

Risk Register for: Dorset Waste Partnership	Summary of Current Risks		IMPACT					Control Environment			
	2	High	HIGH <i>Likelihood ↓</i> I.e. a greater than 20% chance of:	Financial	Strategic Priorities and Opportunities	Health & safety	Reputational	Service Delivery	G	Reasonable / Accepted Risk (Green)	
	5	Medium		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)	A	Partial (Amber)	
	3	Low		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)	R	None / Limited (Red)	
10		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				
View Exception Report										Last Reviewed 21 December 2017	
View Standard Report											



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 2017/18	Low	Improving	Director	07/11	01/18	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. Service accountant has monthly monitoring meetings with budget holders. All budget holders have attend DES training. Budget equalisation reserve in place.	On-going monitoring and training	Paul Ackrill	on going	Cost/budget increase to partner councils
							Partner finance position affects the level of service the DWP can deliver	A	SMT- Karyn Punchard	Engagement with Commissioning Group and Joint Committee and consideration by partner councils. MTFP has been refreshed.	Partners identify funding and any funding gap	Comm. Group	on going	
							Inadequate budget setting	G	SMT / Section 151	Scrutiny by chief executive sponsor and DWP Joint Scrutiny Group.		Karyn Punchard	31/03/18	
							Disposal costs increase	A	Gemma Clinton/ Jason Jones	Existing local landfill and other residual treatment contracts. Business case approved for a central strategic waste transfer station for Dorset in Blandford which will provide some contingency to the county. Working with NES (Canford) to increase tonnage throughput (additional 15,000T of capacity from February 2017). Waste Disposal Strategy going to January Joint Committee for approval.	Procure new agreements. 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	31/03/18	
							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	Delivering the new transport strategy as agreed at DWP JC.	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 2017/18	Explore options identified in commercial waste strategy, and networking.	Paul Ackrill	on-going	
							Crash in the recycle market	A	Gemma Clinton	Limited control, as determined by global market prices. 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. China is having an impact on global prices due to the 'national sword' campaign and the reduction of imports they will have from April 2018.	Maintain quality of material through continued education. Continue to explore market opportunities- e.g. working with Bournemouth and Poole on any future MRF or infrastructure projects. Keep up-to-date with China's campaigns to reduce imports and improve quality of recycle, identify any new ways of working that will benefit new contracts going forward.	Jason Jones/ Lisa Mouny and Louise Bryant	on-going	
							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	Implement new 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. Revise collection rounds to make most efficient use of resources. Implement new BARTEC in cab system to improve efficiency and customer service.	Matt Boulter and Ian Brewer	on going	

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							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	
							HRC charges being revoked	R	Gemma Clinton	Working with W&S to understand the potential risks to the contract. We estimate that charging for certain materials at HRC's have saved the DWP £250k/year.	Monitoring of the Government's litter strategy progress. Input into working groups where possible to influence the decision.	Jason Jones	on going	
							waste arising increase	A	Gemma Clinton	Monitored by budget holders, education campaigns to reduce waste (real nappy incentive scheme, home compost bin offer, love food hate waste), 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)-DWP waste arisings are currently increasing due to the increase in garden waste we are collecting	key focus on waste minimisation and behavioural change. Refocus on tackling side waste and increase enforcement activity.	Lisa Mounty/ Louise Bryant	on going	
2	Failure to achieve capital and revenue budget / savings targets for the MTFP	high	Deteriorating	Director	05/16	01/18	Failure to achieve budget savings / as waste arisings continue to grow alongside house growth	R	Karyn Punchard	Following a Budget Challenge Members workshop, the 18/19 budget has a £700k shortfall due to a standstill budget being set. Changes to budget assumptions may make up some of this but there are other emerging pressures on the budget, such as the pay award being 2% (1% budgeted) plus the effect of minimum wage increases. Longer term savings projects still being developed, such as changing collection points, working patterns and infrastructure (invest to save)	Continue to promote educational campaigns, such as, 'Right Stuff, Right Bin' to maintain and increase material capture rates for recycling and composting. Use the new in-cab BARTEC system to help further drive efficiencies from the existing Recycle for Dorset Service. Maintain project register and continue to work on savings projects		01/10/23	Potential to breach statutory obligations
							Change in the political arena	G	Comm. Group	Improved budget management and finance management. Clearer budget monitoring arrangements; budget improvement plan established. Induction pack for new members completed and site visits to sites offered. Pre Joint Committee members briefings given to members from each partner area by SMT to improve understanding of topical issues along with committee reports.	Be involved with Dorset Local Government Reorganisation discussions.	Steve Mackenzie	01/04/19	
							Partner finance position affects the level of service the DWP can deliver	R	SMT- Karyn Punchard	Engagement with Commissioning Group and Joint Committee and consideration by partner councils. MTFP has been refreshed and is unaffordable.	Partners identify funding and any funding gap. Continue work streams from the Member Budget Challenge Workshop and continue to look at other savings.	Comm. Group	on going	
							Disposal costs increase	R	Gemma Clinton	Existing local landfill and other residual treatment contracts. Business case agreed for a central strategic waste transfer station for Dorset. Contingency planning, good relationships with local facilities	Procure new agreements. 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. Work to reduce waste arisings and residual waste through educational campaigns (Right Stuff, Right Bin).	Jason Jones/ Lisa Mounty and Louise Bryant	on- going	
3	Inability to maintain and develop infrastructure to meet DWP needs	High	No Change	Director		01/18	Availability and ability to acquire suitable sites	A	Gemma Clinton	Working with waste planning authority (DCC) to identify and safeguard sites to meet our needs through the Waste Local Plan. Sites for central strategic waste facility identified in Blandford. Sites for treatment are also identified. Infrastructure review has taken place and now more strategic projects will be developed	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. Bournemouth providing short term maintenance.	Support Services Framework now in place to cover Ferndown and Christchurch depots. Fleetwave software inline with DCC is now fully in use and the DWP transport team has been restructured now that Crookhill workshops and staff have moved from SFS to DWP.	Mike Moon	On-going	
							Failure to procure ICT solutions to improve efficiency	A	Gemma Clinton and Mike Moon	Mapping of current ICT needs; investigation of market solutions. Have just procured an in-cab solution, now the priority is to procure new route optimisation software.	Agree business case; work with procurement colleagues; identify other solutions or work arounds to reduce impact	Gemma Clinton	On-going	
							Inability to provide secure container storage	A	Gemma Clinton and Mike Moon	Existing depots have limited storage. Existing site inadequate.	New storage facilities are being developed at Crookhill Depot and Blandford Depot, need to include bin storage in future infrastructure developments.	Jason Jones	on-going	

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							security of disposal options (treatment and landfill)	R	Gemma Clinton	Existing local landfill and other residual treatment contracts. Business case approved for a central strategic waste transfer station for Dorset.	Procure new agreements. Move ahead with the development of a central strategic waste transfer station in Dorset, this will provide valuable infrastructure and 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. Gaining market intelligence on additional availability within existing contracts and a re-procurement strategy when current contracts expire.	Jason Jones	On-going	
4	Inability to ensure business continuity	Medium	No change	Director		01/18	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	Keep DWP wide business continuity plan up-to-date, develop infrastructure as required.	Gemma Clinton and Mike Moon	On-going	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	Maintain DWP wide business continuity plan	Gemma Clinton and Mike Moon	On-going		
						Loss of IT. Failure/corruption of the household database.	A	Gemma Clinton	DCC ICT continuity arrangements	DWP wide business continuity plan. Currently reviewing the IT SLA to ensure we have sufficient continuity in place.	Gemma Clinton and Mike Moon	On-going		
						Loss of operational staff (industrial action; pandemic flu)	G	Mike Moon	Use of agency staff; service standards review	Business continuity plans for each depot in place	Gemma Clinton and Mike Moon	On-going		
						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		Mike Moon	On-going		
5	Breach of statutory duty	Medium	No change	Director		01/18	Failure to respond to change in legislation	G	Mike Moon and Gemma Clinton	Technical experts; monitoring arrangements; horizon scanning, team training	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.	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 on same basis as DCC; following of procedures for maintenance etc. Transport strategy in place.		Andy Cadman	on-going		
						Breach of EPA and contaminated land legislation through failure of closed landfill site - structural failure or gas/leachate spillage	A	Gemma Clinton	Regular monitoring of sites and remedial measures put in place where necessary. SMT and contracts team attended a closed landfill course.	On-going monitoring of sites. Commission of consultants to carry out some work around liabilities for each site.	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		
6	Failure to retain, recruit and develop competent and capable people	Medium	No change	Director		01/18	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	Look to see if the DWP can use the new apprenticeship scheme, identify key roles as part of the business continuity planning	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 teams when required. Enable flexible working for office based staff, where the business need permits.	SMT	On-going		
						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. All office based staff and business partners had the opportunity to complete the CIWM WasteSmart course in 2016/17	Continue staff training. Specifically all managers to attend: Leadership essentials, management essentials, team coaching. Identify any further training needs with the CIWM	SMT	On-going		
7	Accident, injury or death of an employee or member of the public	Medium	No change	Director		01/18	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. Health and safety team and support.	Continued monitoring and take action to tackle Health & Safety breaches.	Operations Managers	on-going	Investigation and prosecution (H&S / corporate manslaughter); negative reputation; staff absence

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							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. 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. New DWP H&S consultative Group implemented across all teams within DWP reporting to the DWP H&S Committee which is chaired by the Head of Service (Operations).	Operations and All Managers	on-going	
							Unsafe working practice at a site operated by a contractor	G	Gemma Clinton	Regular meetings with contractors; health and safety expectations defined in the contracts; DWP follow up actions identified within risk assessments and response to incidents. Use DWP health and safety officer for site visits and advice.		Jason Jones	on-going	
8	Loss of public support and confidence	Low	No Change	Director		01/18	Inadequate communication with elected members and officers across the partner authorities	G	Director	DWP communications plan and dedicated communications resource and governance review completed	Regular meetings between SMT and partners kept under review	SMT	31/03/18	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	Build the use of DWP's social media presence to make our information more accessible	Gemma Clinton		
							Failure to achieve budget savings / performance targets	R	SMT	See Risk 01 and 02 above. Households, and waste continue to grow and partners don't have the budget to meet this growth within the MTFP	See Risk 01 and 02 above. Continue to seek out efficiency from existing services (e.g. #1 million from the right stuff right bin campaign) and work on further savings projects.			
							Performance indicators negatively affected by failure of treatment contracts	A	Gemma Clinton	Monitoring of performance figures and working with contractors to ensure front line services are provided in accordance with the waste hierarchy as much as feasibly and economically possible.	Focus on disposal options further up the waste hierarchy where facilities exist. Further soft market testing required in early 2018 for future disposal/treatment contracts to focus on contingencies available by different contractors (we can't rely on local landfill sites anymore)	Jason Jones	On-going	
							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	
9	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 Punched		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	On-going	
Deleted Items off the register														