

## Item 11A - Herts Waste Partnership - Risk Register

Risk No.	Category	Date of Entry	Risk	Consequence	Likelihood	Impact	Score	Risk Rating	Risk Owner	Control Measure	Control Measure Owner	Commentary
1	Management of resources	5th May 2011	Lack of joined up responses to Government consultations	Development of inconsistent local policy and service provision	1	2	2	Manageable	Members Group	Joint responses are agreed to key Government consultation papers.	Heads of Waste Group	Risk and control owners subject to whether the consultation is technical or policy based in nature. Needs to be followed up by changes / amendments to local waste policies.
2	Closer joint working	5th May 2011	Removal of requirement to produce joint strategies	Service development across the 2 tiers becomes uncoordinated potentially resulting in additional costs	4	1	4	Manageable	Members Group	Herts Waste Partnership Agreement	Heads of Waste Group	Going forward the HWP will replace the joint waste strategy as the main framework under which the constituent authorities work together.
3	Working with 3rd parties	5th May 2011	Lack of linkage between the work of the HWP and the new climate change partnership / Hertfordshire Sustainability Forum.	Inconsistent policy development	3	2	6	Material	Heads of Waste Group	Participation of the HWP in the new Climate Change Partnership	Partnership Development Manager	Final make up of Climate Change Partnership officer group not yet confirmed.
4	Legislative framework	5th May 2011	Implications of the waste policy review	Could possibly result in additional responsibilities / pressures without additional resources to match	3	2	6	Material	Members Group	Co-ordinated response to policy review. Engagement with DEFRA, WIN and other relevant groups.	Heads of Waste Group	Should also look to generate opportunities for HWP Members to engage and lobby central government.
5	Legislative framework	5th May 2011	Failure to agree / adopt the Herts Waste Partnership Agreement	Possible increase in cost from the PFI contractor to reflect perceived increased risk	3	2	6	Material	Members Group	Regular updates to the HoWG, Directors and Members.	Directors Group	Well established process of suggesting, discussing and agreeing or rejecting changes to the document. Proforma covering report provided for internal use.
6	Closer joint working	5th May 2011	Lack of agreement on revised joint waste strategy	Failure to adopt new strategy impacts on the 'corporate image' of the HWP which is becoming increasingly important when engaging with potential suppliers	2	4	8	Material	Members Group	Consultation with HoWG, Directors, Members and constituent authorities.	Heads of Waste Group	An agreed position needs to be established before consultation with the general public.
7	Closer joint working	5th May 2011	Partners make unilateral/ material changes without consultation. A balance is not achieved between inward focused authority responsibility and the long term strategic development of services	Increase 'whole system costs', i.e. unilateral action results in lost opportunities via consortium arrangements and other forms of joint working	2	4	8	Material	Members Group	Strict adherence to the review procedures detailed in the HWP	Directors Group	Consider structure of Heads of Waste and Directors meetings to create a formal link between agendas and review procedures.
8	Closer joint working	5th May 2011	There is a lack of clarity about the role of the Partnership and the relationship of the partner authorities to the Partnership	It becomes difficult to progress more complex joint working arrangements due to a lack of understanding about the partnership by non HWP officers and Members.	2	4	8	Material	Directors Group	An annual report is being developed to summarise the work of the Partnership for internal reporting purposes within each Partner.	Heads of Waste Group	This issue was picked up through the recent HWP Audit. The proposed annual report is in specific responses to the recommendations in the audit report.
9	Closer joint working	5th May 2011	Partnership skills of officers are not developed or there is a lack of progress in developing these skills	Progress in evolving the partnership is limited and as a result cost to the tax payer is increased.	2	4	8	Material	Directors Group	HoWG and Directors to examine senior officer training needs.	Heads of Waste Group	Will be dependent on the outcomes of the stage 1 study.
10	Closer joint working	5th May 2011	Lack of support given to data generation requirements of the stage 1 study	Datasets are incomplete undermining the accuracy and therefore value of the study	2	4	8	Material	Directors Group	HoWG group responsible for provision of accurate data.	Heads of Waste Group	Consider some form a Director / HoWG sponsored communication.
11	Flexibility	5th May 2011	New PAS 100 standard for composting facilities (links to end of waste criteria)	May require the re-design of collection services to address the implications of the new standard	5	2	10	Material	Members Group	Early discussions with end processors over likely implications of new standard	Heads of Waste Group	Initial meeting already held with AFOR to discuss the likely implications of the new legislation. Discussion paper being submitted to the HoWG in June 2011.
12	Legislative framework	5th May 2011	Changes in government legislation which negatively impact markets	Legislative impacts create downward pressure on prices	4	4	16	Severe	Directors Group	Correspondence with DEFRA's Packaging Recovery Unit	Heads of Waste Group	Letter has been compiled but is currently on holding pending resolution over the Nationwide PRN accreditation situation.
13	Management of resources	5th May 2011	Waste growth returns as the economy recovers	Increased costs	4	4	16	Severe	Directors Group	Continuous monitoring of key trends to identify early any relevant cost pressures	Heads of Waste Group	Possible adjustments to PI reporting process to be considered.
14	Closer joint working	5th May 2011	The HWP receives insufficient / inadequate funding from the partners (e.g. as a result of further spending cuts)	Other Partners unlikely to be able to fill and funding gap resulting in the Partnership unit being disbanded.	1	16	16	Severe	Directors Group	Development of alternative / additional sources of funding to reduce reliance on partner subscriptions.	Heads of Waste Group	Top slice mechanisms introduced in the AFM and textile consortium. Proposals being brought forward for a top slice mechanism as part of the paper consortium extension. Also looking at income generation possibilities through extending consortiums outside of Hertfordshire.
15	Closer joint working	5th May 2011	Loss of trust between partners	Partnership becomes unviable - time spent managing negative relationships not managing and developing the partnership.	1	16	16	Severe	Members Group	Promote early dialogue on key issues based on 'whole service cost' thinking.	Directors Group	Continue to demonstrate HWP efficiencies / savings and added value.
16	Closer joint working	5th May 2011	Recommendations from the Stage 1 study incompatible with existing County / District view	Possible efficiencies and / or savings identified in the stage 1 study are not realised	4	4	16	Severe	Members Group	Promote early dialogue on key issues based on 'whole service cost' thinking.	Directors Group	Emphasise the level of cost that could potentially be 'taken out' of the system across a defined period.
17	Quality and affordable services	5th May 2011	Collapse in markets for recovered materials	Loss of income to constituent authorities	3	8	24	Severe	Directors Group	Regular monitoring and reporting of key price movements on a quarterly basis. Use on consortium contracts where possible to reflect the market presence of the HWP as a whole.	Heads of Waste Group	PDM to develop a regular market update looking at prices for key materials including paper, glass, cans, plastics and PRNs.
18	Working with 3rd parties	8th Sept 2011	Enforcement action against composting facilities as a result of contamination and / or legislative changes	Closure of composting facilities with potentially recyclable material sent to landfill. Would result in serious reputational impact.	3	8	24	Severe	Directors Group	Establishment of dialogue with affected facilities and the Environment Agency. Improvements in the quality and frequency of feedback from all composting service providers in line with requirements of PAS100:2011	Heads of Waste Group	Reports to be submitted to the Sept / October meeting cycles to highlight relevant issues for further consideration.

## FOR EACH RISK COMPLETE THE FOLLOWING DETAILS:

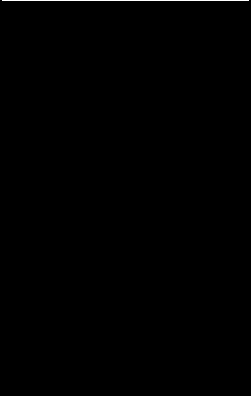
<b>Risk No.</b>	-	allocate a sequential number
<b>Category</b>	-	categories of risk may be useful when allocating and reporting risks
<b>Risk</b>	-	describe the event
<b>Consequence</b>	-	describe the impact if the event occurs
<b>Likelihood</b>	-	the probability of the risk occurring - see guidance for risk profiling
<b>Impact</b>	-	the severity of the impact if the risk occurs - see guidance for risk profiling
<b>Score</b>	-	the scoring multiplies impact by likelihood which then indicates the risk rating expressed as a visual cue
<b>Risk Rating</b>	-	overall rating of the risk with colour cue to indicate seriousness
<b>Risk Owner</b>	-	The owner of the risk (this could be an individual or a group or panel)
<b>Control Measure</b>	-	A brief description of control measures or resolution plans and activities.
<b>Control Measure Owner</b>	-	The owner of the control measure (this could be an individual or a group or panel)
<b>Commentary</b>	-	any additional information pertinent to the risk being discussed

**To summarise:** Identify your risks, grade them and decide what corrective actions need to be taken.  
Give most attention to the risks with a high likelihood and high impact rating.

<b>Risk Category</b>	<b>Likelihood</b>	<b>Impact</b>
Reputational	1. Rare	1. Negligible
Financial	2. Unlikely	2. Low
Operational	3. Possible	4. Medium
Legal	4. Likely	8. High
HR	5. Almost Certain	16. Very High

No.	Summary of Objectives from the JMWMS 2007	Suggested Short Version
1	Manage materials in accordance with the waste hierarchy - reduce, reuse, recycle / compost, energy recovery (e.g. local heating/ electricity), disposal - except where financial costs are prohibitive, or where environmental or public health consequences are negative;	Compliance with the waste hierarchy
2	Manage resources and waste in a way that meets the current needs of Hertfordshire's residents, without compromising the ability of future generations to meet their own needs;	Management of resources
3	Deliver quality services which are affordable and which offer value for money, over both the short and long-term;	Quality and affordable services
4	Have regard to the views of the local community in determining and implementing initiatives for the management of waste;	Views of local community
5	Ensure that services are flexible enough to allow technological developments and changing legal requirements to be accommodated, and to ensure that the desire to move waste up the Waste Management Hierarchy is not compromised;	Flexibility (technological and legislative changes)
6	Aim to manage a growing proportion of Hertfordshire's residual waste within the county and manage all other wastes at the nearest appropriate facility by the most appropriate method or technology. The Hertfordshire Waste Partnership will consider working with neighbouring authorities to achieve the most sustainable solutions for dealing with residual waste;	Self sufficiency
7	Consider, where appropriate, approaches to managing waste from commercial and industrial sources if this contributes to the overall environmental, social and economic well-being of Hertfordshire communities;	Management of commercial wastes
8	Work together within the HWP to research, develop and deliver better coordinated services and infrastructure for waste collection, transfer, treatment and disposal;	Closer joint working
9	Work with others, including commercial, statutory, non-governmental, academic and community based or not-for-profit organisations, in pursuit of the Partnership's vision of sustainable waste and resource management, particularly on the issues of waste prevention and re-use;	Working with 3rd parties
10	Lobby relevant government departments and agencies, including Defra, DTI, and other organisations, for the introduction of national and regional policies and financial arrangements which support the delivery of this Strategy's objectives;	Legislative framework
11	Work closely with the community & voluntary sector to educate communities in waste-related matters and encourage engagement with waste prevention, reuse and recycling initiatives;	Education and behavioural change
12	As local authorities, set an example by preventing, re-using, recycling and composting our own waste and by using our buying power to encourage sustainable resource use;	Lead by example
13	Maintain streets to a high level of cleanliness across Hertfordshire and to manage the waste arising from street cleansing activities.	Appearance of the street scene

<b>Name:</b>
<b>Authority:</b>

Objective number (leave blank for now)	Rank in priority order 1 - most important to 5 least important	Risk description As a result of .....There is a risk that ..... which may result in	Controls To mitigate this risk we are currently.....	Controls To mitigate this risk we could.....
				

		Impact				
		1	2	4	8	16
Likelihood	5	5 Material	10 Material	20 Severe	40 Very Severe	80 Very Severe
	4	4 Manageable	8 Material	16 Severe	32 Very Severe	64 Very Severe
	3	3 Manageable	6 Material	12 Severe	24 Severe	48 Very Severe
	2	2 Manageable	4 Manageable	8 Material	16 Severe	32 Very Severe
	1	1 Manageable	2 Manageable	4 Manageable	8 Material	16 Severe

Likelihood	Impact
1 Rare	1 Negligible
2 Unlikely	2 Low
3 Possible	4 Medium
4 Likely	8 High
5 Almost certain	16 Very high

Score	Risk Rating
0	Manageable
5	Material
11	Severe
25	Very Severe

Last Updated - 18th March 2011



A RISK is a situation that may arise during the execution of the programme that would impair the successful conclusion of the project.

The RISK REGISTER provides a complete list of risks to the success of the programme and provides an audit trail of risk mitigation and resolution.

The following descriptions of probability and impacts provides guidance to profiling each risk in the Risk Register.

LIKELIHOOD	Rare	Unlikely	Possible	Likely	Almost Certain
	1	2	3	4	5
	Is never likely to occur	May occur only in exceptional circumstances	Could occur in certain circumstances	Will probably occur in many circumstances	Is expected to occur in most circumstances
	Very unlikely this will ever happen e.g. once in 100 years	Not expected to happen, but is possible e.g. once in 25 years	May happen occasionally, e.g. once in 10 years	Will probably happen, but not a persistent issue e.g. once in 3 years	Will undoubtedly happen, possible frequency e.g. annually or more frequently
		Not known in the activity	Has happened elsewhere	Has happened in the past	Imminent/near miss

IMPACT	Negligible	Low	Medium	High	Very High
	1	2	3	4	5
<b>Business Impact</b>	Would have little or no effect on operational/project or corporate objectives	Would impact the efficiency or effectiveness of an area but would not result in the complete failure of operational/project /corporate objectives	Would result in the failure of operational/project objectives but would not put the achievement of corporate objectives at risk or have a wider impact across the Partnership	Would impact performance of one or more corporate objectives but would not put the Partnership as a whole at risk	Would result in the failure to fulfil the Partnership's statutory responsibilities.
<b>Income Impact (One off sum or accumulative in one financial year)</b>	Less than £100k	£100k- £0.5m	£0.5m-£1m	£1m - £3m	Greater than £3m
<b>Expenditure Impact (One off sum or accumulative in one financial year)</b>	Less than £100k	£100k- £0.5m	£0.5m-£1m	£1m - £3m	Greater than £3m
<b>Environmental Impact</b>	On site environmental exposure immediately contained, with low cost impact	On site environmental exposure contained after prolonged effort, with minor cost impact	On site environmental exposure contained with outside assistance, with moderate cost impact	Off site environmental exposure contained with outside assistance with high cost impact	Environmental exposure off site with detrimental effects, with very high cost impact
<b>Reputation Impact</b>	Would reduce the Programme's reputation with a small groups/individuals for a limited timescale e.g. one month	Would reduce the Programme's reputation with limited groups of stakeholders for a limited timescale e.g. two months	Would reduce the Programme's reputation with groups of stakeholders for an extended timescale e.g. three months	Would significantly reduce the Programme's reputation with key stakeholders for an extended timescale e.g. six months and raise concerns with relevant government dept	Would significantly reduce the Programme's reputation with key stakeholders for an extended timescale e.g. over 1 year and result in direct intervention by relevant government dept
<b>Legal Impact</b>	Non-compliance by individual staff members	No court proceedings/appropriate regulatory body intervention: no disruption to scheduled services	Court proceedings /appropriate regulatory body intervention but no disruption to scheduled services	Court proceedings /appropriate regulatory body intervention and disruption to scheduled services	Fine/appropriate regulatory body intervention and significant disruption to scheduled services over an extended period of time i.e. over 1 year
<b>Client/Customer Service Impact</b>	Little or no impact on service to clients/customers	Impact on isolated clients/customers or small group	Extended impact on small group of clients/customers	Impact on service to significant group of clients/customers	Extended impact on service to significant group of clients/customers
<b>Staff Impact</b>	Would reduce the performance morale of individuals for limited timescale e.g. one month or increase the likelihood of redundancy	Would reduce the performance/morale of a small number of teams in partnership for limited timescale e.g. two months	Would reduce the performance/morale of a number of teams in partnership for extended timescale e.g. three months	Would significantly reduce the performance/morale across the whole council and result in localised industrial action	Would significantly reduce the performance/morale across the whole council and result in extended industrial action