From:	Mark Dance, Cabinet Member for Economic Development
	Mike Hill, Cabinet Member for Community Services
	Barbara Cooper, Corporate Director for Growth, Environment & Transport
To:	Growth, Economic Development and Communities Cabinet Committee – 3 March 2016
Subject:	**Risk Management: Growth, Environment and Transport**
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 Growth, Economic Development and Communities Cabinet Committee, in addition to two risks 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.

Recommendations:
The Cabinet Committee is asked to consider and comment on the directorate risk register and relevant corporate risks outlined in appendices 1 and 2.

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, two of which (CRR 3 – access to resources to aid economic growth and enabling infrastructure; and CRR 4 – civil contingencies and resilience) are of relevance to this Committee and are 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. Policy Framework

3.1 Risks highlighted in the risk registers relate to strategic priorities and outcomes featured in KCC's Strategic Statement 2015-2020, 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 six directorate risks featured on the Growth, Environment & Transport directorate risk register (appendix 2), none of which are rated as 'High'. 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 March 2015, the risk relating to delivery of 2015/16 budget targets (GET 01) has been closed, with the directorate forecasting an underspend at time of writing. However, a new risk has been added relating to delivering budget targets for the coming year 2016/17. One risk has been assessed as decreasing in severity (GET 05 – directorate response and resilience to severe weather incidents). A risk has been closed relating to the spread of Ash Dieback, although this still being monitored at divisional level.

4.3 Mitigations for risks are highlighted and implemented on a regular basis as required. For example, in relation to GET 02 (Health & Safety considerations), during the past year an independent Health & Safety review on Waste Management has shown a substantial level of improvement; the Director and all service managers and Heads of Service have been receiving Health & Safety training; and 420 library staff have taken a personal safety eLearning module, with further conflict resolution training organised for all library staff in the coming months.

4.4 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.

4.5 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 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 on KNet intranet site.

7. Contact details

Report Author
- Mark Scrivener, Corporate Risk Manager
- Tel: 03000 416660
- Mark.scrivener@kent.gov.uk

Relevant Corporate Director:
- Barbara Cooper, Corporate Director, Growth, Environment and Transport
- Tel: 03000 415981
- Barbara.cooper@kent.gov.uk

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	Direction of Travel
CRR 3	Access to resources to aid economic growth and enabling infrastructure	12	8	⇔
CRR 4	Civil Contingencies and Resilience	12	8	⇔

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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	CRR3		Risk Title	Access to resources to aid economic growth and enabling infrastructure		
Source / Cause of Risk	**Risk Event**	**Consequence**	**Risk Owner**	**Current Likelihood**	**Current Impact**
The Council seeks access to resources to develop the enabling infrastructure for economic growth and regeneration. However, in parts of Kent, there is a significant gap between the costs of the infrastructure required to support growth and the Council's ability to secure sufficient funds through s106 contributions, Community Infrastructure Levy and other growth levers to pay for it. This is especially the case in the east of the county. At the same time, Government funding for infrastructure (for example via the Local Growth Fund) is limited and competitive and increasingly linked with the delivery of housing and employment outputs. Several local transport schemes proposed will require preparatory work without knowledge of funding allocation in order to deliver on time.	Inability to secure sufficient contributions from development to support growth. Failure to attract sufficient funding via the Local Growth Fund and other public funds to both support the cost of infrastructure and aid economic growth and regeneration. Insufficient return on investment from Regional Growth Fund schemes or significant level of default on loans.	Key opportunities for growth missed. The Council finds it increasingly difficult to fund KCC services across Kent (e.g. schools) and deal with the impact of growth on communities. Kent becomes a less attractive location for inward investment and business. Our ability to deliver an enabling infrastructure becomes constrained. Reputational risk.	Barbara Cooper, Corporate Director Growth, Environment and Transport **Responsible Cabinet Member(s):** Mark Dance, Economic Development Matthew Balfour, Environment & Transport	Possible (3) **Target Residual Likelihood** Unlikely (2)	Serious (4) **Target Residual Impact** Serious (4)

Control Title	Control Owner
Growth and Infrastructure Framework for Kent and Medway published, setting out the infrastructure needed to deliver planned growth and a 10-point action plan	Katie Stewart, Director Environment Planning & Enforcement
Environment Planning & Enforcement and Economic Development teams working with each individual District on composition of infrastructure plans including priorities for the CIL and Section 106 contributions, from which gaps can be identified	David Smith, Director Economic Development / Katie Stewart, Director Environment Planning & Enforcement
Coordinated approach in place between Development Investment Team and service directorates	David Smith, Director Economic Development
Dedicated team in Economic Development in place, working with other KCC directorates, to lead on major sites across Kent.	David Smith, Director Economic Development
Economic Development SMT review of "critical" programmes/projects and review of KPIs to ensure continued appropriateness and relevance	David Smith, Director Economic Development
Infrastructure Funding Group established and receives regular reports on progress of major sites, potential issues for resolution and highlights funding gaps etc.	Barbara Cooper, Corporate Director, Growth, Environment and Transport
Strong engagement of private sector through Kent and Medway Economic Partnership (KMEP), Business Advisory Board and Kent Developer' Group	David Smith, Director Economic Development
Strong engagement with South East LEP and with central Government to ensure that KCC is in a strong position to secure resources from future funding rounds	Ross Gill, Economic Strategy & Policy Manager
Monitoring framework in place for Regional Growth Fund (RGF) programmes covering the issuing and management of contract agreements with regular reports reviewed by Growth, Economic Development & Communities Cabinet Committee.	Jacqui Ward, Regional Growth Fund Programme Manager
KCC Internal Audit and external Auditor commissioned on an annual basis to conduct audits on the compliance of the RGF process and administration of the schemes, including governance, decision making and outcomes	Jacqui Ward, Regional Growth Fund Programme Manager
Continued coordinated dialogue with developers, Districts and KCC service directorates	Nigel Smith, Head of Development

Action Title	Action Owner	Planned Completion Date
Produce Kent's Local Transport Plan 4 – the next iteration of 'Growth without Gridlock'	Tom Marchant, Head of Strategic Planning & Policy	June 2016
Growth & Infrastructure Framework – progress the key actions arising from the framework	Tom Marchant, Head of Strategic Planning & Policy	July 2016 (review)
Influencing local plans and major applications – coordinating KCC's response to and providing expert advice around developments e.g. Ebbsfleet Development Corporation and Paramount Park	Tom Marchant, Head of Strategic Planning & Policy	June 2016 (review)
Progress proposals for a more consistent and comprehensive approach to early engagement and provision of advice for developers on major development proposals, involving a single point of contact at senior County Council officer level.	Nigel Smith, Head of Development	April 2016 (review)

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. The Director of Public Health has a legal duty to gain assurance from the National Health Service and Public Health England that plans are in place to mitigate risks to the health of the public including outbreaks of communicable diseases e.g. Pandemic Influenza. Ensuring that the Council works effectively with partners to respond to, and recover from, emergencies and service interruption is becoming increasingly important in light of recent national and international security threats and severe weather incidents.	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)
Kent Resilience Forum has a Health sub-group to ensure coordinated health services and Public Health England planning and response is in place	Andrew Scott-Clark, Director of Public Health
Kent Resilience Forum Severe Weather Advisory Group established to convene in the event of a severe weather incident.	Mike Overbeke, Head of Public Protection
Critical functions identified across KCC as a basis for effective Business Continuity Management (BCM).	Tony Harwood, Resilience and Emergencies Manager
The Director of Public Health works through local resilience fora to ensure effective and tested plans are in place for the wider health sector to protect the local population from risks to public health.	Andy Scott-Clark, Director of Public Health
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.	Tony Harwood, Resilience and Emergencies Manager
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.	Michael Lloyd, Head of Technology Commissioning

	& Strategy
On-going programme of review relating to ICT Disaster Recovery and Business Continuity	Michael Lloyd, Head of Technology Commissioning & Strategy
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.	Katie Stewart, Director Environment Planning & Enforcement
KCC Community Wardens trained as Incident Liaison Officers	Mike Overbeke, Head of Public Protection
KCC and local Kent Resilience Forum partners have tested preparedness for chemical, biological, radiological, nuclear and explosives (CBRNE) incidents and communicable disease outbreaks 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 Public Health
KCC jointly with Medway Council Public Health dept maintain an on-call rota on behalf and with Public Health England to ensure preparedness for implementing the Scientific, Technical Advisory Cell (STAC) in the event of a major incident with implications for the health of the public	Andrew Scott-Clark, Director of Public Health
'Introduction to Emergency Planning' e-learning package available to all staff	Tony Harwood, Resilience and Emergencies Manager
Emergency planning training rolled out at strategic, tactical and operational levels	Katie Stewart, Director Environment Planning & Enforcement
Exercises regularly conducted to test different elements of KCC emergency and business continuity arrangements with partners (e.g. 'Fort Invicta' November 2015 and Exercise 'Thor' December 2015).	Tony Harwood, Resilience & Emergencies Manager
Senior Management on-call rota devised and agreed	Katie Stewart, Director Environment Planning & Enforcement
Emergency Reservists have been recruited to aid emergency responses	Katie Stewart, Director Environment Planning & Enforcement

Action Title	Action Owner	Planned Completion Date
Reporting arrangements being reviewed to include appropriate elected Member oversight of KCC Business Continuity arrangements.	Katie Stewart, Director of Environment, Planning & Enforcement	April 2016
Review the role of elected Members in the event of emergency situations	Katie Stewart, Director of Environment, Planning & Enforcement	April 2016
Review sufficiency of KCC emergency and resilience resource	Katie Stewart, Director of Environment, Planning & Enforcement	April 2016
Investigate further training and development opportunities for emergency reservists	Tony Harwood, Resilience & Emergencies Manager	May 2016
Capture and communicate learning and potential improvements to business continuity plans in light of recent loss of ICT systems	Katie Stewart, Director of Environment, Planning & Enforcement	March 2016

Appendix 2

GROWTH, ENVIRONMENT AND TRANSPORT DIRECTORATE RISK REGISTER
MARCH 2016

Summary Risk Profile

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

Risk No.*	Risk Title	Current Risk Rating	Change since Spring 2015	Target Risk Rating
GET 01	Delivery of budgets targets 2015/16	Risk Closed		
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	Risk Closed		
GET 05	Directorate response and resilience to severe weather incidents	12	⇩	6
GET 08	Skills shortage and capacity issues to apply for funding and manage contracts and projects	12	⇔	6
GET 09	Loss of ICT systems	12	Not scored in 2015	9
GET 10	Delivery of budget targets 2016/17	12	NEW	6

*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 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) **Target Residual Likelihood** Unlikely (2)	Major (5) **Target Residual Impact** Major (5)

Control Title	Control Owner
Maintain sound Health and Safety systems at waste sites including reviewing accidents and near-misses.	Roger Wilkin, Director Highways, Transportation and Waste
Staff to follow Health and Safety legislation and guidance	GET Directorate Management Team
Regular reporting of accident data and Health & Safety updates to senior managers.	GET Directorate Management Team
Regular risk assessments of all Directorate sites and hazards	GET Directorate Management Team
Environment Planning and Enforcement (EPE) divisional Health and Safety group in place and meets quarterly and reports to Divisional Management Team.	EPE Divisional Management Team
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
Independent Health and Safety review on Waste Management has received good / substantial level of improvement.	Roger Wilkin, Director Highways, Transportation and Waste

420 library staff have taken personal safety e-learning module.		Diane Chilmaid, Business Manager, Growth, Environment and Transport

Action Title	Action Owner	Planned Completion Date
Health and Safety training being delivered to the Highways, Transportation & Waste Director, all Heads of Service and Service Managers.	Roger Wilkin, Director Highways, Transportation and Waste	February 2016
Conflict resolution training organised for library staff, beginning in November 2015, to run over an 18 month period.	Diane Chilmaid, Business Manager, Growth, Environment and Transport	May 2017

Risk ID: GET 03	Risk Title: Partner Organisations/contractors not offering the required level of service.				
Source / Cause of risk KCC - including services across the GET directorate, work closely with partners and contractors to provide its services to the people of Kent	**Risk Event** Partner organisations or contractors do not provide the required level of service to the public.	**Consequence** Efficient / good value for money / high quality services are not provided.	**Risk Owner** GET Directorate Management Team	**Current Likelihood** Significant (3) **Target Residual Likelihood** Unlikely (2)	**Current Impact** Significant (3) **Target Residual Impact** Significant (3)

Control Title	Control Owner
Waste management - robust contract management and client function.	Roger Wilkin, Director Highways, Transportation and Waste
Waste Management - Rigorous programme of pre-qualification checks on potential contractors to assure ability to deliver.	Roger Wilkin, Director Highways, Transportation and Waste
Service Level Agreements are put in place where services are provided by a third party.	David Beaver, Interim Commercial & Commissioning Manager / Head of Waste Management
Highways contractor (Amey) produces a monthly performance report showing Quality Performance Measure results.	Roger Wilkin, Director Highways, Transportation and Waste
Partners have business continuity plans, risk registers, performance management and governance arrangements in place	Roger Wilkin, Director Highways, Transportation and 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

Various service specific contract boards are in place across Highways, Transportation and Waste service contracts and these monitor "services" where providers have quality metrics that they must adhere to and are defined within contract documentation	David Beaver, Interim Commercial & Commissioning Manager / Head of Waste Management

Action Title	Action Owner	Planned Completion Date
Ensure robust monitoring and enforcement of improvement plan with highways contractor	Roger Wilkin, Director Highways, Transportation and Waste	March 2016
Follow up any recommendations arising from the Internal Audit of contract management arrangements in Waste Management.	Roger Wilkin, Director Highways, Transportation and Waste	June 2016

Risk ID: GET 05	Risk Title: Directorate response and resilience to severe weather incidents				
Source / Cause of risk 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.	**Risk Event** Failure by key services to deliver suitable planning measures, respond to and manage these events when they occur.	**Consequence** 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.	**Risk Owner** GET Directorate Management Team	**Current Likelihood** Possible (3) **Target Residual Likelihood** Unlikely (2)	**Current Impact** Serious (4) **Target Residual Impact** Significant (3)

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, Head of Highways Operations
Senior Management on-call rota devised and now in place	Katie Stewart Director Environment, Planning & Enforcement

Business Continuity Plans are kept under constant review	Tony Harwood, Resilience and Emergencies Manager
Training is available and being rolled out at strategic, tactical and operational level	Tony Harwood, Resilience and Emergencies Manager
Local Flood Risk Strategy delivered and Flood Risk Management Plan in place	Sarah Anderson, Environment Strategy Manager
Severe Weather Impact Monitoring System now in use to support the Authority with its response to extreme events	Carolyn McKenzie, Head of Sustainable Business and Communities
Exercises regularly conducted to test different elements of emergency and business continuity arrangements with partners (e.g. 'Fort Invicta' November 2015 and Exercise 'Thor' December 2015).	Tony Harwood, Resilience and Emergencies Manager
Recommendations from the Winter Flooding Plan are being delivered	Sarah Anderson, Environment Strategy Manager
Post Winter Plan completed	Andrew Loosemore, Head of Highways Operations

Action Title	Action Owner	Planned Completion Date
Management of exercises and training relating to this Directorate and others within KCC	Tony Harwood, Resilience & Emergencies Manager	March 2016 (review)
Conduct regular exercises and rehearsal of BC plans – where there would be significant impact on welfare or business reputation	Tony Harwood, Resilience & Emergencies Manager	March 2016 (review)

Risk ID: GET 08 Risk Title: Skills shortage and capacity issues to apply for funding and manage contracts and projects					
Source / Cause of risk 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.	**Risk Event** 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.	**Consequence** 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.	**Risk Owner** GET Directorate Management Team	**Current Likelihood** Likely (4) **Target Residual Likelihood** Unlikely (2)	**Current Impact** Significant (3) **Target Residual Impact** 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 and Transport Portfolio Board established to monitor risks and key issues	Barbara Cooper, Corporate Director Growth, Environment and Transport
Local Growth Fund Project and Steering Group established	Mary Gillett, Major Projects Planning Manager
Workforce Planning exercise conducted with Highways, Transportation and Waste Division to	Roger Wilkin, Director

identify gaps in relation to critical roles and recommendations to action and next steps	Highways, Transportation and Waste
Highways contractor has funded Microsoft Project Training for its Managers to improve their skills base.	Roger Wilkin, Director Highways, Transportation and Waste
Workforce Planning now takes place across the Environment, Planning and Enforcement division at different times in order that services plan ahead for retirements and identifying experience opportunities to being in new talent	Katie Stewart, Director Environment, Planning & Enforcement.
KCC staff are helped to access European Union (EU) funding programmes including form completion and bid writing	David Smith, Director Economic Development

Action Title	Action Owner	Planned Completion Date
Deliver an Institute of Civil Engineers (ICE) accredited civil engineering graduate scheme	Roger Wilkin, Director Highways, Transportation and Waste	March 2016

Risk ID:	GET 09	Risk Title:	Loss of Information Communication and Technology (ICT) systems			
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 and rely on KCC or external partners. In addition KCC's Unified Communications 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** GET Directorate Management Team	**Current Likelihood** Possible (3) **Target Residual Likelihood** Possible (3)	**Current Impact** Serious (4) **Target Residual Impact** Significant (3)	

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
Revisions made to Business Continuity Plans in EPE division reflect changes to Divisional Management Team	Katie Stewart, Director Environment, Planning & Enforcement
New contract signed to ensure that Atrium IT system can continue to run on Planning Application team machines	Sharon Thompson, Head of Planning Applications

Action Title	Action Owner	Planned Completion Date
Ensure regular review, maintenance and administration of Business Continuity Plans, exercises and training	GET Directorate Management Team	March 2016 (review)
Procure and implement new ICT system for planning applications	Sharon Thompson, Head of Planning Applications	March 2017

Risk ID:	GET 10	Risk Title:	Delivery of budget targets 2016/17			
Source / Cause of risk Financial challenges facing services across the directorate. For example a number of services rely on significant external funding and partner contributions. Demand for some services can also fluctuate.	**Risk Event** There is a risk that budget targets are not met, including the risk of greater than planned for reductions or cessation of external funding and grants or reduced funding.	**Consequence** Insufficient budget to maintain service standards. Lack of funding to deliver key transport and waste improvements. Reputational damage. An overspend could impact on other parts of the Authority.	**Risk Owner** GET Directorate Management Team	**Current Likelihood** Possible (3) **Target Residual Likelihood** Unlikely (2)	**Current Impact** Serious (4) **Target Residual Impact** Significant (3)	

Control Title	Control Owner
Collaborative Planning (CP) is used for financial monitoring within services. Directorate Management Team (DMT) receives regular financial monitoring updates	GET Directorate Management Team
Full participation in KCC Medium Term Financial Plan and financial monitoring processes	GET Directorate Management Team
Regular monitoring of fees through the budget process	GET Directorate Management Team
External funding team in place to support KCC officers (including those in GET directorate) in identifying and accessing external funding in line with strategic outcomes	Ron Moys, Head of International Affairs
GET Portfolio Board established to oversee delivery of change across the directorate	GET Directorate Management Team

Action Title	Action Owner	Planned Completion Date
Progress conversion of streetlight network to more efficient LED technology and implement a central monitoring system, with the initial focus on residential areas	Behdad Haratbar, Head of Programmed Work	March 2017
Review charges for activity led services across the directorate	GET Directorate Management Team	March 2017

Conduct service redesign, integration of services and more efficient ways of working to achieve savings	GET Directorate Management Team	March 2017
Work to deliver a Waste Strategy to include delivering savings from contracts due to re-tender in 2016-17	David Beaver, Interim Commercial & Commissioning Manager / Head of Waste Management	March 2017
Development and implementation of Highways Asset Management Strategy	Andrew Loosemore, Head of Highways Operations	March 2017
Progress the Libraries, Registration and Archives in-house transformation ensuring that the service is ready to move towards becoming a Charitable Trust once primary legislation is in place	Andrew Stephens, Head of Libraries, Registration and Archives	March 2017
Progress with subsidised bus routes by taking them back into commercial operation where possible	Philip Lightowler, Head of Public Transport	March 2017
Commercial business rate pool – develop regeneration pot for KCC funded countywide provision	David Smith, Director Economic Development	March 2017