

CORPORATE RISK REGISTER													
		Impact - 1: Insignificant, 2: Significant 3: Serious, 4: Critical Likelihood - 1: Remote 2: Possible, 3: Likely, 4: Very likely											
Item Ref	Risk	Implication	Level of Impact	Likelihood	Rating	Previous Rating	Direction of Risk	Strategy	Owner	Mitigating Actions	Post Mitigation Impact	Post Mitigation Likelihood	Post Mitigation Rating
3	Failure of Waste Contractors to deliver the contracted level of service to the Authority and risk of breakdown of relationships.	Disruption to services and loss to reputation	4	3	12	12	↔	Manage / Transfer	Director of Operations	Contract Management Systems (WMRC, RRC, Interim), Contracts Risk Register, Comments and Complaints System, Business Continuity Planning inc. contingency planning, Permit Scheme.	4	2	8
41	Failure to implement operational and contractual changes required to comply with new legal requirements (food and additional materials collections) in an effective and timely manner.	Reputational damage, impact on District collections operations and potential legal challenge.	4	3	12	12	↔	Manage	Director of Operations	Commission dedicated project delivery support (including management and specialist advisory), timely submission and management of contract variation processes, prepare mitigation plans.	3	2	6
8	Failure to adequately address disagreements in contractual interpretation and application, notably Payment Mechanism and contract insurance provisions.	Significant financial impact, unbudgeted one off and annual costs.	4	3	12	12	↔	Manage	Director of Operations	Internal management and monitoring processes, Authority to be supported by specialist advisors, independent support to oversee interpretation and application of contract terms, use of contractual dispute mechanisms when appropriate	3	2	6
10	External Audit VFM reputational risk should Authority Policy and Procedures fail to provide a strong enough governance framework to ensure high standards	The external auditor has carried out extensive VFM work (and continues to), this has led to a number of recommended actions for the Authority to consider - this will involve all of SLT	4	3	12	12	↔	Manage	Director of Finance	Overhaul of Finance department and financial process and procedure including new and additional staff. Publication of accounts by statutory deadlines and republish earlier accounts. Ongoing monitoring of actions identified in Auditor's VFM report. Review of all the Authority's policy and procedures regularly to ensure they provide a clear and consistent framework for effective decision making.	3	2	6
33	Escalating costs of meeting changing service demands means districts are unable to pay the Levy		4	2	8	12	↓	Manage	Director of Finance	Effective communication so that Districts are aware of their future obligations and can build realistic forecasts into their MTFS	4	1	4
12	Failure to retain sufficient and appropriate staff or capitalise in full on their potential	Loss of skills and experience to deliver performance improvements.	4	2	8	8	↔	Manage	Director of Strategy & Business Services	Retention and Recruitment Policy, Family Friendly Policy, staff training and development, Equality and Diversity training, Redundancy Policy, shared services, review of resources & succession planning	3	2	6
21	Failure to manage the environmental impact of the Authority's activities	Environmental pollution, loss of reputation, damage to assets, cost of carbon.	4	2	8	8	↔	Manage	Director of Finance	Environmental Monitoring System (ISO14001), planned maintenance and technical improvements, Capital Programme, Strategic Environmental Assessments, security measures at sites. Ensuring key contractors have appropriate plans in place and are subject to ongoing monitoring by the Authority	3	2	6
27	ICT - management of the contract, security and business delivery - failure of the ICT system	Loss of ICT functionality meaning the Authority cannot deliver services.	4	2	8	8	↔	Manage	Director of Strategy & Business Services	Transferring to more modern ways of working will be a new challenge and will require the whole Authority to be involved. Identify an owner of ICT, move to cybersecurity standards. Other measures include: - business continuity testing - ICT security training - business continuity planning - ensuring contractor's have adequate contingency arrangements	4	2	8

APPENDIX 2

Item Ref	Risk	Implication	Level of Impact	Likelihood	Rating	Previous Rating	Direction of Risk	Strategy	Owner	Mitigating Actions	Post Mitigation Impact	Post Mitigation Likelihood	Post Mitigation Rating
13	Failure to respond to 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	2	8	8	↔	Manage	Chief Executive	Ensuring Future Waste Services Procurement can accommodate forthcoming changes. 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. Strengthening of the Authority's financial provision which take into account the long-term implicationsof future changes .	3	2	6
28	Failure to implement the updated Zero Waste 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	Chief Executive	Working with the Joint Waste Partnership to develop the zero waste strategy for Merseyside and esnuring that the Stategy is adopted by each of the District Councils as well as adoting the Authority's own version of the Zero Waste Strategy to provide a framework for decision making that ensures the Authority meets its commitments under the Zero Waste objectives.	3	2	6
18	Failure to plan response to disruption of Authority service due to external factors	Disrupted delivery of services and damage to reputation	4	2	8	8	↔	Manage	Director of Strategy & Business Services	Business Continuity Plan and testing and auditing (Authority), staff awareness, ongoing monitoring and review, partnership working.	3	2	6
29	Risk of failure to manage large scale project procurement (FWS)	If the projects are not delivered on time or to budget the Authority will face being unable to meet its obligations and will incur signifcant additional cost	5	2	10	10	↔	Manage	Chief Executive	A procurement Director, a project management team and external advisers have been appointed to lead the Authority through the development and implementation of the large scale projects. Rigorous option an appriasl an business case prior to procurement. Ensure buy-in from stakeholders.	3	2	6
38	Failure to meet Health and Safety obligations	Failure to avoid or reduce risk of harm to staff and the public in relation to the Authority's activities.	4	1	4	8	↓	Manage	Chief Executive	Health and Safety Policy, SLA with St Helens for support, Review of Health and Safety Procedures and Processes, Health and Safety management system in place; to review at year end. Job description of responsible officers to be updated.	4	1	4