strategic Planning & Policy / Paul Crick, Director Environment Planning & Enforcement
Interim Hymenoscyphus fraxineus control Plan published by DEFRA	Mike Overbeke, Head of Public Protection
Multi-agency "Gold" strategy developed to manage the response in Kent, agreed by all parties and published.	Ann Carruthers, Head of Strategic Planning & Policy / Paul Crick, Director Environment Planning & Enforcement
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.	Mike Overbeke, Head of Public Protection / Paul Crick, Director Environment Planning & Enforcement
Ash Dieback summit held in Kent, featuring national and International experts and other interested parties.	Ann Carruthers, Head of Strategic Planning & Policy / Paul Crick, Director Environment Planning & Enforcement
Local multi-agency plan developed to implement the key actions in the local gold strategy and the Defra interim	Mike Overbeke, Head of Public

Hymenoscyphus fraxineus Control Plan	Protection / Paul Crick, Director Environment Planning & Enforcement
Communication Strategy presented to Strategic Co-ordination Group and published. In line with National Plan.	Mike Overbeke, Head of Public Protection / Paul Crick, Director Environment, Planning & Enforcement
"Managing Chalara Ash Dieback in Kent" guidance published and circulated/made available in web based format.	Tony Harwood, Resilience & Emergencies Manager
Briefings provided to CMT, Cabinet re the current position of spread and risk to KCC services	Ann Carruthers, Head of Strategic Planning & Policy / Paul Crick, Director Environment, Planning & Enforcement
Dynamic monitoring of Forestry Commission outbreak mapping taking place	Tony Harwood, Resilience & Emergencies Manager
Public Rights of Way staff and their network of Countryside Partnerships, Country Parks and Access Wardens to look out for outbreaks across Kent	Kate Phillips, Countryside Partnerships Manager

Action Title	Action Owner	Planned Completion Date
Further briefings anticipated to be delivered to Senior Management and Members during 2015	Tony Harwood, Resilience & Emergencies Manager	31st October 2015

Risk ID	GET 05	Risk Title	Response and Resilience to Severe Weather incidents			

Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
The number of severe weather events affecting the county has increased in the past few years, which can have a significant impact on all GET services, businesses and the Kent community. A number of services within the directorate play an important role in planning for, and responding to, these events.	Failure by key services to deliver suitable planning measures, respond to and manage these events when they occur.	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 the directorate and reputational damage for KCC if responses are judged to be inadequate.	Paul Crick, Director Environment Planning & Enforcement John Burr, Director Highways, Transportation & Waste	Very Likely (5) **Target Residual Likelihood** Likely (4)	Significant (3) **Target Residual Impact** Moderate (2)

Control Title	Control Owner
Winter Policy in place each year	Andrew Loosemore, Head of Highways Operations
Support gained from the local community who undertake snow ploughing	Andrew Loosemore, Head of Highways Operations
Priority salting routes agreed and published and plan to ensure salt bins are provided and filled	Andrew Loosemore, Head of Highways Operations
Local Emergency Plans agreed and published with districts/borough councils.	Andrew Loosemore, Head of Highways Operations
Carry out a lessons learnt review after each winter	Andrew Loosemore Andrew Loosemore, Head of Highways Operations
Growth, Environment and Transport services are involved in the recovery efforts relating to the Christmas and New Year floods. The multi-agency Tactical Coordinating Group that oversees the management of recovery operations is chaired by the Flood Recovery Manager.	Paul Crick, Director Environment, Planning & Enforcement
Training is available and being rolled out at strategic, tactical and operational level	Tony Harwood, Resilience & Emergencies Manager / Ann Carruthers, Head of Strategic Planning & Policy

Business Continuity Plans are kept under constant review	Tony Harwood, Resilience & Emergencies Manager / Ann Carruthers, Head of Strategic Planning & Policy
Emergency Conditions reserve has been replenished due to receipt of Government funding	Mike Overbeke, Head of Public Protection
Local Flood Risk Strategy delivered and Flood Risk Management Plan in place	Tony Harwood, Resilience & Emergencies Manager
Senior Management on-call rota devised and now in place	Paul Crick, Director Environment Planning & Enforcement
Severe Weather Impacts Monitoring System (SWIMS) now in use to support the Authority with its response to extreme events	Carolyn McKenzie, Head of Sustainable Business and Communities
Operations Loki, Hawk and Ragnarok exercises conducted in March 2015 testing different elements of KCC emergency and business continuity arrangements	Tony Harwood, Resilience & Emergencies Manager

Action Title	Action Owner	Planned Completion Date
Recommendations from the Winter Flooding Plan to be delivered	Mike Overbeke, Head of Public Protection / Sarah Anderson, Flood Risk and Natural Environment Manager	31st March 2016
Conduct regular exercises and rehearsal of BC plans – where there would be significant impact on welfare or business reputation	Tony Harwood, Resilience & Emergencies Manager	31st March 2016

Risk ID	GET 08	Risk Title	Skills shortage and capacity issues to manage contracts and projects

Source / Cause of risk	Risk Event	Consequence	Risk Owner	Current Likelihood	Current Impact
Funding has been received to deliver major infrastructure projects. The funding is being administered by Essex CC (on behalf of the South East Local Enterprise Partnership), and detailed business cases are required to be completed to obtain the funding through Essex CC.	There is a risk that KCC will be unable to satisfactorily submit suitable business cases and manage the projects due to a shortage of staff with the appropriate skill set within KCC. In addition it is possible that the Authority will be unable to attract suitably trained project managers as the private sector remains competitive in this area.	Funding may not be forthcoming if suitable business cases are not presented, however, even when the funding has been received, the major projects may not be managed appropriately leading to possible delays or difficulties with the funding arrangements. This could impact on the Authority's reputation and even lead to the Authority having to return some of the funding to Central Government.	GET Directorate Management Team	Likely (4)	Significant (3)
				Target Residual Likelihood	**Target Residual Impact**
				Unlikely (2)	Significant (3)

Control Title	Control Owner
An Organisational Development Plan has been prepared in order to develop talents within the Authority and to deliver suitable training to staff	GET Directorate Management Team
Growth, Environment & Transport Portfolio Board established to monitor key risks and issues	Barbara Cooper, Corporate Director Growth, Environment & Transport
Local Growth Fund Project and Steering Group established	Mary Gillett, Major Projects Planning Manager
Workforce planning exercise conducted with Highways, Transportation & Waste division to identify gaps in relation to critical roles and recommendations for action and next steps	Roger Wilkin, Interim Director Highways, Transportation & Waste

Action Title	Action Owner	Planned Completion Date
Consultation is taking place with Amey to establish if they have sufficient suitably trained staff to take on project management roles	Roger Wilkin, Interim Director Highways, Transportation & Waste	30th June 2015
Deliver an Institute of Civil Engineers (ICE) –accredited civil engineering graduate scheme.	Roger Wilkin, Interim Director Highways, Transportation & Waste	30th September 2015
Incorporate workforce planning issues into the Enforcement, Planning &	Paul Crick, Director Environment, Planning	30th September 2015

Risk ID	GET09 (DRAFT)	Risk Title	Loss of ICT systems (risk assessment in progress)			
Source / Cause of risk In order to improve the efficiency of the services within the Directorate a number of ICT systems have been developed that in time have become critical to the delivery of the services. Systems such as WAMS, SWIMS, Cittrix, Atrium, Spydus, CaRa, RON, CALM and CAMS all rely on KCC or external partners. In addition the new telephone system is reliant upon having a working internet system in order to operate.	**Risk Event** There is a risk that an incident may take place that will impact on the operation of one or more of our critical systems causing a disruption or suspension of the services affected.	**Consequence** Depending upon the nature of the disruption it is possible that the public of Kent will be affected and it would result in a delay in our service delivery. This would have an impact on the reputation of the Authority and in an extreme example could impact on the safety of the public.	**Risk Owner** Barbara Cooper, Corporate Director GET GET Directorate Management Team	**Current Likelihood** TBC **Target Residual Likelihood** TBC	**Current Impact** **TBC** **Target Residual Impact** TBC	

Control Title		Control Owner
Business Continuity Plans are in place and highlight critical systems		GET Directorate Management Team
Information backed up daily by ICT and back-ups held off-site		GET Directorate Management Team

Action Title	Action Owner	Planned Completion Date
Discussions with ICT around the options to ensure that Atrium can continue to run on PAB machines	Sharon Thompson, Head of Planning Applications	31st March 2015
Make revisions to Business Continuity Plans to reflect changes to Divisional Management Team	Paul Crick, Director Environment Planning & Enforcement	31st March 2015