



CORPORATE RISK REGISTER

APPENDIX 4

**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	Strategy	Mitigating Actions
1	Failure to secure sites for implementation of Procurement Project	Unable to develop infrastructure to deliver JMWMS leading to significant performance issues.	5	4	20	Manage	Site Selection Strategy and protocol, Waste Development Planning Document
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.	4	4	16	Manage	3 Year Budget Forecasting and SLA with St.Helens, development of Inter Authority Agreement and improved partnership working.
2	Failure to procure RRC Contract	Unable to meet long-term diversion targets	5	3	15	Manage	Procurement Project, Project Reviews, Site Acquisition Strategy
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	3	15	Manage	Member Training and Development Plan / Provision of information, workshops and briefings
3	Failure to recognise impact of economic downturn	Risks to procurement project / levy implications in relation to district council budgets / waste arising predictions outdated	3	4	12	Manage	Financial advisor's advice regularly commissioned. Risk tracked in RRC Contract
27	Failure to manage the health, safety and environmental impact of the Authority's activities	Environmental pollution, damage to health, loss of reputation	4	3	12	Manage	Environmental Monitoring and Control, Planned Maintenance, Capital Programme, Environmental Management System, Carbon Management, Strategic Environmental Assessments
32	Swine Flu Pandemic	Disruption to services	4	3	12	Manage	Continuity Plans, staff awareness, ongoing monitoring and review, partnership working
5	Failure to maintain joint procurement with Halton BC	Risk to the delivery of the RRC Procurement	5	2	10	Manage	Inter Authority Agreement / Ongoing negotiations with Halton BC
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	Manage	Corporate Planning and Performance Management
7	Failure of Treasury Management System	Financial / reputational loss	5	2	10	Transfer	Internal Audit verification of St Helens systems
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	3	3	9	Manage	District Action Plans, IAA, Communications Strategy, Joints Comms and Partnership Development, Education and Awareness and Focus Groups
10	Failure of Waste Contractors to deliver an acceptable level of service	Disruption to services and loss to reputation	3	3	9	Transfer	Contract Administration and Monitoring Systems, Comments and Complaints System, Business Continuity Plan, Trial Permit Scheme
31	Failure to manage assets	Poor service delivery	3	3	9	Manage / Transfer	Planned maintenance programme, inspections, lease compliance monitoring, appropriate insurance cover.
11	Failure to develop Bidston Methane Operations Strategy	Unable to secure value for money and generate optimum revenue / unable to manage environmental liability effectively	2	4	8	Manage	Environmental Monitoring, Development of Management Strategy with Novera
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	Manage	JMWMS Review (& JMWMS Risk Register) Sustainable Development Action Plan, District Action Plans, Recycling Recovery Strategy and Procurement Project

Item Ref.	Risk	Implication	Level of impact	Likelihood	Rating	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	Manage	Code of Corporate Governance, Governance Review, Corporate Social Responsibility, Procedural Rules and Scheme of Delegation
9	Failure to implement change management during transition of contractual arrangements	Reduced efficiency and effectiveness of service delivery.	3	2	6	Manage	Contract Documents, Intranet, Waste Information System, Communications Strategy
15	Failure to manage the NTDP asset	Unable to secure best value for the Authority	3	2	6	Manage	Secure value for money through options appraisal / lease arrangements where appropriate.
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	Manage	Shareholders Agreement, Financial Management and Reporting, Director Representation on Board
17	Failure to minimise the Authority's exposure to litigation claims	Lengthy and costly litigation process	3	2	6	Manage	Early legal advice, agree strategy with MWHL
18	Failure to progress the implementation of the sustainable procurement of our goods and services	Negative impact on sustainable development (economic, social and environmental) and our reputation with stakeholders.	3	2	6	Manage	Sustainable Procurement Flexible Framework, Sustainability Appraisal procedures
19	Failure to communicate effectively	Aims and objectives not communicated, loss of funding, loss of confidence	3	2	6	Manage	Communications Strategy, Joint Communications, Education and Awareness Programme, Business Continuity Plans.
20	Failure to manage Landfill Allowances	Financial loss	3	2	6	Manage	LATS Strategy and Performance Management
21	Failure to retain staff or capitalise in full on their potential	Loss of skills and experience to deliver performance improvements.	3	2	6	Manage	Retention and Recruitment Policy, Family Friendly Policy, Staff Development Scheme
22	Failure to manage resources to ensure Value for Money	Inefficiencies and damage to reputation	3	2	6	Manage	Performance Management Framework, Budget Management, Audit Process
23	Failure to manage attendance	Financial / reputational loss	3	2	6	Manage	Sickness Absence monitoring and management training, Family Friendly Policy
24	Failure or weakness of ICT infrastructure	Loss of access to knowledge resources	3	2	6	Manage	ICT Strategy and planning, maintenance contracts, backup and AntiVirus procedures
25	Failure to manage procurement advisor costs within approved budgets	Financial / reputational loss	2	3	6	Manage	Change Request Mechanism / Earned Value Reporting / Regular Advisor Meetings / Budget Management
26	Failure to capitalise on funding opportunities.	Loss of potential source of income and opportunity for further development.	2	2	4	Manage	Researcher tasks allocated within waste strategy section.
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	Manage	Performance Management Framework, Data Quality Strategy
29	Failure to prevent fraud / loss / misuse	Financial / reputational loss	3	1	3	Manage / Transfer	Anti-Fraud Policy, Procedural Rules, Audit Plans, Insurance
30	Failure to manage Capital Programme	Operational delays, loss of funding, loss of revenue	3	1	3	Manage	Procurement Project, Performance Management
4	Failure to procure WMRC Contract by April 2009	Unable to provide waste management services.	0	0	0	Completed	Procurement Project, Project Reviews