

Risk Register for: Dorset Waste Partnership	Summary of Current Risks		IMPACT					Control Environment	
	1	High	HIGH i.e. a greater than 20% chance of:	Financial impact > £1 million	Major impact (positive or negative on a strategic priority)	Fatality or major injury/illness (long term incapacity / disability)	Sustained/long term negative public attention	Unable to deliver critical services (levels one and two)	G Reasonable / Accepted Risk (Green)
	6	Medium							A Partial (Amber)
	3	Low							R None / Limited (Red)
10									
		MEDIUM i.e. a greater than 20% chance of:	Financial impact between £500,000 - £1 million	Moderate impact (positive or negative on a strategic priority)	Moderate injury or illness (including RIDDOR reportable)	Short to medium term impact on public memory (affecting more than one ward)	Unable to deliver critical services (level three)	Last Reviewed 22 May 2016	
		LOW i.e. :	Financial impact less than £500,000	Minor/negligible impact (positive or negative) on a strategic priority	Potential for minor injury/illness (requiring minimal intervention or treatment)	Short to medium term impact on public memory (affecting one ward) / minor complaints or rumours	Minor disruption to service delivery		



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No	Risk Description	Current Risk	Movement	Risk Owner	Date Identified	Review Date	Potential Causes	Control	Lead	Existing Control	Further Actions Necessary	Action Lead	Target Date	Potential Effects
1	Failure to achieve capital and revenue budget / savings targets 2016/17	Low		Director	07/11	10/16	Inability to monitor and manage budgets in a timely manner	G	SMT- Paul Ackrill	Medium term financial plan; improved budget management and finance management. clearer budget monitoring arrangements; budget improvement plan established. Additional accountancy support to be provided to support budget holders for 6 months from March/April 16. Service accountant has monthly monitoring	Seek approval for budget equalisation reserve. On-going monitoring and training	Paul Ackrill	30/09/16	Cost/budget increase to partner councils
							Partner finance position affects the level of service the DWP can deliver	A	SMT- Karyn Punchedard	Engagement with Commissioning Group and Joint Committee and scrutiny by partner councils. MTFP has been refreshed.	Partners identify funding and any funding gap	Man. Board	on going	
							Inadequate budget setting	G	SMT / Section 151	Scrutiny by partner councils and chief executive sponsor	Scrutiny and governance arrangements to be agreed by partner councils through revised IAA	Karyn Punchedard	30/09/16	
							Disposal costs increase	A	Jason Jones	Existing local landfill and other residual treatment contracts. Business case written for a central strategic waste transfer station for Dorset	Procure new agreements. Seek approval from JC to move ahead with the development of a central strategic waste transfer station to avoid an uncompetitive situation for disposal/treatment prices in Dorset. This will also build in contingency for DWP as our landfill sites close and our disposal options become increasingly limited. Ensure greater transfer capacity is at the heart of infrastructure programme	Jason Jones	13/06/2016 for JC approval and then on-going	
							Cost of fleet (including hired fleet)	A	Mike Moon	All hired fleet activity signed off by Head of Service (Operations). Restructure of transport management; improved fleet management software; enhanced understanding on budget management and procurement processes	Implement and review the new transport strategy as necessary. Route optimisation will reduce vehicle requirements	Andy Cadman	on going	
							Failure to identify new markets / opportunities	G	Paul Ackrill	Develop and train commercial officers to enable more commercial outlook. Deliver commercial waste strategy for 2016/17	Explore options identified in commercial waste strategy, and networking.	Paul Ackrill	on-going	
							Crash in the recycle market	R	Jason Jones	Limited control, as an external exposure. However, DWP is recognised as a high quality recycler, which is attractive to the market; employ contractors that are experts at getting the right price. Arrangements secured until August 2016 which ensure material is recycled- currently providing DWP with relatively beneficial prices	Examine options that will give best value taking into account the findings of the Ricardo report for Bournemouth BC and DWP in relation to the MRF project. Maintain quality of material through continued education	Jason Jones/ Lisa Mouny and Louise Bryant	31/07/16	
							Commercial waste service makes loss or fails to achieve income targets	G	Paul Ackrill	Commercial waste strategy and marketing; WYG report and trading account indicated healthy financial position. On track to exceed income targets	Review commercial waste charging mechanisms and strategy	Matt Boulter and Ian Brewer	on going	
							Garden waste service makes loss or fails to achieve income targets	G	Paul Ackrill	Garden waste strategy and marketing. Improvements made to data management and payment systems; communication and engagement; monitoring of service quality	Develop positive garden waste marketing strategy. Improve admin/ICT and move to constant sign up	Matt Boulter and Ian Brewer	30/09/16 and on going	
							High sickness levels cause staffing budget overspend	A	Mike Moon and Gemma Clinton	Monitoring by budget holders, close control of absence management. New absence management procedures also in place. Savings target and sickness absence targets in place and monitored.	Periodic refresh of absence management procedure and training to supervisors	Mike Moon	on going	

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							waste arisings increase	A	Gemma Clinton	Monitored by budget holders, education campaigns to reduce waste (real nappy incentive scheme, home compost bin offer), encourage residents to separate waste (Right stuff, right bin campaign) to further reduce waste (especially food waste). We have restricted residual capacity in 140 litre bins and authorised blue sacks (no side waste policy) and roll-out of Recycle for Dorset and economic changes. DWP waste arisings are currently increasing due to the increase in garden waste we are collecting	key focus on waste minimisation and behavioural change	Lisa Mounty/ Louise Bryant	on going	
2	Failure to achieve capital and revenue budget / savings targets for the MTFP	Medium		Director	05/16	10/21	Failure to achieve budget savings / performance targets	G	Karyn Punchard	See Risk 01 above. The 33 items of 37 point action plan have been completed and the remaining 4 points are in progress; the plan has been subject to independent audit. Progress on the remaining 4 points plan is reported monthly to Commissioning Group. The budget position is reported monthly to the Commissioning Group and quarterly to the Joint Committee and a summary of the position is included in quarterly Member news letters. DWP officers seek to attend Partners' meetings as appropriate to brief Members on DWP activities.	See Risk 01 above		30/09/16	Collapse or change of the partnership; exit of partners from the DWP
Change in the political arena							G	Comm. Group	Medium term financial plan; improved budget management and finance management. clearer budget monitoring arrangements; budget improvement plan established. Induction pack for new members completed.	Development of scrutiny and governance arrangements, be involved with Dorset unitary discussions	Steve Mackenzie	01/04/19		
Disposal costs increase							R	Jason Jones	Existing local landfill and other residual treatment contracts. Business case written for a central strategic waste transfer station for Dorset	Procure new agreements. Seek approval from JC to move ahead with the development of a central strategic waste transfer station to avoid an uncompetitive situation for disposal/treatment prices in Dorset. This will also build in contingency for DWP as our landfill sites close and our disposal options become increasingly limited. Ensure greater transfer capacity is at the heart of infrastructure programme	Jason Jones	13/06/2016 for JC approval and then on-going		
See risk 1 above									see risk 1 above	see risk 1 above				
3	Failure or major delay of SWF project	Medium	No Change	Director		08/16	Business case is found not to be viable	A	Karyn Punchard	External and technical advisors advice. Gateway review of options has been commissioned	JC to consider outcome of tendering process on 13th June 2016	Jason Jones	13/06/16	Income is reduced or becomes a cost to dispose; risk of return of grant funding to DCLG.
No viable tender							A	Jason Jones	External and technical advisors advice; soft market testing		Jason Jones	13/06/16		
Disagreement across partners							A	Karyn Punchard	Establishment of partnership board and regular liaison between officers of DWP and BBC		Jason Jones	13/06/16		
Planning or other legislative obstruction							G	Jason Jones	Tenderers must have planning permission; both Dorset and Bournemouth have TEEP reports		Jason Jones	13/06/16		
Decision making across partner organisations causes delay							G	Jason Jones	Partnership board; reasonable timetable set for award of contract, however decision making delayed due to need to change in procurement procedure	Key decision now programmed for 13 June JC	Jason Jones	13/06/16		
4	Inability to maintain and develop infrastructure to meet DWP needs	High	Deteriorating	Director		08/16	Availability and ability to acquire suitable sites	A	Jason Jones	Working with waste planning authority (DCC) to identify and safeguard sites to meet our needs through the Waste Local Plan. Site for central strategic waste facility identified	Develop strategic plan for business cases for further sites	Jason Jones	On-going	Deviation of preferred service leads to less efficient delivery; lower material income. Loss of key facility.
Lack of workshop space							A	Mike Moon	Working with waste planning authority (DCC) to identify and safeguard sites to meet our needs. Restructure of transport management; improved fleet management software; seeking additional workspace and plans to enhance current arrangements	Work with Bournemouth Borough Council to find a suitable solution to maintenance at Southcote Road. Work with WPBC to secure workshop space at Crookhill. Ensure workshop space is part of the central strategic waste facility plans	Mike Moon	On-going		

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							Delays in procurement of replacement vehicles for commercial, garden and restricted access services	A	Mike Moon	Suitability of fleet for commercial, garden and restricted access services	Work with procurement to identify funding through the capital replacement program	Mike Moon	On-going	
							Failure to procure ICT solutions to improve efficiency	A	Gemma Clinton	Mapping of current ICT needs; investigation of market solutions. Priority currently to garden and commercial waste. Current project underway to explore in-cab solutions	Agree business case; work with procurement colleagues; identify other solutions or work arounds to reduce impact	Gemma Clinton	30/09/2016 and on going	
							security of disposal options (treatment and landfill)	R	Jason Jones	Existing local landfill and other residual treatment contracts. Business case written for a central strategic waste transfer station for Dorset	Procure new agreements. Seek approval from JC to move ahead with the development of a central strategic waste transfer station to avoid an uncompetitive situation for disposal/treatment prices in Dorset. This will also build in contingency for DWP as our landfill sites close and our disposal options become increasingly limited. Ensure greater transfer capacity is at the heart of infrastructure programme			
5	Inability to ensure business continuity	Medium	No change	Director		08/16	Lack of DWP premises (fire, flood, inability to access etc EPA closures)	A	Mike Moon	Fire precautions; business interruption insurance; inherited business continuity plans from Districts and Boroughs	Develop DWP wide business continuity plan, infrastructure review	Gemma Clinton and Mike Moon	30/07/16	Failure to deliver services / statutory duties for a prolonged period; damage to reputation; increased costs
						Fuel supply failure	A	Mike Moon	DCC fuel contract; fuel cards system	Develop DWP wide business continuity plan	Gemma Clinton and Mike Moon	30/07/16		
						Loss of IT	A	Gemma Clinton	DCC ICT continuity arrangements	Develop DWP wide business continuity plan	Gemma Clinton and Mike Moon	30/07/16		
						Loss of operational staff (industrial action; pandemic flu)	G	Mike Moon	Use of agency staff; service standards review	Develop and update business continuity plan	Gemma Clinton and Mike Moon	30/07/16		
						Contractor / supply chain failure	A	Gemma Clinton	Business continuity requirements within key contracts; regular contract management meetings and monitoring; letting of two residual waste treatment contracts	Continue to refine contracts; keep partners aware of developments in global markets	Jason Jones	On-going		
						Adverse weather or other event	G	Mike Moon	Communications plan; signage at site; on-site staff to provide guidance to the public; emergency procedures in place; Dorset Direct; liaison with Dorset Highways re revised winter maintenance arrangements					
6	Breach of statutory duty	Medium	No change	Director		08/16	Failure to respond to change in legislation	G	Mike Moon and Gemma Clinton	Technical experts; monitoring arrangements; horizon scanning	Monitor legislative and policy changes at National and EU level	Gemma Clinton	On-going	Fines; negative reputation government intervention.
						Failure to comply with procurement legislation	G	SMT- Paul Ackrill	Support from Dorset Procurement. Review procurement procedures. DWP managers have attended the better business case course.	DWP Managers to attend Better Business Case course Continue to engage with procurement early in all projects		on-going		
						Non compliance with Operator licence	A	Mike Moon	Employment of CPC holder; implementation of new records system (Fleetwave) on same basis as DCC; following of procedures for maintenance etc. FTA Audit completed November 2015. Transport strategy in place.	Develop and implement a transport strategy. FTA to review recommendations summer 2016	Andy Cadman	summer 2016		
						Breach of EPA and contaminated land legislation through failure of closed landfill site - structural failure or gas/leachate spillage	A	Jason Jones	Regular monitoring of sites and remedial measures put in place where necessary	On-going monitoring	Jason Jones	On-going		
						Failure to comply with Health and Safety legislation	A	SMT	H&S committee meet quarterly and accidents are reported to SMT	On-going monitoring	SMT	On-going		
7	Failure to retain, recruit and develop competent and capable people	Medium	No change	Director		08/16	Loss of key staff	A	Mike Moon and Gemma Clinton	Use of agency/interim staff; 1-2-1s/PDRs. DWP training loaders to become drivers and operational staff to assist supervisors to meet our business requirements and develop our own staff. Senior managers attending leadership and management courses		SMT	On-going	Failure to achieve objectives of the partnership; errors and inefficiencies in service change and delivery
						Poor industrial relations or staff morale	G	Mike Moon and Gemma Clinton	Good communication and active engagement with unions; member scrutiny; 1-2-1s; PDR process; team briefings; staff newsletter; Environment JCC. Restructure complete. Targeted work on behaviours with Operations Managers and Supervisors	On-going dialogue with unions and regular staff briefings. Targeted behaviours work with operational crews.	SMT	On-going		

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							Inadequate staff development opportunities / facilities	G	Mike Moon and Gemma Clinton	1-2-1s; PDRs; training focused on areas of skills shortage. Training loaders to become drivers	Continue staff training. Specifically all managers to attend: Leadership essentials, management essentials, team coaching and better business case courses	SMT	On-going	
8	Accident, injury or death of an employee or member of the public	Medium	No change	Director	08/16	Death or serious injury	G	Mike Moon	Health and safety has a high priority across DWP services; risk assessment; CPC and Health & Safety training. Management control and HR support, including disciplinary action. recent positive HSE inspection. Health and safety team and support.	Continued monitoring and action to tackle Health & Safety breaches.	Operations Managers	on-going	Investigation and prosecution (H&S / corporate manslaughter); negative reputation; staff absence	
Road traffic incident (DWP driver or third party driver),						G	Mike Moon	Driver training; CPC; monitoring of driver collision history		Andy Cadman	on-going			
Work practice leads to an incident						G	Mike Moon	Health and safety has a high priority across DWP services; risk assessment; CPC and H&S training. Management control and HR support, including disciplinary action. recent positive HSE inspection. Health and safety team and support. On-going programme of Annual health and safety risk assessments. Annual Inspection and monitoring regime. Completion of training; DCC Critical Incident Protocol; dedicated health and safety officer and committee; health and safety focus at monthly operational meetings	Continued monitoring and action to tackle Health & Safety breaches.	Operations Managers	on-going			
Unsafe working practice at a site operated by a contractor						G	Jason Jones	Regular meetings with contractors; health and safety expectations defined in the contracts; DWP follow up actions identified within risk assessments and response to incidents		Jason Jones	on-going			
9	Loss of public support and confidence	Low	No Change	Director	08/16	Inadequate communication with elected members and officers across the partner authorities	G	Director	DWP communications plan and dedicated communications resource and governance review on-gong	Regular meetings between SMT and partners kept under review	SMT	31/03/17	Negative reputation; low customer satisfaction; lack of support / unity across partner organisations	
Inadequate communication with members of the public						G	Gemma Clinton	DWP communications plan and dedicated communications resource		Gemma Clinton				
Failure to achieve budget savings / performance targets						A	SMT	See Risk 01 above	See Risk 01 above					
Significant service failure						G	SMT	Contracts in place for vehicle supply; contracts in place for tipping of arisings & treatment; moving towards more permanent staff with consequent lower reliance on agency staff. R4D has been fully rolled out and established		SMT	On-going			
10	Potential changes to the DWP through unitary and/or combined authority proposals	Low		Director	06/16	04/19	Change in partner membership of DWP	A	Karyn Punchard		Carry out work to understand what a change in partner membership will mean to DWP. Be involved in unitary/combined authority discussions and working groups	SMT	2019	
Deleted Items off the register														