

Appendix 3 – Street Smart Risk Register

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
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	WD SM		
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									
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.	OM		

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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 IT M Documents signed	WD SM		
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	4	3	7	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	WD SM		
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	TM		

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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	WD SM		
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	Ho W		
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	WD SM, OM		

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10	Increased cost of SLA	<p>Single supplier</p> <p>Increased fleet</p> <p>Lack of maintenance diversification</p> <p>Lack of vehicles' KPI or follow up and/or poor transport management decisions</p> <p>Inadequate skills or training</p>	<p>Financial loss</p> <p>Compromised quality and effectiveness of maintenance solutions</p> <p>Vehicles off road and fleet service issues not addressed resulting in service disruption and increased pressure on staff/resources</p>	<p>TM</p> <p>HoW</p>	2	4	8	<p>SLA review and diversification of maintenance solutions/ providers</p> <p>On site workshop</p> <p>Monthly Vehicles' KPI review</p> <p>Transport Management Consultant to lead on proposals and review with HoW and D-O</p> <p>O'Licence compliance training to be arranged for relevant staff</p> <p>Hiring of Depot Transport Manager</p>				<p>Monthly SLA meetings with CCC, follow up reported to Project meetings</p> <p>Financial modelling of on-site solution and cost controls.</p> <p>Maintenance solutions review and reduced fleet numbers through hire</p> <p>O'Licence compliance training arranged</p>	<p>Transport Management Consultant writes proposals and provides updates</p> <p>On site fitter/s recruited</p> <p>Deadline met for training completion and staff can highlight compliance or vehicles' KPI issues</p>	TM		

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

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.
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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.

