

From: Mike Whiting, Cabinet Member for Planning, Highways, Transport and Waste
Mike Hill, Cabinet Member for Community and Regulatory Services
Barbara Cooper, Corporate Director of Growth of Environment & Transport

To: Environment and Transport Cabinet Committee – 20 March 2018

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 and 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 reviewing 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 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 (CRR0003 – access to resources to aid economic growth and enabling infrastructure; and CRR0004 – contingencies and resilience) are of relevance to this Committee and are presented for comment in Appendix 1. CRR0003 – 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 six directorate risks featured on the Growth, Environment & Transport directorate risk register (appendix 2), two of which are rated as 'High'. (GT0020- Identification, planning and delivery of Medium Term Financial Plan targets and GT 0021 - Internal supply chain not offering 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 2017, the previously recorded finance risk has been split in two, reflecting differing factors and risk levels associated with delivery of in-year budget targets versus identification, planning and delivery of medium-term savings and income. The previous risk relating to partner organisations / contractors not offering the required level of service has been narrowed to focus on the internal supply chain. One risk has been taken off the directorate register relating to loss of ICT systems, with the risk now being held at divisional level as appropriate.
- 4.3 Mitigations for risks are developed and implemented on a regular basis as required. For example, in relation to GT0001 Health and Safety considerations, conflict resolution training has been organised, completed and evaluated for library staff and the service's lone working policy is being reviewed. There are also regular exercises throughout the year to test services' preparedness for and response to severe weather incidents (GT0003), and there is a GET directorate Organisation Development Group developing a forward-looking workforce strategy to identify skills needed for the medium to long term, with an action plan to follow that aims to mitigate the potential skills shortages and capacity issues in applying for funding and managing contracts and projects.
- 4.4 The Libraries, Registration & Archives service has conducted a comprehensive review of risks and opportunities to achievement of service objectives, including piloting a structured approach to management of opportunities, with the potential for this approach to be rolled out more widely across the Authority.
- 4.5 Inclusion of risks on a 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 risks 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 2017
CRR 0003	Access to resources to aid economic growth and enabling infrastructure	16 (High)	12 (Medium)	↔
CRR 0004	Civil Contingencies and Resilience	12 (Medium)	8 (Medium)	↔

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 Register - Corporate Risk Register

Current Risk Level Summary

Green	0	Amber	1	Red	1	Total	2
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Current Risk Level Changes

0	0	0	0	0	0
0	0	0	1	0	0
0	0	0	1	0	0
0	0	0	0	0	0
0	0	0	0	0	0

Risk Title and Cause	Risk Ref	Owner	Last Review date	Next Review Date
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Access to resources to aid economic growth and enabling infrastructure	CRR0003	Barbara Cooper	20/12/2017	20/03/2018
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The Council seeks access to resources to develop the enabling infrastructure for economic growth, regeneration and health. 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. At the same time, Government funding for infrastructure is limited and competitive and increasingly linked with the delivery of housing and employment outputs. It is currently unknown what, if any, sources of funding there may be to replace EU funding streams in the longer term.

Risk Event	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Days Overdue	Target Risk Level
Inability to secure sufficient contributions from development to support growth. Funders do not recognise Kent priorities for investment. Lack of resources to continuously shape and determine bids.	Key opportunities for growth missed. 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. Kent becomes a less attractive location for inward investment and business. Our ability to deliver an enabling infrastructure becomes constrained. Reputational risk.	High		<ul style="list-style-type: none"> Engage with stakeholders to draw up an agreed Enterprise & Productivity Strategy 2018-2050 	David Smith	A -Accepted	30/04/2018	
		16		<ul style="list-style-type: none"> Growth & Infrastructure Framework – interim refresh being conducted including reviewing key actions arising from the framework 	Tom Marchant	A -Accepted	31/03/2018	
		Serious (4)		<ul style="list-style-type: none"> Contribute to refresh of Strategic Economic Plan 	Barbara Cooper	A -Accepted	30/03/2018	
		Likely (4)		<ul style="list-style-type: none"> 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. 	Dave Hughes	Control		
				<ul style="list-style-type: none"> Dedicated team in Economic Development in place, working with other KCC directorates, to lead on major sites across Kent. 	David Smith	Control		
				<ul style="list-style-type: none"> Coordinated approach in place between Development Investment Team and service directorates 	David Smith	Control		

Risk Register - Corporate Risk Register

			<ul style="list-style-type: none"> • Strong engagement of private sector through Kent and Medway Economic Partnership (KMEP), Business Advisory Board and Kent Developer Group 	David Smith	Control			
			<ul style="list-style-type: none"> • Continued co-ordinated dialogue with developers, Districts and KCC service directorates 	Nigel Smith	Control			
			<ul style="list-style-type: none"> • Local Transport Plan 4 produced and approved by County Council 	Tom Marchant	Control			
			<ul style="list-style-type: none"> • KCC is actively engaged in preparation of local plans across Kent and Medway, responding to all consultations. 	Tom Marchant	Control			
			<ul style="list-style-type: none"> • 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. 	Katie Stewart / David Smith	Control			
			<ul style="list-style-type: none"> • Growth and Infrastructure Framework for Kent and Medway published, setting out the infrastructure needed to deliver planned growth. 	Katie Stewart	Control			
			<ul style="list-style-type: none"> • Infrastructure Funding Group established and receives regular performance reports, potential issues for resolution and highlights funding gaps etc. 	Barbara Cooper	Control			
			<ul style="list-style-type: none"> • Organisational Development plan is targeting gaps in resources to support bids 	GET Directorate Management Team	Control			

Risk Register - Corporate Risk Register

Risk Title and Cause		Risk Ref	Owner	Last Review date	Next Review Date			
Contingencies and Resilience		CRR0004	Barbara Cooper	20/12/2017	20/03/2018			
<p>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). 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, severe weather incidents and the increasing threat of 'cyber attacks' (see risk CRR 0014).</p>								
Risk Event	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Days Overdue	Target Risk Level
<p>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. Lack of resilience in the supply chain hampers effective response to incidents.</p>	<p>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 fulfil KCC's obligations under the Civil Contingencies Act or other associated legislation.</p>	<p>Medium 12 Serious (4) Possible (3)</p>		<ul style="list-style-type: none"> Implementation of a more formalised team structure across the council for emergency planning, ensuring it is embedded as part of the corporate responsibilities of managers. 	Amanda Beer	A -Accepted	31/03/2018	<p>Medium 8</p>
				<ul style="list-style-type: none"> Contribute to the Kent Resilience Forum Local Authorities Emergency Planning group's updating of mutual aid arrangements with District Councils, other councils across the region. 	Fiona Gaffney	A -Accepted	31/03/2018	
				<ul style="list-style-type: none"> Exercise the procedures for a move in national threat level 	Katie Stewart	A -Accepted	30/04/2018	
				<ul style="list-style-type: none"> Respond to any issues arising from upcoming audit of KCC Business Continuity arrangements 	Corporate Management Team	A -Accepted	31/07/2018	
				<ul style="list-style-type: none"> 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 	Anu Singh	Control		
				<ul style="list-style-type: none"> Management of financial impact to include Bellwin scheme 	Cath Head	Control		
				<ul style="list-style-type: none"> Local multi-agency flood response plans in place for each district/borough in Kent, in addition to overarching flood response plan for Kent 	Tom Marchant	Control		
				<ul style="list-style-type: none"> Fire Safety Guidance provided by KCC reviewed and updated 	Flavio Walker	Control		

Risk Register - Corporate Risk Register

			<ul style="list-style-type: none"> • Senior Management on-call rota devised and agreed • KCC Business Continuity Management Policy and overarching Business Continuity Plan in place, underpinned by business continuity plans at service level. • Local procedures have been and are being continually reviewed and refined for occasions the national threat level increases to critical. This includes an update of the Corporate Business Continuity Plan. • New Quality Assurance approach introduced for business continuity plans to emphasise service accountability. This includes the testing of interdependencies between KCC business continuity plans and those of 3rd parties. • New approach to Business Continuity Governance arrangements to enable increased focus on directorate Issues implemented • Multi-agency recovery structures are in place at the strategic and tactical levels and working effectively • Emergency planning training rolled out at strategic, tactical and operational levels. KCC Resilience Programme in place to deliver further training opportunities and exercises regularly conducted to test different elements of KCC emergency and business continuity arrangements with partners (e.g. Exercise 'Loki@' and Exercise 'Surge'). • On-going programme of review relating to ICT Disaster Recovery and Business Continuity arrangements. • ICT resilience improvements are embedded as part of the ICT Transformation Programme. 	<p>Katie Stewart</p> <p>Katie Stewart</p> <p>Katie Stewart</p> <p>Katie Stewart</p> <p>Katie Stewart</p> <p>Katie Stewart</p> <p>Katie Stewart</p> <p>Michael Lloyd</p> <p>Michael Lloyd</p>	<p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p> <p>Control</p>				
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Risk Register - Corporate Risk Register

			<ul style="list-style-type: none"> • Legally required multi-agency Kent Resilience Forum in place, with work driven by risk and impact based on Kent's Community Risk Register. Includes sub-groups relating to Health and Severe Weather. 	Mike Overbeke	Control			
			<ul style="list-style-type: none"> • Kent Resilience team in place bringing together personnel from KCC, Kent Police and Kent Fire & Rescue Service in an integrated and co-located team to deliver enhanced emergency planning and business continuity in Kent 	Mike Overbeke	Control			
			<ul style="list-style-type: none"> • Winter Resilience Planning Group and action plan in place 	Mike Overbeke	Control			
			<ul style="list-style-type: none"> • 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	Control			
			<ul style="list-style-type: none"> • Implementation of Kent's Climate Adaption Action Plan 	Carolyn McKenzie	Control			
			<ul style="list-style-type: none"> • 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. 	Andrew Scott-Clark	Control			
			<ul style="list-style-type: none"> • 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. 	Andrew Scott-Clark	Control			



APPENDIX 2

GROWTH, ENVIRONMENT AND TRANSPORT DIRECTORATE RISK REGISTER MARCH 2018

Summary Risk Profile

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

Risk No.*	Risk Title	Current Risk Rating	Change since Spring 2017	Target Risk Rating
GT 0001	Health & Safety considerations	10 (Medium)	↔	10 (Medium)
GT 0003	Directorate response and resilience to severe weather incidents	12 (Medium)	↔	6 (Low)
GT 0004	Skills shortage and capacity issues to apply for funding and manage contracts and projects	9 (Medium)	↔	6 (Low)
GT 0019	Delivery of in-year budget targets.	12 (Medium)	↔	4 (Low)
GT 0020	Identification, planning and delivery of Medium Term Financial Plan targets.	16 (High)	New Risk	4 (Low)
GT 0021	Internal supply chain not offering required level of service.	16 (High)	Amended from broader risk	9 (Medium)
CLOSED	Loss of ICT systems	Risk moved to relevant divisional registers		

*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)

Full Risk Register

Risk Register - Growth, Environment and Transport

Current Risk Level Summary

Green	0	Amber	4	Red	2	Total	6
				1	4	↗	1 4 ↗

Current Risk Level Changes

0	0	0	0	0
0	0	0	2	0
0	0	1	2	0
0	0	0	0	1
0	0	0	0	0

Risk Title and Cause	Risk Ref	Owner	Last Review date	Next Review Date
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Health and Safety considerations	<i>GT0001</i>	GET Directorate Management Team	08/02/2018	08/05/2018
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Services across the directorate need to pay due regard to potential Health and Safety issues due to the nature of the work they undertake.

Risk Event	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Days Overdue	Target Risk Level	
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.	Medium 10 Major (5) Unlikely (2)		<ul style="list-style-type: none"> Ensuring recommendations of the independent Health and Safety review are monitored and improved as required GET Health and Safety group reports regularly to Directorate Management Team Health & Safety Audit on Waste Management now completed and we received a good / substantial level of improvement. Maintain sound Health and Safety systems at waste sites including reviewing accidents and near-misses. Conflict resolution training completed and evaluated. Library staff have taken personal safety e-learning module Review conducted of Fire Wardens and First Aiders. Gaps identified and contractor has organised training and updating of lists for HQ buildings. Libraries Registration and Archive Lone Working Policy is being reviewed Regular reporting of accident data and H&S updates to Senior managers. Regular risk assessments of all Directorate sites and testing for hazards 	<ul style="list-style-type: none"> Roger Wilkin Roger Wilkin Roger Wilkin Roger Wilkin Barbara Bragg Barbara Bragg Mark Duggan GEN2 James Pearson GET Directorate Management Team GET Directorate Management Team 	<ul style="list-style-type: none"> Control Control Control Control Control Control Control Accepted Control Control 			Medium 10

Growth, Environment and Transport

Risk Register - Growth, Environment and Transport

			<ul style="list-style-type: none">• Staff to follow Health and Safety legislation and guidance	GET Directorate Management Team	Control			
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Growth, Environment and Transport

Risk Register - Growth, Environment and Transport

Risk Title and Cause		Risk Ref	Owner	Last Review date	Next Review Date			
Directorate Response and Resilience to Severe Weather incidents		GT0003	GET Directorate Management Team	08/02/2018	08/05/2018			
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	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Days Overdue	Target Risk Level
Failure by key services in GET 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.	Medium 12 Serious (4) Possible (3)		<ul style="list-style-type: none"> 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 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". Review, update and circulate the Kent Resilience Forum Evacuation and Shelter Plan to reflect learning from Exercise Surge The Kent Resilience Forum are working on a range of e-learning products, which will include welfare centre documentation training Severe Weather Impacts Monitoring System now in use to support the Authority with its response to extreme events Business Continuity Plans are kept under constant review Local Flood Risk Strategy delivered and Flood Risk Management Plan in place Post Winter plan completed Kent Resilience Forum Severe Weather Advisory Group established to convene in the event of a severe weather incident. 	Katie Stewart A -Accepted 31/05/2018 Katie Stewart A -Accepted 31/03/2018 Katie Stewart A -Accepted 01/04/2018 Fiona Gaffney A -Accepted 31/03/2018 Carolyn McKenzie Control GET Directorate Management Team Control Tony Harwood Control Andrew Loosemore Control Tony Harwood Control			Low 6

Growth, Environment and Transport

Risk Register - Growth, Environment and Transport

			<ul style="list-style-type: none"> • Priority salting routes agreed and published and plan to ensure salt bins are provided and filled 	Andrew Loosemore	Control			
			<ul style="list-style-type: none"> • Recommendations from the Winter Flooding Plan are being delivered. 	Sarah Anderson	Control			
			<ul style="list-style-type: none"> • Training is available and being rolled out at strategic, tactical and operational level 	Tony Harwood	Control			
			<ul style="list-style-type: none"> • Carry out a lessons learnt review after each winter 	Andrew Loosemore	Control			
			<ul style="list-style-type: none"> • Contractual issues have been raised with Agilysis commissioners regarding Out of Hours response in severe weather incidents. 	GET Directorate Management Team	Control			
			<ul style="list-style-type: none"> • Senior Management on-call rota devised and now in place 	Katie Stewart	Control			
			<ul style="list-style-type: none"> • Support gained from the local community who undertake snow ploughing 	Andrew Loosemore	Control			
			<ul style="list-style-type: none"> • Local Emergency Plans agreed and published with districts/borough councils. 	Andrew Loosemore	Control			
			<ul style="list-style-type: none"> • Exercises regularly conducted to test different elements of emergency and business continuity arrangements with partners (e.g. Exercise Surge). 	Tony Harwood	Control			
			<ul style="list-style-type: none"> • Cross Directorate Resilience Group briefed on the SWIMS system 	Katie Stewart	Control			
			<ul style="list-style-type: none"> • 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, has been completed. 	Katie Stewart	Control			
			<ul style="list-style-type: none"> • Kent Resilience Team have updated welfare centre training and have delivered specific documentation training to those who took part in Exercise Surge where the learning need was identified. 	Fiona Gaffney	Control			

Growth, Environment and Transport

Risk Register - Growth, Environment and Transport

Risk Title and Cause		Risk Ref	Owner	Last Review date	Next Review Date				
Skills shortage and capacity issues to apply for funding and manage contracts and projects		GT0004	GET Directorate Management Team	08/02/2018	08/05/2018				
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	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Days Overdue	Target Risk Level	
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.	Medium 9 Significant (3) Possible (3)		<ul style="list-style-type: none"> GET Organisation Devt Group are developing a forward-looking workforce strategy for GET, currently out to consultation, which will identify skills needed for the next 5-10 years, from which an action plan can be drawn. Relevant KCC staff are helped to access external funding programmes including form completion and bid writing. Local Growth Fund Project and Steering Group established Highways contractor has funded Microsoft Project training for its managers to improve their skills base. Workforce Planning exercise conducted with Highways, Transportation & Waste Division to identify gaps in relation to critical roles and recommendations for action and next steps Workforce planning now takes place across EPE division at different times in order that services plan ahead for retirements and identify experience opportunities to bring in new talent. EPE are leading a continual transformation programme that will respond to issues raised in workforce planning Growth, Environment & Transport Change Portfolio Board established to monitor risks and key issues 	Katie Stewart David Smith Lee Burchill Roger Wilkin Roger Wilkin Katie Stewart Katie Stewart Barbara Cooper	A -Accepted Control Control Control Control Control Control	31/03/2018		Low 6


Growth, Environment and Transport

Risk Register - Growth, Environment and Transport

Risk Title and Cause		Risk Ref	Owner	Last Review date	Next Review Date				
Delivery of in-year budget targets. Financial challenges facing services across the directorate, which are becoming harder to mitigate year-on-year. For example a number of services rely on significant external funding, grants and partner contributions. Demand for some services can also fluctuate. In addition, approval of funding for capital projects is often given in stages meaning that the directorate is working 'at risk' should these projects not ultimately proceed.		GT0019	GET Directorate Management Team	08/02/2018	08/05/2018				
Risk Event	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Days Overdue	Target Risk Level	
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. Risk of costs from any aborted capital projects being charged back to the directorate creating additional in-year pressures.	Insufficient budget to maintain service standards. Reputational damage. An over-spend could impact on other parts of the Authority and / or mean additional savings required in future years.	Medium 12 Serious (4) Possible (3)		<ul style="list-style-type: none"> 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 Collaborative Planning (CP) is used for financial monitoring within services. Directorate Management Team (DMT) receives monthly financial monitoring updates Full participation in KCC Medium Term Financial Plan and financial monitoring processes GET Portfolio Board established to oversee delivery of change across the directorate Regular monitoring of income and fees through the budget process Regular review of amber and red rated savings according to KCC BRAG system Management teams across the directorate work to resist in-year pressures. 	David Smith GET Directorate Management Team GET Directorate Management Team GET Directorate Management Team GET Directorate Management Team GET Directorate Management Team	Control			Low 4

Growth, Environment and Transport

Risk Register - Growth, Environment and Transport

Risk Title and Cause		Risk Ref	Owner	Last Review date	Next Review Date			
Identification, planning and delivery of Medium Term Financial Plan targets. Financial challenges facing services across the directorate with a reduced ability to mitigate year-on-year. E.g. there is a significant capital programme for the directorate to support. For example a number of services rely on significant external funding, grants and partner contributions. Demand for some services can also fluctuate.		GT0020	GET Directorate Management Team	08/02/2018	08/05/2018			
Risk Event	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Days Overdue	Target Risk Level
There is a risk that Medium Term Financial Plan (MTFP) budget targets are not met, including the risk of greater than planned for reductions or cessation of external funding and grants or reduced funding.	Insufficient budget to maintain service standards. Reputational damage. An over-spend could impact on other parts of the Authority and / or mean additional savings required in future years.	High 16 Serious (4) Likely (4)	12  4	<ul style="list-style-type: none"> GET Portfolio Board established to oversee delivery of change across the directorate 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 Savings and income proposals developed to feed into the KCC MTFP. Full participation in KCC Medium Term Financial Plan and financial monitoring processes Regular review of amber and red rated savings according to KCC BRAG system 	GET Directorate Management Team GET Directorate Management Team GET Directorate Management Team GET Directorate Management Team GET Directorate Management Team	Control Control Control Control		Low 4

Growth, Environment and Transport

Risk Register - Growth, Environment and Transport

Risk Title and Cause		Risk Ref	Owner	Last Review date	Next Review Date				
Internal supply chain not offering required level of service.		GT0021	GET Directorate Management Team	08/02/2018	08/05/2018				
The GET Directorate relies on services from such as Invicta Law, Gen2 TFM and Agilisys to maintain and provide its services to the public of Kent.									
Risk Event	Consequence	Current Risk	Previous Current Risk	Control / Action	Control / Action	Target Date	Days Overdue	Target Risk Level	
There is a risk that the quality of the services that are provided to the Directorate do not meet required standards, causing a reduction in the performance of the Directorate's services in the eyes of the public and service users.	Reduction in customer service levels and therefore customer satisfaction with services provided by the directorate. Potential compliance concerns. Reputational damage.	High 16 Serious (4) Likely (4)		<ul style="list-style-type: none"> Work to ensure appropriate involvement of GET representatives in shaping specification and overseeing performance e.g. attendance at Infrastructure Stakeholder Group. Issues with Contact Point provider being raised through the Customer Service Board Continual liaison with Infrastructure commissioners to raise issues with Total Facilities Management (TFM) 	GET Directorate Management Team GET Directorate Management Team GET Directorate Management Team	A -Accepted Control Control	30/09/2018		Medium 9