



CORPORATE RISK REGISTER

Impact - 1: Insignificant, 2: Low, 3: Medium, 4: High, 5: Almost certain critical
Likelihood - 1: Extremely unlikely, 2: Possible, 3: Likely, 4: Most likely, 5: Certain

Item Ref	Risk	Implication	Level of Impact	Likelihood	Rating	Previous Rating	Direction of Risk	Strategy	Mitigating Actions
10	Failure of Waste Contractors to deliver an acceptable level of service	Disruption to services and loss to reputation	5	3	15	15	↔	Manage / Transfer	Contract Administration and Monitoring Systems (WMRC, RRC, Interim), Comments and Complaints System, Business Continuity Planning inc. contingency planning, Permit Scheme
21	Failure to retain sufficient and appropriate staff or capitalise in full on their potential	Loss of skills and experience to deliver performance improvements.	5	3	15	15	↔	Manage	Retention and Recruitment Policy, Family Friendly Policy, staff training and development, Equality and Diversity training, Redundancy Policy, shared services, review of resources & succession planning, Skills Gap / Functional Analysis
3	Failure to recognise impact of legal changes, economic and political environment.	Inability to make provision for future development, risks to effectiveness of contracts / levy implications in relation to district council budgets / waste arising predictions outdated	4	3	12	12	↔	Manage	Performance management framework including long term corporate planning and budget process, financial and legal advice, Partnership working, Development of levy strategy with district treasurers, Contract Management Review, JWDA Group
8	Failure to engage partners and stakeholders	Unable to identify and deliver waste services which meet the needs of the Merseyside Partnership and its stakeholders / Lack of clear understanding of commitment by each partner	4	3	12	12	↔	Manage	District Action Plans, IAA with Halton and MoJ with Districts, Communications Strategy, partnership working, Education and Awareness, Treasurers Group, SOWG, Liverpool City Region & working with new CX's
32	Failure to provide appropriate or sufficient information in decision-making processes	Members unable to take well informed decisions to secure the best interests of the Authority	5	2	10	10	↔	Manage	Performance Management Framework, Member Training and Development Plan / Provision of information, workshops and briefings and study tour.
6	Failure to identify current strengths and weaknesses in performance and plan for future needs.	Unable to develop and implement key projects to deliver performance improvement.	5	2	10	10	↔	Manage	Performance Management Framework, lead officer on Governance and Performance
27	Failure to manage the health, safety and environmental impact of the Authority's activities	Environmental pollution, damage to health, loss of reputation, damage to assets, cost of carbon.	5	2	10	10	↔	Manage	Environmental Monitoring System (ISO14001), planned maintenance and technical improvements, Capital Programme, Strategic Environmental Assessments, security measures at sites
5	Failure to manage joint working relationships with Halton BC	Risk to the delivery of the Resource Recovery Contract	4	2	8	8	↔	Manage	Inter Authority Agreement / Ongoing dialogue with Halton BC
33	Failure to plan response to disruption of service due to external factors	Disrupted delivery of services and damage to reputation	4	2	8	8	↔	Manage	Business Continuity Plan and testing and auditing (Authority & contractors), staff awareness, ongoing monitoring and review, partnership working
31	Failure to manage assets	Poor service delivery, avoidable costs	4	2	8	8	↔	Manage / Transfer	Capital Strategy, review of assets and valuations, maintenance programme, lease compliance monitoring, insurance cover, environmental monitoring, contractor asset management.
11	Failure to develop Bidston Methane Ltd Business Succession Strategy	Unable to secure value for money and manage environmental liability effectively	2	4	8	8	↔	Manage	Environmental Monitoring, Development of Management Strategy with Infinis Energy Ltd (previously Novera)
12	Failure to implement the Joint Recycling and Waste Management Strategy.	Unable to translate plans into action and therefore fail to improve performance to an acceptable level, and appropriate timescales	4	2	8	8	↔	Manage	Sustainable Development Action Plan, District Action Plans and Procurement Project, Annual Report, Memorandum of Understanding, Strategy Refresh starting 2015

APPENDIX 3

Item Ref	Risk	Implication	Level of Impact	Likelihood	Rating	Previous Rating	Direction of Risk	Strategy	Mitigating Actions
13	Failure to direct and control the Authority and its services effectively and relate these to the community	Poor or ineffective corporate governance leading to lack of transparency and confidence	4	2	8	8	↔	Manage	Code of Corporate Governance, Governance Review, Corporate Social Responsibility, Procedural Rules and Scheme of Delegation, Member Training and Development, lead officer for Governance and Performance
23	Failure to secure appropriate attendance levels	Financial / reputational loss	4	2	8	8	↔	Manage	Sickness Absence monitoring included in PMF, management and corporate training, Family Friendly Policy, Stress Management Training, Health and Wellbeing Programme
22	Failure to manage resources to ensure Value for Money	Inefficiencies and damage to reputation	4	2	8	8	↔	Manage	Budget Management, Audit Process, Performance Management Framework, Contract Management, Forward Planning Panel
28	Failure to manage performance strategically and control data quality	Unable to respond to performance information due to poor reporting or reliability of data.	4	2	8	8	↔	Manage	Performance Management Framework, Data Quality Strategy, Contract Control Measures, lead office for Governance and Performance
36	Failure to implement change management during transition to RRC contractual arrangements	Reduced efficiency and effectiveness of service delivery.	4	2	8	8	↔	Manage	Early engagement of WMRC Contractor and Districts, Operations Division working party set up, Communications Strategy
17	Failure to minimise the Authority's exposure to litigation claims	Lengthy and costly litigation process	3	2	6	6	↔	Manage	Early legal advice. Strategy agreed with MWHL re company risks. Insurance and Indemnities.
24	Failure or weakness of ICT infrastructure	Loss of access to knowledge resources	3	2	6	6	↔	Manage	Mersey Travel SLA including data backup and security, ICT Strategy, maintenance contracts, Contract Information System Development
18	Failure to procure goods and services which are sustainable.	Negative impact on sustainable development (economic, social and environmental) and our reputation with stakeholders.	3	2	6	6	↔	Manage	Sustainable Procurement Policy, Sustainability Appraisal procedures, EMS includes requirement of key suppliers to have an environmental policy, Social Value included in Corporate Plan
34	Failure to adapt to and mitigate the effects of Climate Change	Disruption to services and effects on service requirements	3	2	6	6	↔	Manage	Climate Change Strategy, Sustainable Development Policies, Business Continuity Plan, Environmental Targets, Carbon Savings via contracts
30	Failure to manage Capital Programme	Operational delays, loss of funding, loss of revenue	3	2	6	6	↔	Manage	Annual planning, Capital Strategy, Forward Planning Panel
29	Failure to prevent fraud / loss / misuse	Financial / reputational loss	3	2	6	6	↔	Manage / Transfer	Anti-Fraud Policy, Procedural Rules, Audit Plans, Insurance, Data Interrogation, Contractual arrangements
7	Failure of Treasury Management System	Financial / reputational loss	5	1	5	5	↔	Transfer	Internal Audit verification of St Helens systems
26	Failure to capitalise on appropriate funding opportunities.	Loss of potential source of income and opportunity for further development.	2	2	4	4	↔	Manage	Researcher tasks allocated within waste strategy section, MBO support
16	Failure to manage the Authority's shareholder responsibilities in terms of Mersey Waste Holdings Ltd	Increased exposure to liabilities for which provision has not been made.	2	2	4	4	↔	Manage	Company Articles of Association, Representation on Board, Review of MWHL
REDUNDANT RISKS									
25	Failure to manage procurement advisor costs within approved budgets [DELETED SEPT 15]	Financial / reputational loss	0	0	0	4		Manage	Change Request Mechanism / Regular Advisor Meetings / Budget Management / Training up staff
2	Failure to procure RRC Contract [DELETED]	Unable to meet long-term diversion targets	0	0	0	10		Manage	Procurement Project, Project Reviews, Contingency Plans, Contract Management Review, Financial close with Preferred Bidder