

North London Waste Authority																		
Risk Register 22-Jun-10 17:11 Authority: Service Contracts Register Owner: David Beadle			North London Waste Authority 2010/11 Over-arching Risk Register															

Risk Identification								Assessment			Risk Management						Residual Risk Assessment			Contingency Strategy
Risk Number	Title	Date Added	Risk Description	Risk Owner	Effect	Category	Status	Probability	Impact	Rating (R-Y-G)	Management Actions Planned	Dated By	Management Actions Taken	Date Updated	Comments	Probability	Impact	Rating (R-Y-G)	Action to be undertaken if risk occurs	
NLWA-Ov01	Organisation	01/04/2010	Staff or visitors are injured at work (other Health & Safety risks are on subordinate registers).	David Beadle	Potential impact on service delivery / outcomes. Potential legal action. Potential reputational damage.	Regulatory	Active	1	5	5	Mature organisation, so no specific actions planned, other than constant vigilance.	01-Apr-10	Risk assessments are undertaken by managers for all activities (office-based and elsewhere) in advance.	01-Apr-10		1	5	5	Immediate and comprehensive investigation, in cooperation with appropriate regulatory body. Communication with affected parties.	
NLWA-Ov02	Organisation	01/04/2010	The Authority does not retain or develop necessary personnel.	David Beadle	Required service outcomes are delayed, possibly with an adverse financial impact.	HR / People	Active	1	3	3	Complete the integration of all full-time Authority officers into Camden human resource procedures (subject to TUPE matters for ex-Haringey employees).	01-Apr-10	Regular staff briefings are held, individual targets, monitoring and appraisals are in place, including personal development needs.	01-Apr-10		1	3	3	Assess if someone within can cover deficiency, or someone from a constituent borough council; if not, recruit or second someone appropriate into the organisation.	
NLWA-Ov03	Organisation	01/04/2010	Authority decisions are based on incomplete information.	David Beadle	Challenge by an interested body.	Information	Active	1	3	3		01-Apr-10	Advisers' meetings review key matters in advance. All formal reports are reviewed for legal and financial implications. Access to wider lead-borough support for other disciplines. Consultation with constituent borough Chief Executives, Directors of Finance and Environment, and Executive Members.	01-Apr-10		1	3	3	Examine outcomes of such decisions to determine what can be changed or corrected. Communication with affected parties.	
NLWA-Ov04	Organisation	01/04/2010	The Authority is inaccurately reported on in the media.	Keith Harper	Reputational damage to the Authority if stakeholders believe inaccuracies to be true.	Reputation	Active	1	3	3		01-Apr-10	Control systems in place with regard to any press announcement or statement. Cuttings agency employed to monitor reporting of Authority.	01-Apr-10		1	3	3	Request media to correct inaccuracy clearly and noticeably. Communication with affected parties.	
NLWA-Ov05	Organisation	01/04/2010	The Authority's IT systems fail or do not function adequately.	Chris Preece	Officers may be largely unable to function, meaning contract payments may be difficult to validate, and documents, representations, tender assessments, borough liaison, etc. may be delayed.	Operational	Active	1	5	5	Closely manage the process of consolidation of IT into Camden systems.	01-Apr-10	Lead borough IT systems of Haringey and Camden are in use, both with virus protection and off-site back-ups. Appropriate staff training is given. Reciprocal agreement to 'hot-desk' with LB Haringey waste services officers and LWL. Commenced process of integrating all IT into Camden systems in order to avoid interface issues.	01-Apr-10		1	3	3	Relocate essential officers to other LB Haringey, LB Camden or LWL offices so that they can function. Liaise with appropriate lead borough IT department to implement corrective action as soon as possible. Thereafter assess reasons for failure to ensure it cannot be repeated.	
NLWA-Ov06	Finance	01/04/2010	The Authority has insufficient funds to meet its obligations.	Mike O'Donnell	Unplanned borrowing would be necessary.	Financial / Commercial	Active	1	3	3	Mature organisation, so no specific actions planned, other than constant vigilance. Complete internal audit review currently underway.	01-Apr-10	Prudent budgets and contingencies are set every year, having regard to specific financial risks, after Member consultation. Appropriate insurance policies are in place. External Auditor review.	01-Apr-10		1	1	1	Borrow appropriate funds in the short term and assess reasons for the difficulty to ensure it cannot happen again.	
NLWA-Ov07	Finance	01/04/2010	The Authority's balances are managed unwisely.	Mike O'Donnell	Unplanned borrowing might be necessary.	Financial / Commercial	Active	1	3	3	Mature organisation, so no specific actions planned, other than constant vigilance and completing the formal agreement with Camden. Complete internal audit review currently underway.	01-Apr-10	Balances are managed by specialist Camden treasury team. Authority has registered with PWLB so it can borrow funds. Formal agreement with Camden is under development.	01-Apr-10		1	1	1	Borrow appropriate funds in the short term and assess reasons for the difficulty to ensure it cannot happen again.	
NLWA-Ov08	Finance	01/04/2010	The Authority borrows money over an inappropriate term or of an inappropriate amount.	Mike O'Donnell	Authority borrowing becomes more expensive overall than necessary.	Financial / Commercial	Active	1	1	1	Complete internal audit review currently underway.	01-Apr-10	The Authority's needs are balanced across loans of various terms in order to minimise risk.	01-Apr-10		1	1	1	Restructure borrowings at earliest opportunity and assess reasons for the difficulty to ensure it cannot happen again.	
NLWA-Ov09	Finance	01/04/2010	The Authority overpays a contractor or supplier.	Mike O'Donnell	The Authority may have to take legal action to recover over-payment, or approve bad debt.	Financial / Commercial	Active	1	3	3	Mature organisation, so no specific actions planned, other than constant vigilance. Complete internal audit review currently underway.	01-Apr-10	The Authority has mature processes in relation to its main contracts and third party credits, and the right to set-off overpayments against future payment liabilities. The Authority has implemented a range of control systems in all other areas, but is currently reappraising these as a matter of best practice.	01-Apr-10		1	3	3	Recover funds from future payment liabilities wherever possible and assess reasons for the overpayment to ensure it cannot happen again. Potential legal action.	
NLWA-Ov10	Finance	01/04/2010	The Authority's control systems do not detect fraudulent or corrupt acts.	Mike O'Donnell	The Authority may have to take legal action to recover funds or for other remedies. Possible reputational damage.	Fraud	Active	1	3	3	Mature organisation, so no specific actions planned, other than constant vigilance. Complete internal audit review currently underway.	01-Apr-10	The Authority has mature processes in relation to controlling payments, and ensures proper supervision and transparency for contract management and negotiations. The Authority is currently reappraising these as a matter of best practice.	01-Apr-10		1	3	3	Recover funds wherever possible and assess reasons for the overpayment to ensure it cannot happen again. Potential disciplinary and/or legal action.	
NLWA-Ov11	Finance	01/04/2010	The value of the Authority's interest in LondonWaste Ltd is not maintained or, where possible, enhanced.	David Beadle	The Authority may receive less benefit from the asset to offset the increased costs of future waste facilities and services.	Financial / Commercial	Active	1	5	5	Complete the working arrangements of the Shareholder Group.	01-Apr-10	The Authority's Shareholder Agreement with LWL provides robust controls. The Authority controls the appointment of non-executive directors to the LWL Board. LWL Board minutes are considered at Authority meetings. Members on the Shareholder Group will ensure further accountability.	01-Apr-10		1	5	5	Take appropriate corrective action at earliest possible opportunity and assess reasons for the loss of value to ensure it cannot happen again.	
NLWA-Ov12	Activities	01/04/2010	Environmental damage is caused by the Authority or its contractors.	David Beadle	Potential harm to local environment. Potential legal action and reputational damage.	Regulatory	Active	1	3	3	Mature organisation, so no specific actions planned, other than constant vigilance.	01-Apr-10	All Authority contracted services are regulated by the Environment Agency and/or local environmental health services. Contractual mechanisms and monitoring are designed to prevent this too. See Service Contract Risk Register for further detail.	01-Apr-10		1	3	3	Take appropriate corrective action at earliest possible opportunity and assess reasons for the environmental damage to ensure it cannot happen again. Communication with affected parties.	
NLWA-Ov13	Activities	01/04/2010	The Authority does not (adequately) anticipate impacts of new legislation on (or enforceable requirements of) services and finances.	Barbara Herridge	Unnecessarily burdensome requirements and costs are placed on the Authority.	Strategic	Active	1	5	5	Mature organisation, so no specific actions planned, other than constant vigilance.	01-Apr-10	Professional institutions and officer associations at national and regional level receive appropriate forward information, and disseminate it. Multi-disciplinary views feed into officer recommendations for change.	01-Apr-10		1	5	5	Investigate if new legislation (or enforceable requirements) can be delayed, modified or reversed. Take appropriate corrective action at earliest possible opportunity and assess reasons for the lack of anticipation to ensure it cannot happen again.	
NLWA-Ov14	Activities	01/04/2010	The Authority does not achieve its landfill allowance trading scheme (LATS) targets.	Andrew Lappage	The Authority would have to buy allowances or be fined. Possible reputational damage.	Operational	Active	1	3	3	Mature organisation, so no specific actions planned, other than constant vigilance.	01-Apr-10	LATS surplus at present; first sale complete. Monitoring through monthly TAS sheets from boroughs diversion reports from contractors, and monthly, quarterly WDF submissions. Engagement with 50% Club.	01-Apr-10		1	3	3	Buy surplus allowances (if available and affordable) or anticipate an automatic fine. Communication with stakeholders.	
NLWA-Ov15	Activities	01/04/2010	The Authority does not achieve its strategy targets.	Andrew Lappage	Reputational damage.	Operational	Active	3	1	3	Mature organisation, so no specific actions planned, other than constant vigilance, on-going active participation in the 50% Club and completion of procurement of long-term facilities and services (see NLWA17).	01-Apr-10	Monitoring and engagement as at NLWA14 and with Directors of Environment. Implementation of procurement strategy for long-term facilities and services and Inter Authority Agreement.	01-Apr-10		3	1	3	Review services and performance management systems to assess potential appropriate corrective action at earliest opportunity. Communication with stakeholders.	
NLWA-Ov16	Activities	01/04/2010	The Authority does not manage current services to meet statutory and other obligations.	Andrew Lappage	See Service Contracts Risk Register.	Operational	Active				See Service Contracts Risk Register.	01-Apr-10	See Service Contracts Risk Register.	01-Apr-10				See Service Contracts Risk Register.		
NLWA-Ov17	Activities	01/04/2010	The Authority does not procure successor services in a sufficient way.	Tim Judson	See Procurement Programme Risk Register.	Deliverability	Active				See Procurement Programme Risk Register.	01-Apr-10	See Procurement Programme Risk Register.	01-Apr-10				See Procurement Programme Risk Register.		