

From: Matthew Balfour, Cabinet Member for Environment & Transport  
Barbara Cooper, Corporate Director for Growth, Environment & Transport

To: Environment & Transport Cabinet Committee – 13 March 2017

Subject: **Risk Management: Growth, Environment and Transport Directorate**

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 Cabinet Committee, in addition to two risks featuring on the Corporate Risk Register for which the Corporate Director is the designated 'Risk Owner' on behalf of the Corporate Management Team. 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 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' on behalf of CMT 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. CRR 3 – access to resources to aid economic growth and enabling infrastructure, has been assessed as being "High" (Red). Mitigation controls and actions are outlined within the detail of the risk 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 five directorate risks featured on the Growth, Environment & Transport directorate risk register (appendix 2), one of which is rated as 'High'. (GET 03 – Partner Organisations not offering the required level of service). Many of the risks highlighted on the register are discussed as part of regular items to Cabinet Committees.
- 4.2 Since last reported to Cabinet Committee in March 2016, one risk has been assessed as increasing in severity (GET 03 – Partner organisations/contractors not offering the required level of service), and one risk has been assessed as reducing in severity (GET 08 – Skills shortage and capacity issues to apply for funding and manage contracts and projects). One risk has been closed (GET 10 Delivery of budget targets 2016/17), as this has been managed. A new risk of this nature is being developed for 2017/18. In addition, a divisional risk relating to workforce succession planning is being escalated to the directorate register as it is deemed to be relevant to all divisions.
- 4.3 Mitigations for risks are highlighted and implemented on a regular basis as required. For example, in relation to GET 03 (Partner organisations/contractors not offering the required level of service) various contract boards are in place across Highways, Transportation and Waste services to monitor services where providers have quality metrics that they must adhere to, and issues are being raised as necessary with commissioned services. Furthermore, the approach to contract management of Waste services contracts has been through an internal audit process and has received a substantial assurance opinion.
- 4.4 The Libraries, Registration & Archives service is currently conducting a comprehensive review of risks and opportunities to achievement of service objectives to ensure its approach is robust and current.
- 4.5 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.
- 4.6 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

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## APPENDIX 1

### Corporate Risks of particular relevance to 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 since March 2016
CRR 3	Access to resources to aid economic growth and enabling infrastructure	16	9	↑
CRR 4	Civil Contingencies and Resilience	12	8	↔

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					
<b>Likelihood</b>	Very Unlikely (1)	Unlikely (2)	Possible (3)	Likely (4)	Very Likely (5)
<b>Impact</b>	Minor (1)	Moderate (2)	Significant (3)	Serious (4)	Major (5)

<b>Risk ID</b>	<b>CRR3</b>	<b>Risk Title</b>	<b>Access to resources to aid economic growth and enabling infrastructure</b>			
<b>Source / Cause of Risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
<p>The Council seeks access to resources to develop the enabling infrastructure for economic growth, regeneration and health.</p> <p>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 'Section 106' contributions, Community Infrastructure Levy (CIL) and other growth levers to pay for it.</p> <p>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.</p> <p>The European Union (EU) referendum result has created uncertainty over levels of EU funding available for projects in the longer term.</p>	<p>Inability to secure sufficient contributions from development to support growth.</p> <p>Failure to attract sufficient funding via the Local Growth Fund (LGF) and other public funds to both support the cost of infrastructure and aid economic growth and regeneration.</p> <p>Insufficient return on investment from Regional Growth Fund (RGF) schemes or significant level of default on loans.</p>	<p>Key opportunities for growth missed.</p> <p>The Council finds it increasingly difficult to fund KCC services across Kent (e.g. schools, waste services) and deal with the impact of growth on communities.</p> <p>Kent becomes a less attractive location for inward investment and business.</p> <p>Our ability to deliver an enabling infrastructure becomes constrained.</p> <p>Reputational risk.</p>	<p>Barbara Cooper, Corporate Director Growth, Environment and Transport</p> <p><b>Responsible Cabinet Member(s):</b></p> <p>Mark Dance, Economic Development</p> <p>Matthew Balfour, Environment &amp; Transport</p>	<p>Likely (4)</p> <p><b>Target Residual Likelihood</b> Possible (3)</p>	<p>Serious (4)</p> <p><b>Target Residual Impact</b> Significant (3)</p>	

<b>Control Title</b>	<b>Control Owner</b>
Growth and Infrastructure Framework for Kent and Medway published, setting out the infrastructure needed to deliver planned growth.	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 performance reports, 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	David Hughes, Head of Business and Enterprise
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
KCC is actively engaged in preparation of local plans across Kent and Medway, responding to all consultations	Tom Marchant, Head of Strategic Planning and Policy

<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Produce Kent's Local Transport Plan 4 – the next iteration of 'Growth without Gridlock'	Tom Marchant, Head of Strategic Planning & Policy	July 2017
Growth & Infrastructure Framework – interim refresh being conducted including reviewing key actions arising from the framework.	Tom Marchant, Head of Strategic Planning & Policy	December 2017 (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	November 2017



<b>Risk ID</b>	<b>CRR4</b>	<b>Risk Title</b>	<b>Civil Contingencies and Resilience</b>			
<b>Source / Cause of Risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
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. This includes responses associated with the Counter-terrorism and Security Act 2015 (CONTEST).	Failure to deliver suitable planning measures, respond to and manage these events when they occur.	Potential increased harm or loss of life if response is not effective.	On behalf of CMT:	Possible (3)	Serious (4)	
	Critical services are unprepared or have ineffective emergency and business continuity plans and associated activities.	Serious threat to delivery of critical services.	Barbara Cooper, Corporate Director Growth, Environment & Transport	<b>Target Residual Likelihood</b> Unlikely (2)	<b>Target Residual Impact</b> Serious (4)	
	Lack of preparedness for new or emerging threats.	Increased financial cost in terms of damage control and insurance costs.				
	Lack of resilience in the supply chain hampers effective response to incidents.	Adverse effect on local businesses and the Kent economy.	<b>Responsible Cabinet Member(s):</b>			
	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.	Possible public unrest and significant reputational damage.	Mike Hill, Community Services			
	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, severe weather incidents and the increasing threat of "cyber-attacks".	Legal actions and intervention for failure to fulfill KCC's obligations under the Civil Contingencies Act or other associated legislation.				

<b>Control Title</b>	<b>Control Owner</b>
<p>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:</p> <ul style="list-style-type: none"> <li>• Intelligence gathering and forecasting;</li> <li>• Regular training exercises and tests;</li> <li>• Task &amp; Finish groups addressing key issues.</li> <li>• Plan writing</li> <li>• Capability building</li> </ul>	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. KCC Resilience Programme in place to deliver further training opportunities.	Katie Stewart, Director Environment Planning & Enforcement
Exercises regularly conducted to test different elements of KCC emergency and business continuity arrangements with partners (e.g. Exercise 'Loki' and exercise 'Surge').	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
Learning and potential improvements to business continuity plans in light of recent loss of ICT systems captured	Katie Stewart, Director Environment Planning & Enforcement
KCC Business Continuity Plan in place	Katie Stewart, Director Environment Planning &

		Enforcement
Kent Channel Panel (early intervention mechanism providing tailored support to people who have been identified as at risk of being drawn into terrorism), established at district and borough level.		Nick Wilkinson, KCC Prevent Lead Officer
Prevent Duty Delivery Board established to oversee the activity of the Kent Channel Panel, co-ordinate Prevent activity across the County and report to other relevant strategic bodies in the county.		Andrew Ireland, Corporate Director, Social Care, Health and Well-Being.
Reporting arrangements have been reviewed to include appropriate elected Member oversight of KCC Business Continuity arrangements.		Katie Stewart, Director Environment Planning & Enforcement
IT security incidents are logged and reviewed from an IT and wider Information Governance perspective		Kathy Stevens, ICT Risk and Compliance Manager
Cabinet Office resilience training delivered		Katie Stewart, Director EPE
Steering Group established and work done to understand local implications of any potential increase in national security threat level in future		Katie Stewart, Director EPE.
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Review sufficiency of KCC and Kent Resilience Team emergency and resilience resource	Katie Stewart, Director of Environment, Planning & Enforcement; Mike Overbeke, Head of Public Protection	April 2017 – Phase 2
Establish local procedures to prepare should national security threat level increase to 'critical', including an update of the Corporate Business Continuity Plan and the piloting of a lead accountable role for such a move in threat levels.	Katie Stewart, Director EPE	April 2017
Exercise the procedures for a move in national threat level should it occur.	Katie Stewart, Director EPE	July 2017
Review of Corporate Business Continuity Plan to reflect new threats and risks, including Climate Change Risk Assessment	Katie Stewart, Director EPE	May 2017



## **APPENDIX 2**

### **GROWTH, ENVIRONMENT AND TRANSPORT DIRECTORATE RISK REGISTER FEBRUARY 2017**

## Summary Risk Profile

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

Risk No.*	Risk Title	Current Risk Rating	Change since Spring 2016	Target Risk Rating
GET 02	Health & Safety considerations	10	↔	10
GET 03	Partner organisations/contractors not offering the required level of service	16	↑	8
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	9	↓	6
GET 09	Loss of ICT systems	12	↔	9
GET 10	Delivery of budget targets 2016/17	Risk Closed		

\*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					
<b>Likelihood</b>	Very Unlikely (1)	Unlikely (2)	Possible (3)	Likely (4)	Very Likely (5)
<b>Impact</b>	Minor (1)	Moderate (2)	Significant (3)	Serious (4)	Major (5)

<b>Risk ID:</b>	<b>GET 02</b>	<b>Risk Title:</b>	<b>Health &amp; Safety considerations</b>				
<b>Source / Cause of risk</b> Services across the directorate need to pay due regard to potential Health and Safety issues due to the nature of the work they undertake.	<b>Risk Event</b> 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.	<b>Consequence</b> Distress to families concerned, possible legal action against the authority and reputational damage.	<b>Risk Owner</b> GET Directorate Management Team	<b>Current Likelihood</b> Unlikely (2)	<b>Current Impact</b> Major (5)	<b>Target Residual Likelihood</b> Unlikely (2)	<b>Target Residual Impact</b> Major (5)
<b>Control Title</b>			<b>Control Owner</b>				
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				
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				
Health and Safety audit on Waste Management now completed and we received a good / substantial level of improvement.			Roger Wilkin, Director Highways, Transportation and Waste				
420 library staff have taken personal safety e-learning module.			Barbara Bragg, Strategic Manager – Specialist and Support Services				
Ensuring recommendations of the independent Health & Safety review are monitored and improved as required			Roger Wilkin, Director Highways, Transportation and Waste				

<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Liaise with Facilities Management Contractors to ensure appropriate levels of Fire Wardens and First Aiders	Total Facilities Management Contract Managers / Gen 2 Business Process Improvement and Supply Chain Manager	April 2017
Conflict resolution training organised, beginning in November 2015, to run over an 18 month period.	Barbara Bragg, Strategic Manager Specialist and Support Services Libraries	May 2017



<b>Risk ID: GET 03 Risk Title: Partner Organisations/contractors not offering the required level of service.</b>						
<b>Source / Cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>	
KCC - including services across the GET directorate, work closely with partners and contractors to provide its services to the people of Kent, however issues are being experienced with Contact Point systems and Facilities Management providers.	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	Likely (4)	Serious (4)	
				<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>	
				Unlikely (2)	Serious (4)	
<b>Control Title</b>				<b>Control Owner</b>		
Robust contract management and client function.				Roger Wilkin, Director Highways, Transportation and Waste		
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, Head of Waste Management and Business Services		
Monthly performance report showing QPM results produced by Highways Term Maintenance contractor				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, Head of Waste Management and Business Services		
Issues with Contact Point provider being raised through the Customer Service Board				GET Directorate Management Team		

To work with Infrastructure commissioners to raise issues with Total Facilities Management (TFM) providers	GET Directorate Management Team	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
<p>Performance monitoring of Highways contractor being conducted through regular Contract Boards. Contractor to provide an annual performance report to cover all contract areas.</p> <p>'Working better together' groups for street lighting and drainage formed to promote the sharing of best work practices and improved ways of working.</p>	<p>David Beaver, Head of Waste Management and Business Services / Andrew Loosemore, Deputy Director Highways, Transportation and Waste / Roger Wilkin, Director Highways, Transportation and Waste</p>	<p>Dec 2017 (review)</p>

<b>Risk ID:</b>	<b>GET 05</b>	<b>Risk Title:</b>	<b>Directorate response and resilience to severe weather incidents</b>				
<b>Source / Cause of risk</b> 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.	<b>Risk Event</b> Failure by key services in GET to deliver suitable planning measures, respond to and manage these events when they occur.	<b>Consequence</b> 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.	<b>Risk Owner</b> Katie Stewart Director Environment, Planning & Enforcement/ Roger Wilkin, Director Highways, Transportation and Waste	<b>Current Likelihood</b> Possible (3)	<b>Current Impact</b> Serious (4)	<b>Target Residual Likelihood</b> Unlikely (2)	<b>Target Residual Impact</b> Significant (3)
<b>Control Title</b>			<b>Control Owner</b>				
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			Tony Harwood, Resilience and Emergencies Manager				

Severe Weather Impacts 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. Exercise 'Surge').	Tony Harwood, Resilience and Emergencies Manager	
Recommendations from the Winter Flooding Plan are being delivered	Carolyn McKenzie, Group Head – Sustainable Business and Communities / Mike Overbeke, Group Head – Public Protection	
Post Winter Plan completed	Andrew Loosemore, Head of Highways Operations	
Contractual issues have been raised with Agilysis commissioners regarding Out of Hours response in severe weather incidents	GET Directorate Management Team	
Kent Resilience Forum (KRF) Severe Weather Advisory Group established to convene in the event of a severe weather incident	Tony Harwood, Resilience and Emergencies Manager	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Building on the learning from Exercise Surge, continue to train and exercise against the Surge scenario and expand on the Recovery table-top exercise. Deliver a Recovery Exercise based on "Surge + 6 months" to test partners' abilities to support the community in the return to normality in the longer term	Katie Stewart, Director EPE	July 2017
Continue to train and exercise against the Exercise Surge scenario and test the Kent Resilience Forum Media and Communications Plan elements that were not covered by the exercise including the management of real media and the use of real media to warn and inform the community. Test the cell's capacity to work 'virtually'.	Katie Stewart, Director EPE	September 2017
Review, update and circulate the Kent Resilience Forum Evacuation and Shelter Plan to reflect learning from Exercise Surge	Katie Stewart, Director EPE	December 2017
Complete a Training Needs Analysis for Welfare Centre Managers and Staff required to staff two welfare centres for a period of 24 hours and ensure that the KRF Welfare Centre training is internally promoted. Amend welfare centre training to take into account any issues around documentation, information provision, luggage, translating. Ensure that it is promoted effectively in organisations.	Katie Stewart, Director EPE	May 2017

<b>Risk ID: GET 08 Risk Title: Skills shortage and capacity issues to apply for funding and manage contracts and projects</b>							
<b>Source / Cause of risk</b> 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.	<b>Risk Event</b> 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.	<b>Consequence</b> 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.	<b>Risk Owner</b> GET Directorate Management Team	<b>Current Likelihood</b> Possible (3)	<b>Current Impact</b> Significant (3)	<b>Target Residual Likelihood</b> Unlikely (2)	<b>Target Residual Impact</b> Significant (3)
<b>Control Title</b>			<b>Control Owner</b>				
An Organisational Development (OD) 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			Lee Burchill, Local Growth Fund Programme Manager				
Workforce Planning exercise conducted with Highways, Transportation and Waste Division to identify gaps in relation to critical roles and recommendations to action and next steps			Roger Wilkin, Director 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 external funding programmes including form completion and bid writing	David Smith, Director Economic Development	
Ensure relevant KCC staff are helped to access EU funding programmes including form completion and bid writing and help them to understand implications of any future changes	David Smith, Director Economic Development	
Resources are being allocated and prioritised according to need. Reconciling information relating to Local Transport Plan and Growth & Infrastructure Framework	David Smith, Director Economic Development/ Katie Stewart, Director Environment, Planning & Enforcement.	
<b>Action Title</b>	<b>Action Owner</b>	<b>Planned Completion Date</b>
Environment Planning and Enforcement (EPE) division is undertaking a transformation programme that will respond to issues raised in workforce planning	Katie Stewart, Director Environment, Planning & Enforcement.	April 2017
GET Organisation Development (OD) Group are exploring opportunities for horizontal progression and talent management	Katie Stewart, Director Environment, Planning & Enforcement	March 2017
GET OD Group are developing a forward-looking workforce strategy for GET which will identify skills needs for the next five to ten years for GET, from which an action plan can be drawn.	Katie Stewart, Director Environment, Planning & Enforcement	May 2017

<b>Risk ID:</b>	<b>GET 09</b>	<b>Risk Title: Loss of Information Communication and Technology (ICT) systems</b>			
<b>Source / Cause of risk</b>	<b>Risk Event</b>	<b>Consequence</b>	<b>Risk Owner</b>	<b>Current Likelihood</b>	<b>Current Impact</b>
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. These systems rely on KCC or external partners. In addition the telephone system is reliant upon having a working internet system in order to operate.	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.	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. Prolonged interruption could also lead to loss of income from payment systems	GET Directorate Management Team	Possible (3)	Serious (4)
				<b>Target Residual Likelihood</b>	<b>Target Residual Impact</b>
				Possible (3)	Significant (3)
<b>Control Title</b>			<b>Control Owner</b>		
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		
Contract in place to ensure continuity of existing Atrium planning system until summer 2018			Sharon Thompson, Head of Planning Applications		
<b>Action Title</b>		<b>Action Owner</b>	<b>Planned Completion Date</b>		
All GET Divisions to review resilience of ICT systems and to commission solutions for disaster recovery where needed and not already in place		GET Directorate Management Team/Kathy Stevens, ICT Compliance and Risk Manager	May 2017		
Investigate options for use of SharePoint in HTW division		Roger Wilkin, Director Highways, Transportation and Waste	June 2017		
Procure and implement new ICT system for planning applications to replace 'Atrium planning'		Sharon Thompson, Head of Planning Applications	June 2018		