



Risk Code	TR51 - Deleted	Risk Title	Office Accommodation
Risk Description	<p>As a result of failure to:</p> <ul style="list-style-type: none"> - Create more open plan space - Minimise disturbance caused by refurbishment works - Have suitable and safe temporary accommodation - Fully anticipate all the costs of the project - Fully engage all staff and Members - Reduce physical storage requirements - Provide sufficient IT and telephony requirements and a suitable public reception in Town Lodge - Have sufficient capacity to deliver the project - Ensure the financial health and competence of the manufacturer/contractor <p>There is a risk that there is:</p> <ul style="list-style-type: none"> - Failure to complete the project on time, to cost and within the specification - Failure to refurbish the offices as outlined in the original Business Case - Failure to make additional revenue savings/gains from letting - Inability to repair the exterior of the DCO in the long term - Deterioration in services provided to the public - Failure to moderate internal temperatures - Difficult working conditions leading to a deterioration in officers performance - Failure to attract other partners to share the building that could lead to underutilised office space - Failure to manage expectations 		
Recent Notes	19-Jul-2018 Project documentation is now available on the intranet, including Project Closure Report, Benefits Realisation, Lessons Learned, Issues Log and Risk Log.		

Risk Code	RR NEW1 - New	Risk Title	Waste Management, Recycling and Street Cleansing
Risk Owner	Vaughan Watson	Updated By	Chloe Hipwood
Year Identified	2018	Corporate Priority	Responsive and Efficient
Risk Description	<p>Waste management and recycling is a high profile service that affects every resident of the district. It is the most significant service delivered by NHDC and as such, the associated risks relating to delivery of the contracts and the wider disposal and sale of materials need to be managed effectively.</p> <p>The effective day-to-day delivery of the waste management and recycling contracts has the following key risk areas:</p> <ol style="list-style-type: none"> 1. Staffing (Impact – High, Likelihood – High) Staffing levels of the NHDC client team, due to restructure and maternity leave Ability to monitor and manage the contract effectively 2. Management and Monitoring Arrangements (Impact – High, Likelihood – High) Lack of an agreed and signed Inter Authority Agreement Clarification and understanding of NHDC, EHDC and contractor responsibilities Formalisation of contractual arrangements 		

	<p>3. Trade Waste (Impact – High, Likelihood – Medium) Financial viability due to increasing costs (e.g. disposal and transfer) Competition with other providers who have a lower cost base</p> <p>4. Route Optimisation of Collection Rounds (Impact – Medium, Likelihood – High) – Separate Sub Risk Failure to deliver the changes effectively Residents unaware of or unhappy about the changes</p> <p>5. Contact Handling (Impact – Medium, Likelihood – High) Ability of contractor’s contact centre (systems/staff) to manage the volume of customer contacts effectively</p> <p>6. Food and Garden Waste (Impact – Medium, Likelihood – Medium) – Separate Sub Risk The contractor has problems delivering the new service Residents not using the service expect their bins to be removed immediately NHDC fails to maintain the required number of paying customers</p> <p>7. Street Cleansing (Impact – Low, Likelihood – Low) Lower performance levels not achieving value for money and related reputational issues</p> <p>8. Snow and Ice (Impact – Low, Likelihood – Low) Ability to fulfil relevant duties, i.e. on our own land (e.g. car parks and council offices) and in line with the partnership agreement with HCC (e.g. town centres), although HCC retains responsibility for the relevant areas Claims for personal injury/property damage</p> <p>The disposal and sale of materials has the following key risk areas:</p> <p>9. Depot/Transfer Station (Impact – High, Likelihood – High) – Separate Sub Risk Operational use of the site is not possible or its use is severely restricted Environment Agency closes the site</p> <p>10. Sale of Recyclable Materials (Impact – High, Likelihood – High) – Separate Sub Risk Increased cost of processing materials Increased contamination and stockpiling of plastic waste</p> <p>11. Disposal Arrangements for Waste (Impact – High, Likelihood – Medium) – Separate Sub Risk Reliance on close working relationship with HCC Failure to secure an alternative Northern Transfer Station by 2024</p>		
Opportunities	- Ensuring minimal public complaints and value for money through the effective management and operation of the waste management contract		
Consequences	<ul style="list-style-type: none"> - Additional workload and pressures for officers - Standard of service delivered decreases - Increased number of complaints and poor public perception of service - Increased need for remedial activities - Performance deteriorates and relevant targets are not achieved - Incorrect or late contract payments - Incomplete or inaccurate data being received from the contractor - Increased costs or decreased income/funding (e.g. AFM) - Damage to the reputation of the Council 		
Work Completed	- Financial risk identified for 2018/19, "Unforeseen issues arising relating to the mobilisation of the new Waste, Recycling and Street Cleansing contract require additional staffing resource to resolve"		
Ongoing Work	<ul style="list-style-type: none"> - NHDC and EHC are in a joint contract with Urbaser that is contractually binding. However, officers are in the process of finalising the various agreements between the parties. - Additional resources have been implemented by both Urbaser and NHDC to assist in resolving the current issues. - Reporting to Overview and Scrutiny on the 18 September 2018 on the performance of the new joint waste contract. 		
Current Impact Score	3	Current Likelihood Score	3

Overall Risk Score	9	Current Risk Matrix	
Date Reviewed	03-Jul-2018	Next Review Date	03-Oct-2018
Notes			

Risk Code	RR287 - Deleted	Risk Title	Waste Management and Recycling Contracts
Risk Owner	Vaughan Watson	Updated By	Chloe Hipwood
Year Identified	2004	Corporate Priority	Responsive and Efficient
Risk Description	<p>As a result of:</p> <ul style="list-style-type: none"> - Inadequate management arrangements in place to ensure the current contracts are monitored and reported according to existing contract spec' and performance management system - Lack of staff to monitor the contract adequately - Failure to link specification adequately to the recycling contract with Pearce - Contract with Pearce expiring in 2017 (to be extended or re-procured) - Poor custom and practice making contract enforcement difficult <p>There is a risk of:</p> <ul style="list-style-type: none"> - Deteriorating standards of contractual obligation - Contractual defaulting mechanism is not used correctly to ensure contract spec' is maintained and achieved - Corporate loss of reputation / satisfaction - Reduced performance within corporate and governmental performance indicators - Decrease in customer satisfaction and increased complaints and contacts to NHDC - When the contracts are tendered or extended, there is a risk of increased costs and challenge from unsuccessful bidders - Due to age of waste contract, some contract terms may be unenforceable - Due to re-tendering, contractor may become complacent and service standards may drop 		
Opportunities	<ul style="list-style-type: none"> - Ensuring minimal public complaints and value for money through the effective operation of the waste management contract 		
Consequences	<p>The consequences of failing to ensure the waste contract is managed and monitored sufficiently:</p> <ul style="list-style-type: none"> - Public health adversely affected due to build up of waste on the streets - Incorrect payments being made (overpayments mean NHDC does not achieve best value) - Payments not made by due date (NHDC can incur charges) - Incomplete or inaccurate data being received from the contractor - Inadequate resources available to enable the Council to monitor the contract - Data held by the contractor not available to NHDC officers - Contractor/partner does not manage contamination affecting income - Our outgoings increase - Performance slipping (not hitting targets) - Increased service requests, complaints and call contacts to NHDC direct - Poor AFM - Lack of flexibility to change services and resource implications - Public perception of street cleansing - HWP targets and performance schedules not met - Increase in repeat complaints 		
Work Completed	<ul style="list-style-type: none"> - Can issue defaults, which can lead to contract termination (high risk to Authority) - Monitoring process in place - New monitoring regime now in place to ensure service provision is adequate - All Waste Services Inspectors have been trained upon the correct procedures for inspections and contractual monitoring 		

	<ul style="list-style-type: none"> - Extension to the existing waste management contract has been approved to May 2018 - New disposal arrangements have been agreed upon between NHDC and HCC; from 1st October 2014, all waste to be delivered to FCC in Hitchin for bulking and haulage to a disposal site - Revised clinical waste collection introduced in 2016 – new pricing agreed with Veolia - New commingled contract awarded - Specification for new contract now completed and published - Renegotiated minor aspects of waste contract, e.g. duplication with cleaning of amenity areas with grounds maintenance contractor - New contract procured for start May 2018 - New PMR developed for new contract - Restructuring of the client team 		
Ongoing Work	<ul style="list-style-type: none"> - Claims for payment are scrutinised prior to payment - Payments are made once a month - Monthly contract meetings are held - Quarterly Partnership Board meetings - Mobilisation of the new contract is ongoing - Recruitment ongoing to fully resource client team 		
Current Impact Score	2	Current Likelihood Score	2
Overall Risk Score	5	Current Risk Matrix	
Date Reviewed	04-Jan-2018	Next Review Date	04-Jun-2018
Notes	04-Jan-2018 Risk score not adjusted. Resourcing of the client team is fundamental to the management of this risk.		

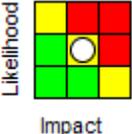
Risk Code	TR59.003 - Amended	Risk Title	Disposal Arrangements for Waste
Risk Owner	Vaughan Watson	Updated By	Chloe Hipwood
Year Identified	2012	Corporate Priority	Responsive and Efficient
Risk Description	<p>NHDC is reliant on a close working relationship with HCC, the disposal authority, in order to dispose of waste using the most efficient and effective methods. There are medium-term and long-term risks to both parties relating to the relevant sites. NHDC owns the Bury Mead, Hitchin Transfer Station and HCC operate a residual waste transfer solution for NHDC collected waste from this site, via a private sector contract, until 2024. After 2024, an alternative Northern Transfer Station is required to prevent additional transport costs for NHDC, should refuse collection vehicles need to travel outside the district and tip directly at the landfill site, of up to £280,000 (gross of HCC transport subsidy of £100,000). There would also be a related increase in vehicle emissions.</p> <p>The risks associated with a Northern Transfer Station project are:</p> <ul style="list-style-type: none"> - Failure to agree a suitable site along the A1 corridor and to develop a financially viable business case for all parties - Failure to obtain planning permission - Failure to gain required permits - Diversion of NHDC resources to support the project - Failure to develop a site in time, leading to significant increased financial and environmental risks - Potentially developing a site that fails to meet future alternative disposal sites 		

	<p>These risks could lead to the site not being built, which would lead to increased transport costs to transfer to alternative transfer or disposal sites and a failure to capture all savings from having one dedicated waste and recycling site/depot.</p> <p>Currently, there is separate risk entry (TR59.008) relating to the transfer and disposal arrangements for recyclable waste.</p>		
Opportunities	<ul style="list-style-type: none"> - Reduction in transportation costs for NHDC and HCC and minimising the impact on the environment - Consolidation of existing facilities (depot, transfer stations for recycling and residual waste, and HWRC) and dependent on location, working with other partners for other services (shared costs and economies of scale) - To improve operational efficiencies by providing one site for household waste (HCC), a depot and waste and dry recyclates transfer station - Work with East Herts, Stevenage and HCC on the transfer station - Potential to relocate the Letchworth HWRC to a larger purpose built site and co-locate with depot and waste transfer 		
Consequences	<p>The consequences of this risk are:</p> <ul style="list-style-type: none"> - Transportation costs to ultimate disposal site continue to increase - Detrimental impact on the environment 		
Work Completed	<ul style="list-style-type: none"> - Feedback to HCC strategic site allocation planning - Worked with HCC waste services in identifying suitable locations for a Northern Transfer Station - Stevenage/North Herts location aborted due to planning restrictions - Contract let by HCC for continuation of transfer until March 2024 - NHDC accepting a Royalty payment based on commercial activity at the site, to ensure the medium-term availability of the site - Preliminary discussion held between HCC and NHDC on viability of sites within the Waste Allocations Document for combined depot and Northern Transfer Station - Consultant's report received for Northern Transfer location; site identified owned by HCC - Consultants commissioned to undertake feasibility work and outline designs for identified site - Agreement for use of Buntingford for the transfer of dry recycling for the new waste collection contract 		
Ongoing Work	<ul style="list-style-type: none"> - Bury Mead contaminated land investigations ongoing with new contractor - Work in progress to resolve risk re Northern Transfer Station - Consider developing a transfer station in North Herts - To review feasibility and outline designs for identified site in conjunction with HCC and linked to Local Plan 		
Current Impact Score	3	Current Likelihood Score	2
Overall Risk Score	8	Current Risk Matrix	
Date Reviewed	03-Jul-2018	Next Review Date	03-Oct-2018
Notes	04-Jan-2018 Likelihood increased due to the re-letting of the residual waste transfer contract by HCC and need for depot to be secured for new waste contract.		

Risk Code	RR424 - Deleted	Risk Title	Hertfordshire Waste Partnership
Risk Owner	Vaughan Watson	Updated By	Chloe Hipwood

Year Identified	2008	Corporate Priority	Responsive and Efficient
Risk Description	<p>As a result of:</p> <ul style="list-style-type: none"> - Lack of buy-in from all districts - Conflicting district agendas/aims - Failure of PFI New Barnfield residual waste solution - Failure to combine collection and disposal services to provide economies of scale and savings for all authorities <p>There is a risk to:</p> <ul style="list-style-type: none"> - Achieving the objectives of the Hertfordshire Waste Partnership 		
Opportunities	<ul style="list-style-type: none"> - Joint working / procurement - Meeting waste diversion and recycling targets 		
Consequences	<p>Leads to:</p> <ul style="list-style-type: none"> - Splintering of partnership - Loss of joint procurement opportunities - Inability to meet targets - Redundancies - Potential loss of facilities - Higher council tax - Contract costs increasing - Loss of AFM funding 		
Work Completed	<ul style="list-style-type: none"> - Strategy in place - New Barnfield project not approved, contingency currently being developed - Joint procurement of commingled MRF contract in 2013 completed - Development of publicity materials to inform the whole of Hertfordshire regarding contamination issues within the organic waste streams and issues surrounding the PAS100;2011 legislation - Joint textiles contract procured - Peer review of HWP completed in 2014 - Joint collection contract with East Herts Council agreed 		
Ongoing Work	<ul style="list-style-type: none"> - Delivery of strategy - Delivery of group work programmes contained within the strategy - Delivery of strategy to achieve 60% diversion rates for the County by 2020 - Contingency for residual waste developed for Bury Mead until 2021 - Ongoing review of strategy - Assistance being provided to HCC for continued use of Bury Mead road to secure residual waste transfer 		
Current Impact Score	2	Current Likelihood Score	2
Overall Risk Score	5	Current Risk Matrix	
Date Reviewed	04-Jan-2018	Next Review Date	04-Jun-2018
Notes	04-Jan-2018 Risk score adjusted to reflect the reduced influence the HWP has over contracts for waste related services. Waste contract risks are managed under a separate risk.		

Risk Code	RR455 - Deleted	Risk Title	Snow and Ice Clearance
Risk Owner	Vaughan Watson	Updated By	Chloe Hipwood
Year Identified	2011	Corporate Priority	Responsive and Efficient

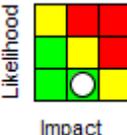
Risk Description	<p>The risks arising from the treatment of or failure to treat snow and ice by NHDC. The snow and ice can be either on NHDC land (primarily Pay & Display car parks) or in the town centres (on behalf of HCC).</p> <p>The risks are:</p> <ul style="list-style-type: none"> - Snow and ice is not treated - Snow and ice not treated properly creating more of a hazard - There is insufficient supply of salt/grit to carry out the treatment - There is increased liability on NHDC for treating the snow and ice on adopted highway as this is a County function 		
Opportunities	<ul style="list-style-type: none"> - Town centres and NHDC pay and display car parks remain safe in the event of snow and ice fall - The public can continue to visit businesses and shops in the district 		
Consequences	<p>The consequences of this risk are:</p> <ul style="list-style-type: none"> - Breach of duties under the Occupiers Liability Act 1957 - Members of the public or staff fall and injure themselves - Downturn in car park income (due to lack of accessibility) - Claims for compensation made for injuries - Increase in complaints - Loss of reputation as unable to treat the snow and ice adequately 		
Work Completed	<ul style="list-style-type: none"> - Snow and Ice procedures agreed by Risk Management Group for NHDC land - Operational procedures for applying the treatment in place in Leisure & Environment - Gritting routes agreed by NHDC and HCC 		
Ongoing Work	<ul style="list-style-type: none"> - Purchased our own salt to treat NHDC land, as outlined in the Snow and Ice procedures - NHDC has now provided HCC a complete list of the footpaths it is willing to grit on behalf of HCC - However, NHDC will only grit if / once all street cleansing services have been suspended; until this point all gritting regardless is still the responsibility of HCC, and all claims / insurance cases are the sole responsibility of HCC regardless of which body gritted the footpaths - New arrangements for new contract to be confirmed during contract mobilisation 		
Current Impact Score	2	Current Likelihood Score	2
Overall Risk Score	5	Current Risk Matrix	
Date Reviewed	04-Jan-2018	Next Review Date	04-Oct-2018
Notes	04-Jan-2018 No update to risk score, new arrangements require agreement with new contractor for winter 2018.		

Risk Code	TR59 - Deleted	Risk Title	Waste & street cleansing contract renewal
Risk Owner	Vaughan Watson	Updated By	Chloe Hipwood
Year Identified	2014	Corporate Priority	
Risk Description	<p>The waste and street cleansing contract is due for renewal in May 2018 There are number of risks to this procurement that have been identified on a project risk log.</p> <p>As a result of</p> <ul style="list-style-type: none"> - unavailability of key staff - a poorly worded/unclear specification - lack of tenders/collaboration - the complex and evolving statutory environment 		

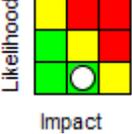
	<ul style="list-style-type: none"> - Uncertainty and changes in disposal infrastructure - extensive lead in time for any new supplier - new procurement legislation - Veolia's software not producing data in a usable format to provide clarity to bidders - other corporate projects calling upon key Officer resource - opportunities for collaborative working - health and safety risks arising from use of HGV's and manual handling - lack of up to date information held by NHDC - key staff being involved in the procurement - age of existing contract - lack of NHDC ownership of a depot or transfer station - Delays in taking a political decision <p>There is a risk that</p> <ul style="list-style-type: none"> - there will be insufficient staff skills and experience leading to a poor quality tender specification/contract terms - lack of staff resources to develop ITT - the contract fails to deliver expectations - the contract costs increase - procurement will not be delivered on time - the procurement does not follow latest legislation - errors and omissions are made in the evaluation and award of contract - incorrect information is provided in the tender documents - the procurement will be delayed due to conflicts with other projects/support service availability - the procurement is delayed due to negotiation and decision making time frames with stakeholders/partners/staff/politicians - there is a breach of health and safety legislation by the contractor - there is a decline in business as usual - current service standards may prove more costly - potential bidders may not find suitable depot sites which may increase operational costs - Existing contractor may become complacent and service standards may drop during re-tendering
Opportunities	To provide a modern cost-effective waste and street cleansing service with a contract that is easily performance managed.
Consequences	<p>The consequences of this risk include</p> <ul style="list-style-type: none"> - a poor quality tender specification/contract terms - a legal challenge that would be costly and possibly delay the letting of the contract - the cost of the new contract exceeds budget - incorrect tender pricing by a contractor due to poor data - missed collections/deterioration in street cleansing leading to increased customer complaints and a possible negative impact on public health - injuries, HSE investigations and insurance claims/HSE fines - lack of bids, transferring waste outside the district and/or high contract price - Non-compliance with the Waste Regulations
Work Completed	<p>Employment of experienced Contracts Manager for Waste & Street Cleansing Project identified as a key project in 2016/17 Existing service standards in some areas are below that specified in the contract so any decline in service standards may not be noticed. Bury Mead Road to be used as transfer station in the short/medium term Project team established Joint working business case agreed. Short series of soft market testing was conducted to inform development of the contract specification Benchmarked contract specification with other authorities as part of the joint working business case Agreement reached this is to be a joint procurement Consultant employed to act as a critical friend Pricing schedule reviews written into the T & C's of the contract. Adoption of the Intend procurement tool to provide a transparent audit trail</p>
Ongoing Work	Procurement advice aided by external support from WYG and AEA Consultants

	<p>As a contingency in the event of staff unavailability, support could be obtained from HCC/HWP NHDC legal support has been utilised and there is some limited support from EHC procurement Invite dialogue and engage with potential suppliers at a pre procurement stage.</p> <p>Project plan and timeline established, with regular review, presented to the joint Project Board of NH and EH Councils. Also reviewed by HoS</p> <p>Validation and review of all data currently held is being completed to ensure that data available to bidders is as accurate as possible.</p> <p>Specification and T&C's of the contract will be developed to stipulate in contract that NHDC has more control over the data held by the contractor.</p> <p>H & S to be asked for at PQQ stage and to be key areas in spec.</p> <p>Specification, contract T&C's and contract management will be applied to identify any H & S risk areas or breaches. The evidencing of bidders approach to H&S will be supported in the Method Statements requests as part of tender submissions which will be contractually binding on the bidder.</p> <p>Ongoing work with IT to transpose current data and is fundamental to the development of the Customer Service Centre component of the contract.</p> <p>Produce mapped data with inspectors to audit information. Data and supporting information has been developed and will form part of the contract management</p> <p>To review CRM information and IT integration.</p> <p>Members/public/CSC to direct enquiries to others in waste team not involved in procurement</p> <p>Identify sites for potential Northern Transfer Station and depot site in conjunction with Local Plan Purchase site and obtain planning permission.</p>		
Current Impact Score		Current Likelihood Score	
Overall Risk Score		Current Risk Matrix	
Date Reviewed		Next Review Date	
Notes	13-Feb-2017 Risk updated with Oliver Furbur		

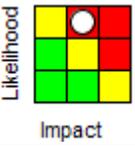
Risk Code	TR59.001 - Deleted	Risk Title	Trade Waste
Risk Owner	Vaughan Watson	Updated By	Chloe Hipwood
Year Identified	2007	Corporate Priority	Attractive and Thriving
Risk Description	<p>The impact of legislative changes to trade waste collections and loss of business to other providers.</p> <p>Trade waste and recycling service does not meet the current needs of the business community by not providing value for money and services as required.</p> <p>Landfill tax increases by RPI.</p> <p>Loss of revenue due to financial climate.</p> <p>Costs of waste transfer make our collections cost prohibitive for businesses.</p> <p>Recycling service does not facilitate businesses to reduce costs sufficiently.</p> <p>The risks are:</p> <ul style="list-style-type: none"> - Not offering recycling collections will result in loss of market share - Loss of customers to other providers due to poor/expensive services - Loss of income to NHDC and potential costs to the general fund 		
Opportunities	To maximise profitability and demand for our trade waste service, which currently makes a contribution to revenue, to develop and provide a full trade waste recycling service to all existing and potential new customers.		

Consequences	Leads to: - Trade waste service loses profitability - Loss of income for NHDC general fund - Reduces the viability of the trade waste service for sale - Services offered do not meet needs of businesses in the district		
Work Completed	- New service costs for 2016/17 developed - majority of costs have increased by contract rises - Changes to HMRC guidance means our customers are exempt from VAT - competitors required to charge (currently being challenged) - Trade waste sales drive has increased profitability of the service substantially - Commingled recycling option introduced for existing commercial customers - Recycling service continues but it will be reviewed to determine if it can be self-sustaining - New commingled recycling charges introduced in April 2016 - Cardboard round review undertaken		
Ongoing Work	- Ongoing work to manage the capacity of the recycling services - Review of pricing structure for April each year - Implementation of new module on Whitespace IT system to manage trade waste contracts due for completion January 2018 - Work required to determine IT management for new contract - Mobilisation of new contract to determine working arrangements and administration responsibilities - New Duty of Care processes being considered for the new contract		
Current Impact Score	2	Current Likelihood Score	1
Overall Risk Score	3	Current Risk Matrix	
Date Reviewed	04-Jan-2018	Next Review Date	04-Jun-2018
Notes	04-Jan-2018 Risk score not updated, work required to harmonise services with East Herts and determine IT system management and service set up for new waste contract		

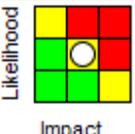
Risk Code	TR59.002 - Deleted	Risk Title	Waste and Recycling Services for Flats
Risk Owner	Vaughan Watson	Updated By	Chloe Hipwood
Year Identified	2013	Corporate Priority	Attractive and Thriving
Risk Description	A new commingled recycling, weekly food waste and weekly residual waste collection service was introduced in the summer of 2013 for flats. There are a number of risks arising from and to this service: - There is a risk that the AFM payment received from HCC will stop .This would lead to a loss of income to the revenue account. - A sum of £853,000 was provided by the DCLG to introduce a recycling service to flats in North Herts. Liners have to be provided to flats or there will be a risk that the Council is in breach of the funding agreement with the DCLG. -Decision on the continued viability of weekly services is required in line with the new waste and street cleansing contract procurement.		
Opportunities	- Increased recycling - Reduced waste to landfill - Reduced waste arisings		
Consequences	The consequences of this risk include: - Failure to meet residents' expectations if bins overflow or recycling is contaminated, resulting in		

	increased complaints - Contamination of food waste or recycling, resulting in more waste going to landfill - Overflowing bins and waste accumulations if resident and managing agents fail to engage in recycling		
Work Completed	- New service rolled out in the summer of 2013, resulting in an increase in recycling rate and less waste going to landfill - Further caddy liner delivery completed - Waste composition analysis undertaken for flats to inform decision of future service provision - New contract let, flats will continue food waste collections with residual waste changing from weekly to fortnightly for most flat blocks - LARAC recycling award won for work with managing agents to increase recycling and tackle dumping		
Ongoing Work	- Problem flats reviewed on a case-by-case basis - Public engagement and education to deal with flats with known contamination issues - Ongoing liaison with managing agents - Assessments of flat blocks with insufficient capacity to go to fortnightly residual waste collections - New collections schedules being devised for new contract		
Current Impact Score	2	Current Likelihood Score	1
Overall Risk Score	3	Current Risk Matrix	
Date Reviewed	12-Feb-2018	Next Review Date	04-Jun-2018
Notes	15-Feb-2018 At the Risk Management Group meeting on 12 February 2018, Vaughan Watson stated that the Likelihood score should be reduced to 1-Low, as he considered the change to fortnightly residual waste collections to be relatively low risk.		

Risk Code	TR59.004 - Deleted	Risk Title	Commingled Waste
Risk Owner	Vaughan Watson	Updated By	Chloe Hipwood
Year Identified	2013	Corporate Priority	Responsive and Efficient
Risk Description	<p>As a result of:</p> <ul style="list-style-type: none"> - Challenges being made at a national level by environmentalists and by companies involved in source separated materials, such as glass, who are using the requirements set out in the Waste Regulations around TEEP (Technically, Environmentally and Economically Practicable) to argue that MRFs (Material Recycling Facilities) do not perform as well and are less environmentally friendly in terms of processing glass and other such material than a source separated at kerbside - Cross contamination of commingled recycling - The quality of glass in commingled recycling - Failure of the contractor for commingled waste - The limited capacity at Radwell - Reduced income from material sale <p>There is a risk of:</p> <ul style="list-style-type: none"> - Contaminated loads going to the MRF - Negative impact on recycling performance and diversion of contaminated recycling material being sent to landfill - Failure to make best use of glass collected for recycling - A decrease in the price received for commingled recycling - Material not going to closed loop recycling - Legal challenge from 2015 on the quality of material being recycled via commingled recycling compared to kerbside sorted material. The Environment Agency is the enforcing authority and it will 		

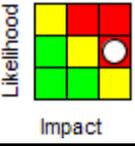
	<p>review local authority positions in 2015.</p> <ul style="list-style-type: none"> - Failure of the Radwell site to be able to accommodate any increase in recycling - Reduction in income due to changes in waste composition and a fall in the markets for material sale 		
Opportunities	<ul style="list-style-type: none"> - To ensure our commingled material is within defined limits (less than 5%) of contamination at source, to prevent legal and financial challenges - To argue our case if challenged that our commingled material and the MRF that it is sent to is "Fit for Purpose" and the challenges made under TEEP demonstrate we have improved on performance and is more efficient and effective than our previous source separated service 		
Consequences	<p>As a result of these risks:</p> <ul style="list-style-type: none"> - High levels of contamination may result in downgrading our material and significant increased costs; this then may lead to higher risk of challenge on quality and performance under TEEP - Glass may have to be removed from commingled recycling if sufficient quality cannot be achieved at the MRF - Textiles may need to be reviewed if contamination persists in the commingled waste stream - Increased costs if the Council has to use an alternative MRF - Negative impact on our residents and potentially on the performance, reducing our recycling performance if glass is sent to landfill - Option of going back to kerbside sort for glass, this would have financial implications to the revenue budget for waste - Defending any legal challenges made may have additional revenue or opportunity costs - Reputational issues - Successful challenge would result in whole scale service change costs - Continued increases in processing costs may be incurred - Reprocessors may halt receipt of material if quality is not suitable for onward sale or if the global economic market drives the price of recycling too low 		
Work Completed	<ul style="list-style-type: none"> - Cardboard now removed from compost improving the quality of the compost - Commingled contract implemented - Change in publicity in relation to textiles, now in a bag outside of the bin, to help prevent contamination - Staff resource at Radwell to assist in removing contamination - Waste composition reviewed for year 2 of contract - TEEP assessment received finding was that after taking into account the higher level of recycling and the relative costs the current system has been chosen by NHDC because it is seen as more technically practicable, environmental and economic than collecting the four materials separately - New contract let for 7 years 		
Ongoing Work	<ul style="list-style-type: none"> - Waste and recycling contractor removes as much contamination as possible before the recycling is transported to the MRF - AFM payments help to compensate for the cost of processing recyclates - Communication with our residents to assist us in minimising contamination in the commingled waste stream - Herts Waste Partnership have agreed that they will support any district/borough that has a legal challenge about the quality of their commingled recycling - In the event of failure of the contractor, the Council would seek an alternative provider but may have to send some potentially recyclable materials to landfill in the interim - Ongoing communication programme with residents to reduce contamination has been successful overall - Paper recycling contract being considered for extension 		
Current Impact Score	2	Current Likelihood Score	3
Overall Risk Score	7	Current Risk Matrix	
Date Reviewed	04-Jan-2018	Next Review	04-Jun-2018

		Date	
Notes	04-Jan-2018 Risk score likelihood updated to reflect global economic climate and impacts of China restrictions on plastics for recycling and new contract re-letting.		

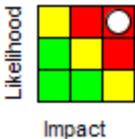
Risk Code	TR59.005 - Deleted	Risk Title	Street Cleansing
Risk Owner	Vaughan Watson	Updated By	Chloe Hipwood
Year Identified	2014	Corporate Priority	Attractive and Thriving
Risk Description	<p>The district is divided into "zones" with different cleaning standards associated with different zones.</p> <p>As a result of:</p> <ul style="list-style-type: none"> - Having allocated different types of location to different zones and having a different level of cleansing for different zones there is a risk that there will be no parity with East Herts Council (EHC) - Increasing the cleaning of high speed roads there is a risk that the cost of the contract would increase substantially - Maintaining the current level of cleaning of high speed roads there is a risk that the appearance of the district will not improve and/or there will be a negative environmental impact - Reducing the number of litter bins there is a risk that more litter will be dropped - Deciding not to clear leaf fall there is a risk of increased complaints and the possibility of more people falling and being injured - Zoning of streets, which is outdated and requires a review <p>There is a risk that:</p> <ul style="list-style-type: none"> - Street cleansing standards will fall - There is failure to obtain value for money 		
Opportunities	<ul style="list-style-type: none"> - Streets are clean and safe - Contract delivers best value for the Council 		
Consequences	<p>These risks can lead to:</p> <ul style="list-style-type: none"> - Increased contract costs - Increased complaints from the public - Increased dissatisfaction with the level of street cleanliness - Possible claims for injury (e.g. as a result of falling on wet leaves/detritus) 		
Work Completed	<ul style="list-style-type: none"> - Programme of high speed road cleaning arranged annually - Recruited temporary post to update data for new contract - Consulted with members and other stakeholders for new contract minimum standards - New contract specification drafted and contract let 		
Ongoing Work	<ul style="list-style-type: none"> - To communicate any changes in standards to the public with an explanation as to why the decision has been taken (e.g. savings) - Mobilisation of new cleansing schedules ongoing - Review of re-zoning 		
Current Impact Score	2	Current Likelihood Score	2
Overall Risk Score	5	Current Risk Matrix	
Date Reviewed	12-Feb-2018	Next Review Date	04-Jun-2018
Notes	15-Feb-2018 At the Risk Management Group meeting on 12 February 2018, Vaughan Watson stated that the revised contract specification was built into the new contract and that the risk would be reviewed comprehensively following commencement of the contract. Vaughan's proposal was to		

	reduce the Likelihood score from '3-High' to '2-Medium' and the RMG agreed with his proposal.
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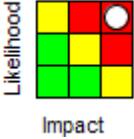
Risk Code	TR59.006 - Deleted	Risk Title	Shared Procurement Opportunity
Risk Owner	Vaughan Watson	Updated By	Chloe Hipwood
Year Identified	2014	Corporate Priority	Responsive and Efficient
Risk Description	<p>There is an opportunity to share the procurement of the waste and street cleansing contract with East Herts District Council.</p> <p>As a result of:</p> <ul style="list-style-type: none"> - A lack of staff resources to support the project - A lack of ability to influence the design, delivery and performance of services in the future - Including too many options in the ITT - Lack of interest in the market for a NHDC only contract - Lack of interest in the market for a joint contract - The large number of options and optional services being sought from bidders to accommodate each council's requirements <p>There is a risk that:</p> <ul style="list-style-type: none"> - The future contract is not suitable for the needs of NHDC - There will be slight modifications to the service delivered to residents - One or both parties decide not to continue with a joint procurement, impacting on the timescale for the procurement - The Business Case benefits are not realised - There are very few tenders received for the contract 		
Opportunities	<ul style="list-style-type: none"> - Improving the cost effectiveness and resilience of the waste collection and street cleansing contract 		
Consequences	<p>If the risks materialise, the consequences might be:</p> <ul style="list-style-type: none"> - Loss of ability to make savings through a joint procurement - Continuing capacity problems at current transfer locations - Contract costs increase - Lack of satisfaction with the service from residents leading to an increase in complaints - Deterioration in the level of recycling and an increase in the use of landfill - Deterioration in the levels of street cleanliness and increased public complaints 		
Work Completed	<ul style="list-style-type: none"> - December 2014 Cabinet approved the development of a Business Case - Current contract extended to 8 May 2018 to align with EHDC contract - Cabinet approved Strategic Outline Case - Consultant employed to support the project - Outline Business Case approved by Cabinet in July 2016 - Full contract scope and financial implications determined - AFM funds used to fund the costs involved in joint procurement - Governance arrangements for contract agreed - Interim Inter-Authority Agreement in place to protect both authorities from financial liabilities and risks in the event of one partner unilaterally ending the partnership prior to procurement - Workshops held with Members to ensure a better understanding of jointly agreed policies - Developed joint contract documentation between EHDC and NHDC - Developed joint contract specification for Waste, Recycling and Street Cleansing - ITT published and procurement process commenced - SQ process conducted and successful bidders invited to full ITT process - Bidder open day held jointly between EHDC and NHDC on 12 June 2017 at the Buntingford Depot for bidders progressed from SQ stage - Procurement exercise completed contract being prepared for signing - Joint policies agreed - Public consultation completed - Client team restructuring completed to be in place February 2018 		
Ongoing Work	<ul style="list-style-type: none"> - Agree composition of a final management board for contract management and determine Member 		

	involvement - To finalise arrangements for the Customer Service Centre for the contract due to a differing approach between NHDC contractor delivered and EHDC internally delivered - Recruitment to client team ongoing - Mobilisation of the contract ongoing and success dependent on staff resource		
Current Impact Score	3	Current Likelihood Score	2
Overall Risk Score	8	Current Risk Matrix	
Date Reviewed	04-Jan-2018	Next Review Date	04-Jun-2018
Notes	04-Jan-2018 No update to risk score. To be reviewed once contract signed and mobilised.		

Risk Code	TR59.007 - Amended	Risk Title	Sale of Recyclable Materials
Risk Owner	Vaughan Watson	Updated By	Chloe Hipwood
Year Identified	2015	Corporate Priority	Responsive and Efficient
Risk Description	<p>As a result of:</p> <ul style="list-style-type: none"> - Increasing supply and lack of demand for materials - Lack of competition - The downturn in the market for materials and the impact of China's restrictions on plastics for recycling - Reduction in price for commingled material and/or waste paper - Lack of direct management of contractor - Loss of contractor - Contamination of materials - A change in the composition of the materials collected <p>There is a risk that:</p> <ul style="list-style-type: none"> - There is an increase in the cost for processing the materials - There is a significant financial loss to NHDC - There is lack of control over contract - There is a need to find an alternative contractor at short/no notice - The contractor will reject loads that are considered contaminated - There is a stockpile of plastic waste 		
Opportunities	- NHDC obtains maximum income for the materials it has collected that can be recycled		
Consequences	<p>As a consequence of the risk occurring:</p> <ul style="list-style-type: none"> - There is a negative impact on the Council's General Fund - Services may have to be cut to meet the shortfall - Material that could be recycled goes to landfill or it is incinerated 		
Work Completed	<ul style="list-style-type: none"> - NHDC is part of a consortium for recycling materials with other Hertfordshire authorities - Site visits to monitor contamination - Requests for data on material composition - Promotional campaigns to reduce contamination and increase the quality of materials - New paper contract procured as HWP started in January 2017 - New contract procured jointly with EHC started in May 2018 - Financial risk identified for 2018/19, " Increase in the net cost of recycling services due to either or all of ; adverse changes in the market prices for commodities; a reduction in the volume of recyclates collected; a change in the material composition of the recyclates collected" 		

Ongoing Work	- Budgets adjusted to reflect impact - Monthly review of market price fluctuations		
Current Impact Score	3	Current Likelihood Score	3
Overall Risk Score	9	Current Risk Matrix	
Date Reviewed	03-Jul-2018	Next Review Date	03-Oct-2018
Notes	04-Jan-2018 No update to score required.		

Risk Code	TR59.008 - Unchanged	Risk Title	Depot/Transfer Station
Risk Owner	Vaughan Watson	Updated By	Chloe Hipwood
Year Identified	2016	Corporate Priority	Responsive and Efficient
Risk Description	<p>As a result of:</p> <ul style="list-style-type: none"> - The Buntingford Depot/Transfer Station failing to meet Environment Agency requirements, e.g. installation of a fire suppression system - The Environment Agency not issuing the required operating licence - The Environment Agency not agreeing to a further extension to the temporary agreement, which expires in August 2018, to continue operating from the site on the existing basis - Foreclosure on the tenancy agreement, a fire or serious Health & Safety concerns/incident <p>There is a risk that:</p> <ul style="list-style-type: none"> - The Environment Agency closes the site - Operational use of the site is not possible or its use is severely restricted <p>This could lead to:</p> <ul style="list-style-type: none"> - Service delivery and the management of dry recyclates being significantly affected, e.g. waste collections being suspended/reduced - Dry recyclates being sent directly to the recycling facility - Dry recyclates being sent to landfill - Use of alternative transfer sites (either as a formal Business Continuity arrangement or as an emergency reactive solution) 		
Opportunities	- A joint depot/recycling transfer station with EHDC providing economies of scale		
Consequences	<p>As a result of the risks arising:</p> <ul style="list-style-type: none"> - NHDC could require additional unbudgeted resources - NHDC's reputation could be damaged - NHDC could receive an increased number of complaints from residents - NHDC's performance could deteriorate - NHDC's income/identified savings could reduce 		
Work Completed	<ul style="list-style-type: none"> - Initial risks associated with the contract tendering process managed effectively, e.g. IT, telephone and parking issues all resolved - Urbaser submitted application for the operator licence 		
Ongoing Work	<ul style="list-style-type: none"> - EHDC responsible for financing and managing the installation of a fire suppression system - NHDC/EHDC representatives undertaking updated risk assessments and Business Continuity planning - Investigating options for third party providers to provide alternative transfer sites for dry recyclates and for direct delivery to Pearce 		
Current Impact	3	Current	3

Score		Likelihood Score	
Overall Risk Score	9	Current Risk Matrix	
Date Reviewed	03-Jul-2018	Next Review Date	03-Oct-2018
Notes	23-May-2018 Following the Risk Management Group meeting on 23 May 2018, the risk entry was updated so that it accurately reflects both the current risks and the recent increase to the overall risk score. The original risks associated with the contract tendering process have been removed from the Risk Description, as these were managed effectively and resolved.		

Risk Code	TR59.009 - Amended	Risk Title	Food and Garden Waste
Risk Owner	Vaughan Watson	Updated By	Chloe Hipwood
Year Identified	2018	Corporate Priority	Responsive and Efficient
Risk Description	<p>On 16 October 2017, Cabinet approved the introduction of weekly food waste collections and a chargeable garden waste collection service for the new contract, commencing on 9 May 2018.</p> <p>As a result of:</p> <ul style="list-style-type: none"> - NHDC not providing food waste caddy liners, apart from a limited number when the service is introduced - Residents being unwilling to pay the £40 per year charge (initial £35 early bird offer) - Residents being unhappy with the changes, especially in light of consultation feedback - Problems with the payment process and transfer of data to the operating system <p>There is a risk that:</p> <ul style="list-style-type: none"> - The contractor has problems delivering the garden waste collection service, i.e. ensuring residents that have paid have their waste collected and that residents that have not paid do not - Residents fail to utilise the food waste caddies and dispose of food waste in their purple bins - NHDC fails to maintain the required number of residents paying for the chargeable garden waste collection service - Residents dispose of garden waste by alternative (e.g. Household Waste Recycling Centres) or inappropriate (fly-tipping) means - Residents not buying in to the service might expect their bins to be removed immediately <p>This could lead to:</p> <ul style="list-style-type: none"> - NHDC not achieving the income figures specified in the budget - Reduced performance (increased residual waste and decreased recycling rate) - Increased incidents of fly-tipping - A high number of complaints and negative press coverage - Customer contact centres being unable to cope with a high volume of calls - Increased costs and negative impact on future AFM payments 		
Opportunities	<ul style="list-style-type: none"> - NHDC maximises take up of the chargeable garden waste collection service and the associated income - The amount of food waste collected increases (and offsets any reduction in garden waste) 		
Consequences	<ul style="list-style-type: none"> - Recycling performance reduces closer to the legislative requirement of 50% - Anticipated savings are not realised - Negative impact on NHDC's finances - Damage to NHDC's reputation 		
Work Completed	<ul style="list-style-type: none"> - Cabinet approval for service changes (October 2017) - Contract mobilised - Over 40% take up of the garden waste collection service at contract commencement, which has now increased to 47% (May 2018) 		

Ongoing Work	<ul style="list-style-type: none"> - Implementing Communication Plan relating to service changes/implementation issues - Urbaser conducting a data cleansing exercise to resolve the issues with data transfer to the operating system (they have indicated that the system is currently 99% clean), which resulted in problematic collection issues and a high number of complaints - To address short-term implementation issues, Urbaser has doubled the size of its contact centre and operated additional services/hours to “catch up” - No early indications of an increase in fly-tipping or a detrimental impact on HWRCs 		
Current Impact Score	2	Current Likelihood Score	2
Overall Risk Score	5	Current Risk Matrix	
Date Reviewed	03-Jul-2018	Next Review Date	03-Oct-2018
Notes	23-May-2018 Following the Risk Management Group meeting on 23 May 2018, the risk entry was updated so that it accurately reflects the current risks and recent developments associated with the commencement of the new service. Take up of the garden waste service was approximately 40% at contract commencement and has now increased to 47%. This has exceeded initial expectations.		

Risk Code	RR NEW2 - New	Risk Title	Route Optimisation of Collection Rounds
Risk Owner	Vaughan Watson	Updated By	Chloe Hipwood
Year Identified	2018	Corporate Priority	Responsive and Efficient
Risk Description	<p>In line with the contractor’s contract bid, NHDC is required to implement changes to collection rounds. This will include the transition to fortnightly residual waste collections for flats.</p> <p>As a result of:</p> <ul style="list-style-type: none"> - Urbaser not planning in detail for the changes to collection schedules and associated working hours, including disposal arrangements - NHDC failing to communicate the changes effectively <p>There is a risk that:</p> <ul style="list-style-type: none"> - There are issues delivering the changes, e.g. due to possible industrial action or staff shortages - The public are unaware of and unhappy about the changes <p>This could lead to:</p> <ul style="list-style-type: none"> - A further high demand on the client team/phone system to deal with complaints/issues - Further negative press coverage 		
Opportunities	- Ensuring a smooth transition to the new service, in line with the waste management contract		
Consequences	<ul style="list-style-type: none"> - Additional workload and pressures for officers - Standard of service delivered decreases - Increased number of complaints and poor public perception of service - Increased need for remedial activities - Performance deteriorates and relevant targets are not achieved 		
Work Completed			
Ongoing Work			
Current Impact Score	2	Current Likelihood Score	3

Overall Risk Score	7	Current Risk Matrix	
Date Reviewed	03-Jul-2018	Next Review Date	03-Oct-2018
Notes			