Appendix 3 (Project Highlight Report) – Street Smart Risk Register

Risk No.	Inherent Risk								Residual Risk			Assurances	Actions			
	Risk Description	Cause	Effect	Owner	Likelihood	Impact	Score & RAG	Key Controls	Likelihood	Impact	Score & RAG	Sources of assurance over key controls	Actions	Owner	Target Date	Action RAG
	CUSTOMER PERSPECTIVE															
1	Failure to report performances against Business Plan, lack of monitoring of internal performances	Unclear or inadequate data collection methodology Data unavailable Lack of resources, ownership or skills Poor communication	Poor performances and service quality Low staff engagement Negative image Reputational damage	WDSM	2	3	6	Monthly and Quarterly Performance Reports Performance data Issues and KPI presented during project meetings Bartec's reports	1	2	2	Operational Services Committee meetings Fortnightly project meetings and internal team meetings where feedback is provided Bartec adopted	Deadline met to present reports WDSM to present KPI Bartec's report functionalities promptly looked into			
2	Restructuring is delayed or level of resources against Business Plan is amended	Members engagement/ consultation process requires more time than expected Consultation has different output than expected	Reliance on temporary staff or further adjustment to resource levels required Inadequate level of resources to deliver service Reputational damage Overspending in the longer term	D-O HoW	3	3	9		1	3	3					
3	Round data clearance results in low quality, unreliable data which impacts service delivery	Round reconfiguration errors, inability to identify errors Failure to track rounds or rounds capacity originally not adequate Multiple Master Round spreadsheet copies used	Inability to validate level of resources required for service delivery Project timeline affected Disruption to service or inefficient service provided Customer complaints	OM	3	3	9	Data sanity checking from team and data owner identified Crews to monitor/validate round data Master Rounds' spreadsheet updated	2	3	6	Master Round spreadsheet Crews rounds copies Internal team meetings	Crews rounds copies are evaluated and used to amend Master Round spreadsheet. Only one copy of Master Round in use and kept in shared folder. Copies archived.			

		Inherent Risk						Residual Risk				Assurances	Actions			
Risk No.	Risk Description	Cause	Effect	Owner	Likelihood	Impact	Score & RAG	Key Controls	Likelihood	Impact	Score & RAG	Sources of assurance over key controls	Actions	Owner	Target Date	Action RAG
4	UPRN and LLPG out of sync or not linked affecting Bartec's adoption and ultimately customer experience	Format of current data

Timing of sync

Poor IT consultation

Late stakeholder consultation

Internet limitations | Inability to adopt Bartec or automation/integration processes compromised depending on severity of issue/ case

Changes required to current data

Overspending | ITM | 2 | 4 | 8 | IT to check opportunities to change format, harmonise format with Bartec's requirements

Understand dimensions of issue and/or occurrence (case scenarios)

Integration meetings and early stakeholders' engagement | 1 | 3 | 3 | Bartec Project Meetings

IT processes/data agreements

Automation and Integration Agreement | PID actions followed up and updated

CSM and WDSM regularly consult ITM

Documents signed | | | |
| 5 | Lack of clarity on sickness absence reporting/data entering and/or management impacts available resources and decision making | Sickness absence tracker is not a synthetic tool for data analysis or performance tracking

Inadequate skills

Lack of training or clarity on policy requirements and roles | Poor operational management decisions

Inadequate level of resources to deliver service affecting business performances

Delays or disruption to service

Overspending or over-reliance on temporary staff/ inefficiencies

Pressure on staff | WDSM OP | 2 | 4 | 8 | Create synthetic dashboard for KPI analysis and as a predictive/analytical tool for operations management

Clarify roles and sickness policy

Ensure data entering is consistent

Ensure staff training and tool ownership | 1 | 3 | 3 | Sickness Absence Dashboard

Sickness Absence Policy

Internal team meetings

Project Team meetings | Data are checked and errors addressed

Sickness Absence Policy Procedure established

Data entering procedures established | | | |
| 6 | O'Licence application not approved within expected timeline, affecting compliance | Additional time or changes requested for approval | Business operating illegally or under fines/legal challenges

Reputational loss | TM | 3 | 3 | 9 | Interim operating license requested while application is processed | 2 | 2 | 4 | Gantt Chart

Monthly Meetings with CCC

Interim operating Licence and regular updates | Gantt Chart's compliance actions monitored against timeline

Actions of Meetings with CCC monitored through fortnightly Project Meetings | | | |

							Inherent Risk						Residual Risk		Assurances	Actions				
Risk No.	Risk Description	Cause	Effect	Owner	Likelihood	Impact	Score & RAG	Key Controls	Likelihood	Impact	Score & RAG	Sources of assurance over key controls	Actions	Owner	Target Date	Action RAG
7	Bartec does not provide the expected service improvements and impacts negatively on the customer	Poor quality data provided

Systems not tested adequately

Failure to train staff, lack of hypercare | Disruption to service

Increase in complaints

Negative image | WDSM OM | 3 | 4 | 6 | Regular project meetings with supplier

Engage all staff early in the project

Compare data in both databases and run tests in the live system

Support drivers through go live period

Ensure all users have access to Collective following training sessions | 2 | 3 | 6 | Project Plan and Risk Register

Regular project group meetings

Relevant documents are updated | Project plan in folder and shared with all team members

Regular meetings booked in with project team

Testing booked in

Training sessions booked | | | |
| 8 | Recruitment failure, resulting in increased time to hire or/and insufficient resources to deliver service | Roles not adequately advertised (e.g. basin, timeline, salary..)

Inadequate expertise of applicants | Insufficient resources

Reliance on temporary staff

Increased pressure on current staff

Service disruptions | HRM HoW | 2 | 3 | 6 | Updates over recruitment process/monitoring of applications received.
Checks of positions advertised and over process of advertising (format, where..), with recruitment strategy developed.
Market analysis | 1 | 2 | 2 | Project meetings

Roles' salary benchmarked and follow up with HR | Folders of recruitment ads shared

Consultations held | | | |
| 9 | Poor street cleansing review affecting service level and quality | Street cleansing schedules not recorded, insufficient information for decision making

MoA baseline data not matching current data

Standards of service or street cleansing grading unclear | Resources inefficiently used

Poor quality of service

Lack of consistency or lack of agreement on requirements

Customer complaints, negative image of service provided | OP WDSM | 3 | 4 | 12 | Cleansing KPI sheet

Level of service required to include proposal for fleet replacement and any change to minimum staffing levels

MoA | 2 | 3 | 6 | Team meetings and development of forms. Crews' engagement and feedback.

Operational Services Committee Meeting

Projects meetings | Street cleansing activities to be recorded and analysed. To be mapped and reported to

Issues and decisions logged | | | |

		Inherent Risk							Residual Risk			Assurances	Actions			
Risk No.	Risk Description	Cause	Effect	Owner	Likelihood	Impact	Score & RAG	Key Controls	Likelihood	Impact	Score & RAG	Sources of assurance over key controls	Actions	Owner	Target Date	Action RAG
10	Increased cost of SLA	Single supplier Increased fleet Lack of maintenance diversification Lack of vehicles' KPI or follow up and/or poor transport management decisions Inadequate skills or training	Financial loss Compromised quality and effectiveness of maintenance solutions Vehicles off road and fleet service issues not addressed resulting in service disruption and increased pressure on staff/resources	TM HoW	2	4	8	SLA review and diversification of maintenance solutions/ providers On site workshop Monthly Vehicles' KPI review Transport Management Consultant to lead on proposals and review with HoW and D-O O'Licence compliance training to be arranged for relevant staff Hiring of Depot Transport Manager				Monthly SLA meetings with CCC, follow up reported to Project meetings Financial modelling of on-site solution and cost controls. Maintenance solutions review and reduced fleet numbers through hire O'Licence compliance training arranged	Transport Management Consultant writes proposals and provides updates On site fitter/s recrtuited Deadline met for training completion and staff can highlight compliance or vehicles' KPI issues			

Key to risk owners (above):

D-O   Director, Operations

HoW   Head of Waste Services

OM   Operations Manager

WDSM   Waste Development & Support Manager

TM   Transport Manager/Consultant

ITM   IT Manager

HWDSM   Head of Customer Services

HRM   Human Resources Manager

Appendix 2 - Risk Register Heat Map

Summary of Residual Scores for Corporate Risks

Impact							
Very High	5						
High	4		4, 5, 10	7, 9			
Medium	3		1, 8	2, 3, 6			
Low	2						
Negligible	1						
		1	2	3	4	5	
		Very rare	Unlikely	Possible	Likely	Very Likely	
		Likelihood					

Red scores – in excess of the Council's risk appetite. Action is needed to redress, with regular monitoring. In exceptional circumstances residual risk in excess of the risk appetite can be approved if it is agreed that it is impractical or impossible to reduce the risk level below 16. Such risks should be escalated through the management reporting line to Corporate Management Team, Resources and Finance Committee and Council.

Amber scores – likely to cause the Council some difficulties (risk score 5 to 15) – six monthly monitoring.

Green scores (risk score 1 to 4) – low risk, monitor as necessary.

Code	Title
1	Failure to report performances against Business Plan, lack of monitoring of internal performances.
2	Restructuring is delayed or level of resources against Business Plan is amended.
3	Round data clearance results in low quality, unreliable data which impacts service delivery.
4	UPRN and LLPG out of sync or not linked affecting Bartec's adoption and ultimately customer experience.
5	Lack of clarity on sickness absence reporting/data entering and/or management impacts available resources and decision making.
6	O'Licence application not approved within expected timeline, affecting compliance.
7	Bartec does not provide the expected service improvements and impacts negatively on the customer.
8	Recruitment failure, resulting in increased time to hire or/and insufficient resources to deliver service.
9	Poor street cleansing review affecting service level and quality.
10	Increased cost of SLA.