SLWP Risk Register

Sep-15

Phase	Risk no	Category	Risk Description	Cause	Consequence	Date Risk Identified / Changed	Risk Owner	Likelihood (5 = high level of certainty and 1 = unlikely)	Impact /5	Risk Score /25	Current Mitigation	Further Planned Action
Strategic/ Partnership												
Strategic	**1.1**	**STRAT 1**	Failure to maintain a strong Partnership structure	Failure to agree Partnership's key objectives, Governance or approach to the procurement.	Cannot benefit from Partnership economies of scale. Lack of credibility weak/inconsistent will suffer reputational damage.	18/03/14	Chair of MG	1	5	**5**	Governed by IAA, which was reviewed in September and reported to JWC in December 2013 Strategic Steering Group provide ongoing review and challenge	
Strategic	**1.2**	**STRAT 2**	Failure to develop, implement or regularly review a Joint Waste Strategy		Lack of cohesive direction. Loss of confidence, reputational risk with DEFRA.	18/03/14	AB	1	3	**3**	Second annual review of JMWMS taken place and presented to JWC on 10/12/13	Next review planned for 15/16
Strategic	**1.5**	**STRAT 5**	Failure to recruit and retain sufficient staff resources, or change in key personnel	Lack of staff resource.	Inability to manage Partnership matters appropriately	03/12/12	Chair of MG	3	4	**12**	Recruited to Project Support Officer and Contract Manager and Strategic Partnership Manager in Dec 13, Feb 14 and Oct 14 respectively	Recruitment processes underway to ensure adequate resources are in place asap.
Strategic	**1.6**	**STRAT 6**	Change to political control in Councils which results in one or more councils attempting to withdraw from the Partnership and its contracts		Changes to Partnership arrangement.	06/02/13	Chair of MG	1	3	**3**	Existing IAA and Contractual obligations	
Strategic	**1.9**	**STRAT 9**	Partner Boroughs do not release sufficient officer time to support the Management Group			18/03/14	Chair of MG	1	4	**4**	Continued Engagement of Management Group/Strategic Steering Group	
Strategic	**1.12**	**STRAT 12**	Complete ban on Landfill of certain waste streams			03/04/09	Tech Lead	1	4	**4**	Regulatory environment monitored.	
Strategic	**1.13**	**STRAT 13**	Lack of internal project capacity to manage transition to Contract Management	Lack of resource. Availability of staff against competing priorities.	Impact on project timescales leads to slippage	18/03/14	Chair of MG	1	4	**4**	Recruited to Project Support Officer and Contract Manager and Strategic Partnership Manager in Dec 13, Feb 14 and Oct 14 respectively	Resources Meeting with Borough Leads
Phase B	**1.15**	**STRAT 15**	Phase B construction programme communication failure	Phase B Construction and Communication programme are not sufficiently managed	Reputational risk; resident complaints	20/08/15	AB	2	4	**8**	This is mitigated through management of the contract with Viridor and regular review of their comms programme	
Financial												
Strategic	**2.11**	**FIN 11**	Continued Landfill tax increases - impact on affordability.	Changes in the rate of landfill tax.	Possible additional costs borne by the Council.	19/03/14	AB	1	4	**4**	Landfill Tax position is fixed until March 2016. Partnership will look to maximise landfill diversion through new HRRC contract, and setting up Framework Agreement for waste materials to minimise waste to landfill.	No change

Strategic	**2.14**	**FIN 14**	Financial standing of ERF Contractor affects their ability to deliver the contract or sub contractors.		Potential loss of savings already realised by boroughs Fracture of relationship requiring Partnership to seek new contractual relationship	18/03/134	AB	1	4	**4**	Regular checks by financial advisors. Require contractor to notify partnership of any material change in financial standing.	Continued monitoring through monthly contractor meetings
Strategic	**2.20**	**FIN 20**	Failure to agree costs for individual work streams into the Partnership		Delay to tasks being completed	03/12/12	Chair of MG	2	3	**6**	IAA, Governance and FDs meetings in place to ensure oversight of work streams	
Phase A	**2.22**	**FIN22**	Changes in prices available for recyclable materials and their handling costs	Poor performance of the recyclate market	Increased costs in handling recyclable materials and reduced ability to mitigate these through income generation. Worst case scenario would be no end market availability for one or more material		AB	4	3	**12**	Recyclate framework set up to improve end market availability and ongoing review of market position.	Monthly market forecast requested from Viridor.
Phase B	**2.23**	**FIN23**	Risk that construction completion is delayed.	Variety of unforeseen technical, operational and/or contractual issues	The Partnership pay 'Phase B interim' prices for longer than anticipated; reputational damage; contractual issues require additional negotiation and resources to resolve	20/08/15	AB	1	5	**5**	The risk is mitigated through management of Viridor to ensure no unnecessary delay to construction plus a potential procurement exercise to seek a lower disposal price than the Phase B interim price.	
Procurement												
Planning												
Phase B	**4.10**	**PL 10**	Limited viable CHP opportunity	Commercially difficult to tie up	Possible impact on planning outcome and perceived long term viability of the site	29/08/14	AB	2	4	**8**	Viridor have developed substantive CHP Business Case. Ongoing negotiation between Viridor and planning authority	Subject to ongoing negotiation between Viridor and planning authority.
Sites												
Phase B	**5.2**	**SITE 2**	Delays caused by failure to address timetable impacts of site surveys/species relocation required as part of EIA on partnership sites.	Lack of knowledge about sites.	Delays and costs.	08/04/10	Tech Lead	2	3	**6**		
Phase B	**5.3**	**SITE 3**	Failure to get critical Utility connections to sites	Insufficient utility supplies. e.g. electricity.	Delays and costs.	03/04/09	Tech Lead	2	4	**8**		
Phase B	**5.4**	**SITE 4**	Partnership site conditions are not as expected	Geo-technical survey information not up to date.	Bidders will not accept risk transfer. Partnership must have up to date information prepared.	27/03/12	Tech Lead	2	2	**4**	Conduct asset condition survey	
Technical												

Phase A	**2.50**	**TECH 5**	Prosecuted for the failure of the contractor to manage health and safety resulting in serious injury/death.	Inadequate monitoring of health and safety standards	Bad publicity, prosecution, fine, civil suit	08/10/12	Chair of MG	2	5	**10**	H&S training has been undertaken by Borough Officers responsible for sites, and by the Management Group. Joint inspections of the HRRCs continue using the checklist developed by the Partnership; inspections involve officers from each borough and representatives of EWC. H&S staff in each Borough are also involved. Regular reporting of these inspections to the Management Group is ongoing, and H&S is a regular item on the Management Group agenda.	H&S Officers across the councils to benchmark, develop checklist and train monitoring officers
Phase B	**6.1**	**TECH 1**	Waste model does not predict the future waste trends with sufficient accuracy.	Amec and Waste Officers do not validate data.	Inaccurate waste flows distort the financial model and affordability and costs are inaccurate.	05/10/11	Tech Lead	2	4	**8**	Current model has been reviewed by each Borough. Regular ongoing review, to reflect the changing nature of the waste.	Partnership regularly updates waste flow models and issues to bidders.
Phase B	**6.2**	**TECH 2**	Technical failure in interface arrangements between Phase A and Phase B contracts.	IAA's do not fully cover the scope of the projects, cannot be agreed, or are not adhered to.	Contract/s are not awarded. Or post award, unforeseen problems arise, including delay to construction or operation and/or damage to Contractor property.	03/04/09	Tech Lead	2	3	**6**	Monitored by Technical lead.	
Phase B	**6.3**	**TECH 3**	Failure in existing collection services to meet facility input specifications.	Collections do not meet the input needs of residual technology	Poor technology performance.	03/04/09	Tech Lead	2	3	**6**	Monitored by Technical lead.	
Phase B	**6.9**	**TECH 9**	Failure of Contractor to deliver services / Technology fails to perform as specified	Poor choice of technology	Poor service and performance	03/04/09	Tech Lead	2	4	**8**	Performance Management System and Project Agreement proposed to address failure of technology.	
Phase B	**6.10**	**TECH 10**	Prosecuted for the failure of the contractor to manage health and safety resulting in serious injury/death	Inadequate monitoring of health and safety standards	Bad publicity, prosecution, fine, civil suit	03/12/12	Tech Lead	2	5	**10**	Work carried out by H&S working group, H&S method statement received with Final Tender submission	Dave Garioch (LB Sutton) arranging refresher H&S training for H&S Borough Leads in capacity as H&S Lead for the Partnership
Legal												
Phase A	**7.5**	**LEG 5**	Risk that the carrying on of the EWC service by Kingston on behalf of the SLWP is challenged by a potential third party provider	Caused by the necessary early termination of the EWC contract	Needing to defend actions taken by SLWP in the light of EWC's financial position and risk of insolvency.	20/03/2014	SM	1	1	**1**	Legal advice obtained and confirms that actions to date are lawful. OJEU notice for re-procurement published on 7th March so it is considered that the risk of a third party challenge is minimal	No change

Phase A	**7.7**	**LEG 7**	Risk of legal challenge from existing materials suppliers for HRRC sites	Lack of proper arrangements in place with existing suppliers which the Partnership inherited from EWC	Competitive prices are not achieved, Partnership fails to maximise income Potential legal challenge from existing suppliers	09/04/2014	AB	1	3	**3**	Contracts Manager is taking legal advice on the approach to suppliers in regard to materials offtake	No change
Communications												
Strategic	**8.1**	**COM 1**	Communications Strategy and supporting Plan is insufficient to enable stakeholders' engagement with the programme	Officers have insufficient information or time with which to brief stakeholders	Poor level of engagement. Stakeholders are not informed.	04/09/14	AC/ JH	2	4	**8**	Comms strategy is in place with some funding held back to deal with issues that may arise from the JR	SLWP Comms work currently under review, recommendations to be brought to future JWC
Phase B	**8.2**	**COM 2**	Public opposition to the preferred solution.	Media/personal views	Negative public perception to solution may hinder progress.	18/03/14	AC/ JH	5	3	**15**	Proactive press release following JR outcome issued by LB Sutton, same for subsequent request to appeal outcomes. Reactive press release by Partnership and Viridor drafted and agreed as needed.	Keep under review. Monitored by Comms Lead. Develop and maintain an open and honest relationship with local media.
Phase B	**8.3**	**COM 3**	Environmental lobby opposition to facility / solution	Negative perception of solution. Localised issues with solution.	Delay or need to amend solution.	18/03/14	AC/ JH	5	3	**15**	Environmental groups are a key target audience in the Communications Strategy	No change
Phase B	**8.7**	**COM 7**	Risk That Residents/Public are not appropriately engaged	Inability to resource the work required	Missed opportunity / increased likelihood of public opposition to preferred solution	18/03/14	AC/ JH	2	2	**4**	Viridor have developed a comms plan which has been agreed by MG and will roll out after JR and subsequent appeal period elapses	Annual Communications Plan to be delivered until completion. SLWP to work with Viridor to undertake engagement work with resident groups.
Phase B	**8.9**	**COM 9**	'Break-away' messaging from individual boroughs	Specific local issues take precedence	Contradicts or dilutes the messages of the Partnership.	18/03/14	AC/ JH	2	4	**8**	Communications Coordination Group established as agreed at September 2013 JWC	Continue to engage with Comms leads in each borough to ensure appropriate attendance at Comms Coordination Group and with Partnership comms activities

Phase B	**8.11**	**COM 11**	Organised opposition groups – secure significant media coverage, over-simplifying and sensationalising the issues in the process.	Desire to halt or hamper development of waste treatment facilities.	Leads to a ground-swell of public concern and suspicion	08/10/12	AC/ JH	4	3	**12**	Provide residents with consistent, honest and timely information that refer back to the key messages.	No change
Phase B	**8.12**	**COM 12**	Sensationalist media coverage – the local media sensationalise the issues,	Quest for a 'good story'	Misinforming residents and damaging the reputation of the SLWP.	08/10/12	AC/ JH	3	3	**9**	Provide timely, robust responses to all media enquiries that consistently refer back to the key messages. Adopt an open and honest approach reinforced by regular contact and good relationships.	No change
Phase B	**8.13**	**COM 13**	Individual activists – use the letters pages of the local media to get their views across.	Desire to halt or hamper development of waste treatment facilities.	Creates an unrepresentative impression of opinion and damages the reputation of the SLWP	08/10/12	AC/ JH	4	2	**8**	Respond proportionately to any letters which contain factual inaccuracies	No change
Phase B	**8.14**	**COM 14**	Unintentional consequences - residents perceive the environmental impact of putting recyclable waste in their landfill bins as being reduced.	Message that the residual waste treatment facility will prevent waste from ending up in landfill.	Negative impact on recycling and composting rates	29/08/14	AC/ JH	2	3	**6**	Consistently reiterate the reduce, re-use and recycle message.	"Kerching" recycling campaign delivered in Spring 14 to reinforce financial benefits of recycling
Phase B	**8.18**	**COM 18**	Further commercially sensitive information enters the public domain	Officers or Members with access to, or knowledge of confidential information leak details to the public or press.	The commercial process is hampered, weakening the partnership's negotiating position or even leaving it vulnerable to legal action from the Preferred Bidder.	08/10/12	AC/ JH	2	3	**6**	Mutual agreement with Newsquest in place to consult Partnership before publishing any further story.	Review of processes for publication of JWC papers in each of the boroughs underway to minimise accidental publication of confidential information
Phase B	**8.19**	**COM 19**	Public perception is that the Partnership is just about commissioning an ERF / Partnership does not receive recognition it deserves for managing recycling materials contracts	Insufficiently effective communication		29/08/14	AC/ JH	2	2	**4**	Communications plan includes specific activities promoting Phase A and related work.	"Kerching" recycling campaign delivered in Spring 14 to reinforce financial benefits of recycling
Political												
Phase B	**9.2**	**POL 2**	Risk that political considerations take precedence over wider service delivery, strategic and economic objectives.	Politicians at individual or party level pursue a political agenda in light of any forthcoming elections	Delays or halt to procurement, which would have serious economic impact on the partner boroughs.	06/02/13	Chair of MG	3	4	**12**	Member briefing and involvement is key to the success of the procurements. Joint Committee and Joint Member Planning Working group are encouraged to disseminate the message that this is as far as possible an apolitical issue.	
Stakeholders												
Operational Risk												

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