



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

APPENDIX 2

Item Ref	Risk	Implication	Level of Impact	Likelihood	Rating	Previous Rating	Direction of Risk	Strategy	Mitigating Actions	Risk after Action	Secondary Risks	Owner	Contingency	Related Risk Registers
15	Failure to manage the NTDP asset	Unable to secure best value for the Authority	4	4	16	12	↑	Manage	Secure value for money through options appraisal / lease arrangements. Tenant's Insurance. Legal advice re litigation risks			C Beer		
3	Failure to recognise impact of economic and political environment.	Inability to make provision for future development, risks to procurement project / levy implications in relation to district council budgets / waste arising predictions outdated	3	4	12	12	↔	Manage	3 year budget, financial advisor's advice. Risk tracked in RRC Contract; Operational Review, Partnership working			C Beer		RRC Procurement Project
1	Failure to secure sites for implementation of Procurement Project	Unable to develop infrastructure to deliver JMWMS leading to significant performance issues.	5	2	10	10	↔	Manage	Dialogue with Participants re their proposed sites. Planning and Environmental Permitting			C Beer	Interim Contracts	RRC Procurement Project
2	Failure to procure RRC Contract	Unable to meet long-term diversion targets	5	2	10	10	↔	Manage	Procurement Project, Project Reviews, Contingency Plans, PFI Credit Review. Competitive Dialogue with Participants.			T Bradley	Interim Contracts	RRC Procurement Project
5	Failure to maintain joint procurement with Halton BC	Risk to the delivery of the RRC Procurement	5	2	10	20	↓	Manage	Inter Authority Agreement / Ongoing negotiations with Halton BC			C Beer		RRC Procurement Project
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	Member Training and Development Plan / Provision of information, workshops and briefings. Members' scrutiny panel.			C Beer		
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	Corporate Planning and Performance Management. Strategic Review and Operational Review			C Beer		
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	8	↑	Manage	Environmental Monitoring and Control, Planned Maintenance, Capital Programme, Environmental Management System, Carbon Management, Strategic Environmental Assessments, security measures at sites			A Murray		EMS Risk Register
21	Failure to retain sufficient and appropriate staff or capitalise in full on their potential	Loss of skills and experience to deliver performance improvements.	3	3	9	6	↑	Manage	Retention and Recruitment Policy, Family Friendly Policy, Staff Development Scheme, Equality and Diversity Training, Redundancy Policy, Shared Services			N Ferris	Pay and Grading Review	
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	Staff awareness, ongoing monitoring and review, partnership working, Business Continuity Plans			N Ferris	Continuity Plans	
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	4	2	8	8	↔	Manage	District Action Plans, IAA, Communications Strategy, Joints Comms and Partnership Development, Education and Awareness and Focus Groups, SOWG			N Ferris		
10	Failure of Waste Contractors to deliver an acceptable level of service	Disruption to services and loss to reputation	4	2	8	8	↔	Transfer	Contract Administration and Monitoring Systems, Comments and Complaints System, Business Continuity Plan, Permit Scheme			A Murray		Business Continuity Risk Register
31	Failure to manage assets	Poor service delivery, avoidable costs	4	2	8	8	↔	Manage / Transfer	Maintenance programme, inspections, lease compliance monitoring, insurance cover, review of assets and valuations. Monitoring of environmental & legal compliance. Contractor asset management.			A Murray		
11	Failure to develop Bidston Methane Ltd Management Strategy	Unable to secure value for money and generate optimum revenue / unable to manage environmental liability effectively	2	4	8	8	↔	Manage	Environmental Monitoring, Development of Management Strategy with Infinis Energy Ltd (previously Novera)			A Murray		
12	Failure to maintain a robust and sustainable JMWMS.	Unable to translate plans into action and therefore fail to improve performance to an acceptable level, and appropriate timescales	4	2	8	8	↔	Manage	JMWMS Review (& JMWMS Risk Register) Sustainable Development Action Plan, District Action Plans and Procurement Project			N Ferris		
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 Workshop, Communications Strategy			C Beer		
20	Failure to manage Landfill Allowances	Financial loss	4	2	8	8	↔	Manage	LATS Strategy and Performance Management, RRC Procurement			P Williams		
23	Failure to manage attendance	Financial / reputational loss	3	2	6	8	↓	Manage	Sickness Absence monitoring and management training, Family Friendly Policy			N Ferris	Capability and Disciplinary Procedures	
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.	3	2	6	6	↔	Manage	Shareholders Agreement, Financial Management and Reporting, Representation on Board			C Beer		

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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.			C Beer		
18	Failure to progress the implementation procurements of 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 Flexible Framework, Sustainability Appraisal procedures, proposed Procurement Strategy			N Ferris		
22	Failure to manage resources to ensure Value for Money	Inefficiencies and damage to reputation	3	2	6	6	↔	Manage	Performance Management Framework, Budget Management, Audit Process, Strategic and Operational Review			N Ferris	Budget Review	
24	Failure or weakness of ICT infrastructure	Loss of access to knowledge resources	3	2	6	6	↔	Manage	ICT Strategy and planning, maintenance contracts, backup and AntiVirus procedures, Business Continuity Plan			N Ferris	Disaster Recovery Service, Stand Alone PC's and Alternative Internet	Business Continuity Risk Register
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			N Ferris		Business Continuity Risk Register
28	Failure to capitalise on funding opportunities.	Loss of potential source of income and opportunity for further development.	2	3	6	4	↑	Manage	Researcher tasks allocated within waste strategy section.			N Ferris		
30	Failure to manage Capital Programme	Operational delays, loss of funding, loss of revenue	3	2	6	3	↑	Manage	Procurement Project, Performance Management			A Murray		
7	Failure of Treasury Management System	Financial / reputational loss	5	1	5	5	↔	Transfer	Internal Audit verification of St Helens systems			P Williams		
25	Failure to manage procurement advisor costs within approved budgets	Financial / reputational loss	2	2	4	4	↔	Manage	Change Request Mechanism / Earned Value Reporting / Regular Advisor Meetings / Budget Management / Training up staff			P Williams	Increased use of Authority staff to undertake tasks, renegotiate contracts with advisors	
36	Failure to implement change management during transition to RRC contractual arrangements	Reduced efficiency and effectiveness of service delivery.	2	2	4	4	↔	Manage	Early engagement of WMRC Contractor and Districts, Operations Division working party set up, Communications Strategy			A Murray		RRC Procurement Project
28	Failure to manage performance strategically and control data quality	Unable to respond to performance information due to poor reporting or reliability of data.	3	1	3	12	↓	Manage	Performance Management Framework, Data Quality Strategy, Data Sharing Protocol, WMRC Control Measures			N Ferris	Disaster Recovery Service, Quality Control and Audit	Data Quality Strategy Risk Register
29	Failure to prevent fraud / loss / misuse	Financial / reputational loss	3	1	3	3	↔	Manage / Transfer	Anti-Fraud Policy, Procedural Rules, Audit Plans, Insurance, Data Interrogation			P Williams		
<b>REDUNDANT RISKS</b>														
35	Failure to provide appropriate security arrangements at the Authority's closed landfill sites.	Instances of vandalism and theft leading to financial loss and environmental damage.	0	0	0	8	↓	Risk Merged with 27	Maintain appropriate security measures and insurance cover.			A Murray	Insurance Cover	
14	Failure to manage the Authority's finances in current and future years.	Inability to make provision for future development and secure buy in from the Merseyside Districts to the affordability of the Procurement Project.	0	0	0	8	↓	Merged with 5	3 Year Budget Forecasting and SLA with St Helens, development of Inter Authority Agreement and improved partnership working.			P Williams		
19	Failure to communicate effectively	Aims and objectives not communicated, loss of funding, loss of confidence	0	0	0	6	↓	Merged with 13	Communications Strategy, Joint Communications, Education and Awareness Programme, Business Continuity Plans, WMRC SDPs.			N Ferris		Business Continuity Risk Register
9	Failure to implement change management during transition of contractual arrangements	Reduced efficiency and effectiveness of service delivery.	0	0	0	0	N/A	Completed for WMRC	Contract Documents, Intranet, Waste Information System, Communications Strategy			Carl Beer		
4	Failure to procure WMRC Contract by April 2009	Unable to provide waste management services.	0	0	0	0	N/A	Completed	Procurement Project, Project Reviews			T Bradley	MWHL Contract	