

Risk Register

Completed By: Pat Cronin, Phil Ellis, Jackie Bishop, Carly Cooke, Jo Hall

Risk Ref#	Risk Statement	Inherent		nerent Risk		ected Monetary Value (EMV) hysical Works Projects Only	Risk Treatment	Residual Risk score		Contingency action(s)	Risk Owner	Monitoring/ Reporting	Monitoring timeframe	Comment
	Risk statement; "bad outcome, cause"	Likelihood	Consequence	Factor	Probability (%)	Impact (\$)	What can we do about each significant risk to either eliminate it or reduce it?	Likelihood	Factor	If the risk becomes realitywhat action(s) will we implement?	Who will take responsibility for this risk? (One person!)	Who will monitor and report on this risk?	What is the frequency for monitoring	Any other information
SW- TR001	Job satisfaction and performance development are negatively impacted due to a lack of training (capacity, funding, time constraints)	3	3	Moderate		\$ -	A training and development request has been submitted (pending). Where opportunity and budget allows, team members are encouraged to attend conferences and bring learnings to whole of team (specifically in the waste minimisation space).	2	3 Moderate		Phil Ellis	Phil Ellis	Bi-Annual PES cycle	
SW- TR002	Team wellbeing is compromised due to frustrations with inefficient process and or high volume of work	4	3	High		\$ -	Implementation of reporting on KPI's and constructing appropriate business rules to support achievement of KPI's. Working with Finance Team to implement Solid Waste budget allocation to address inefficiencies. Contract administrator and Team Administrator have been employed. (TA 18mnth) Increased contractor meetings to identify inefficiencies.	2	3 Moderate		Phil Ellis	Phil Ellis	Ad-hoc	
SW- TR003	Institutional knowledge is lost because key resources (subject matter experts) leave or become unavailable.	2	4	Moderate		\$ -		2	4 Moderate		Jackie Bishop	Phil Ellis	Ad-hoc	
SW- TR004	Business function is interrupted (unable to continue key service provision due to a lack of expertise) because key resources (subject matter experts) leave or become unavailable.	4	3	High		\$ -	In the event that key resources leave, there are 3-4 consultancy services specialising in Waste. These offer opportunity to fill gaps while appropriate permanent resources are recruited. At this stage external resources are available (within the waste industry). Impact is most likely to be in the contract management space, here resources are available and can be allocated easily.		3 Moderate		Jackie Bishop	Phil Ellis	Ad-hoc	
SW- TR005	Loss of key documents and information due to poor (or not fit for purpose) data and information management practices.	4	2	Moderate		\$ -	Improved disciples have been implemented e.g. drop box standardised file structure, critical documents in ECM. A contract administrator along with additional resource have joined the team providing greater capacity for data and document management.	3	2 Moderate		Jackie Bishop	Carly Cooke	Monthly	This requires a project to remedy. High resource requirement.
SW- TR006	Time and resource is wasted due to a lack of or inconsistent internal communications (between teams)	4	2	Moderate		\$ -	Internal stakeholder engagement planning is required. Some inconsistency re information from other teams has been identified and requires action to improve efficiency.		2 Moderate		Phil Ellis	Phil Ellis	Monthly	
SW- TR007	Uninformed decisions about service level agreements due to a lack of or inconsistent internal communications	5	4	Extreme		\$ -	Contracts and Partnering team have implemented regular meetings, reporting lines to the ELT e.g. monthly activity report to CE and GM, and reports to Council Committees e.g. Strategy & Finance and Infrastructure Committee.		4 Moderate		Jackie Bishop	Phil Ellis	Monthly & Ad-hoc	Better internal stakeholder communication is required at the forefront of community decision making. This is an ongoing problem that needs to be addressed at the appropriate level. Information needs to flow up and down to enable proactive responses.
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#	Risk Statement	Inher	ent Risk	Expected Monetary Value (EMV) Physical Works Projects Only	Risk Treatment		sidual Risk score	Contingency action(s)	Risk Owner	Monitoring/ Reporting	Monitoring timeframe	Comment
Risk Ref	Risk statement; "bad outcome, cause"	Likelihood	Factor	Probability (%) Impact (\$)	What can we do about each significant risk to either eliminate it or reduce it?	Likelihood	Consequence	If the risk becomes realitywhat action(s) will we implement?	Who will take responsibility for this risk? (One person!)	Who will monitor and report on this risk?	What is the frequency for monitoring	Any other information
SW- SR001	Fit for purpose services are not provided to communities due to sizing of services and infrastructure not meeting growth demand	4 4	High	\$ -	The solid waste review is currently underway. The review seeks to identify cost effective and fit for purpose community outcomes with a future focus. The review is due to be finalised early 2020. A requirement exists for access to consistent accurate growth forecasts and work with this team to enable planning needs to be improved. KPMG is currently performing a financial analysis on baseline cost of solid waste service. This piece of work will establish with some accuracy what Councils costs are.	2	4 Moderate		GM Service Delivery	Phil Ellis	Monthly	
SW- SR002	Solid Waste community outcomes are compromised due to a lack of cross organisational coordination (growth and budget models).	4 4	High	\$ -	Contract provision and management currently mitigates this risk however a requirement exists for access to consistent accurate growth forecasts and work with this team to enable planning needs to be improved.	3	4 High		Jackie Bishop	Jackie Bishop	Monthly	
SW- SR003	Council is exposed to significant financial impact (such as landfill costs / inappropriate contracts) caused by a lack of agility to meet anticipated legislative change. Note that the timeframes for legislative change and compliance outcomes are unknown.	3 4	High	\$ -	New contracts have stipulation that facilitates passing on government imposed levies and charges (existing contracts do not have this stipulation however they will soon expire - 2021). WDC are members of the waste management industries which provide news letters that inform industry of potential changes.	3	4 High		Phil Ellis	Phil Ellis	Ad-hoc & On-going	
SW- SR004	Council solid waste services fail to meet economic, social, environmental sustainability due to a lack of future planning.	5 4	Extreme	\$ -	The solid waste review is currently underway. The review seeks to identify cost effective and fit for purpose community outcomes with a future focus.	2	3 Moderate		GM Service Delivery	Phil Ellis	Ad-hoc & On-going	
SW- SR005	Council solid waste services fail to meet economic, social, environmental sustainability due to a lack of waste recovery infrastructure.	5 4	Extreme	\$ -	The solid waste review is currently underway. The review seeks to identify cost effective and fit for purpose community outcomes with a future focus. This risk mitigation addresses identifying the requirement however it does not mitigate the potential associated cost.	2	4 Moderate		GM Service Delivery	Phil Ellis	Ad-hoc & On-going	
SW- SR006	Council fails to provide best practice community outcomes due to the districts varied demographic, diversity and geographic situations.			\$ -	The solid waste review is currently underway. The review seeks to identify cost effective and fit for purpose community outcomes with a future focus.	2	3 Moderate		GM Service Delivery	Phil Ellis	Fortnightly	
SW- SR007	Council fails to provide best practice community outcomes due to a lack of leadership and prioritization.	3 3	Moderate	\$ -	The solid waste review is currently underway. The review engages organisational leaders, Councillors and other stakeholders ensuring high visibility of current situation and input into solid waste services options.	2	3 Moderate		GM Service Delivery	Jackie Bishop	Ad-hoc & On-going	
SW- SR008	Council fails to provide best practice community outcomes due to a lack of investment into innovation.	5 2	Moderate	\$ -	The solid waste review is currently underway. The review seeks to identify cost effective and fit for purpose community outcomes with a future focus. The review includes stipulation around partnering and innovation. Outcomes from the review will still require WDC to drive innovative approaches.	3	2 Moderate		GM Service Delivery	Jackie Bishop	Ad-hoc & On-going	
SW- SR009	Council misses opportunity to provide better community and environmental outcomes due to a lack of business process associated with contract design and management.	5 2	Moderate	\$ -	A contract administration role has been implemented. The position monitors and tracks contract requirements. Monthly contract meetings are conducted to ensure contractors are effectively delivering contracted services. All existing contracts are due for renewal in 2021. This provides opportunity to deliver new, consistent contract requirements.		2 Low		Phil Ellis	Monthly	Ad-hoc & On-going	Consideration being given to developing a single page contract reporting template.
SW- SR010	Council misses opportunity to provide better community and environmental outcomes due to a lack of budget clarity (separation from Waters).		Moderate	\$ -		4	2 Moderate					
SW- SR011	Council fails to maintain current levels of service due to business restructure eliminating ability to subsidize budget from Waters.	2 2		\$ -		2	2 Low					
	Council cannot meet objectives for community outcomes through the solid waste review (in line with Liveable, Thriving, Connected Communities) due to a lack of community buy in.		8		As part of the Solid Waste Review public engagement and consultation are proposed to be included in the process (sign-off from council required).	2	2 Low		Solid Waste Review Steering Group	Phil Ellis	Fortnightly	
SW-	Council cannot meet objectives for community outcomes through the solid waste review (in line with Liveable, Thriving, Connected Communities) due to a lack of Councillor buy in.	4 3	High		Elected member workshops are also part of the review to ensure they have full visibility. New Councillor induction.	3	3 Moderate		Solid Waste Review Steering Group	Phil Ellis	Fortnightly	
SW- SR014	Council cannot meet objectives for community outcomes through the solid waste review (in line with Liveable, Thriving, Connected Communities) due to a lack of Executive buy in.	2 3	Moderate		ELT are invited to internal stakeholder workshops. Expectation is that engagement with the Solid Waste Review and other Solid Waste outcomes are represented by the Service Delivery GM to the wider ELT.	ı	3 Low		GM Service Delivery	GM Service Delivery	Ad-hoc	



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	Risk statement; "bad outcome, cause"	Likelihood	Factor	Probability (%)	Impact (\$)	ЕМУ	What can we do about each significant risk to either eliminate it or reduce it?	Likelihood	Factor	If the risk becomes realitywhat action(s) will we implement?	Who will take responsibility for this risk? (One person!)	Who will monitor and report on this risk?	What is the frequency for monitoring	Any other information
SW- SR015	Council cannot meet objectives for community outcomes (in line with Liveable, Thriving, Connected Communities) due to timeframe constraints associated with the Solid Waste Review.	4 4	High			\$ -	Pending - engagement plan (TBA)	4 4	High		lan Cathcart	lan Cathcart	TBA	Considerable time pressure exists in this space. The review is currently progressing however engagement is behind. This engagement is considered highly necessary to enable appropriate outcomes.
SW-	Council fails to provide/maintain solid waste services due to a lack of business continuity planning e.g. emergency management plans / contract contingency planning / future and growth planning / prioritization of critical services./ planning for up and coming changes	5 5	Extreme			\$ -		5 5	Extreme		Jackie Bishop	Phil Ellis	Annual	
SW- SR017	Community outcomes are not met due to the service review failing to identify a cost effective (plausible) solid waste service option.	1 1	Low			\$ -	A number of options have been identified through the review at this point (30/09/2019). Financial analysis is demonstrating a number of realistic options	. 1	Low		GM Service Delivery	GM Service Delivery	Ad-Hoc & Ongoing	
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Risk Ref	Risk statement; "bad outcome, cause"	Likelihood	Factor	Probability (%)	Impact (\$)	EMV	What can we do about each significant risk to either eliminate it or reduce it?	Likelihood	Factor	If the risk becomes realitywhat action(s) will we implement?	Who will take responsibility for this risk? (One person!)	Who will monitor and report on this risk?	What is the frequency for monitoring	Any other information
SW- OR001	Uninformed decisions about business and community outcomes due to inadequate information caused by poor (or not fit for purpose) data and information management practices. (inconsistent information collection, no detailed knowledge, individual contract - lack of consistently).	3 3	Moderate			\$ -	Morrison Low are facilitating the solid waste review. They have high level of experience in the industry which assists to inform the review process. Reviewed contracts (2021) will include more detailed stipulations re data requirements. Insuring all relevant information which impact solid waste is identified, discussed and mapped - link to WMMP 2018-2024, connect to wider council vision	3	3 Modera	ce	lan Cathcart	Phil Ellis	monthly & on-going	Implementation of a bylaw would help to mitigate this risk by improving data quality and consistency of data provision and management practices.
SW- OR002	Uninformed decisions about business and community outcomes (reactive rather than proactive) due to high volume of work	2 3	Moderate			\$ -	ensuring that the team collaborate with business and community to facilitate good waste outcomes that are also aligned with our Council vision. Forward planning and realistic time frames to ensure achievement	2	3 Modera	te e	Jackie Bishop	Phil Ellis	monthly & on-going	
SW- OR003	Solid waste services do not provide appropriate community outcomes due to poor contractor performance caused by a lack of appropriate contract management. Note this is likely due to; maturity / confidence / prioritization (due to Solid Waste previously being a subset of Waters)	4 3	High			\$ -	Improved contract design through solid waste review ensures contract specifications are adequate. Consultation services are available in the event of decreased resource capacity.	4	3 High		Phil Ellis	Phil Ellis	monthly	
SW- OR004	Solid waste services lose customer trust and confidence due to poor contractor performance	3 3	Moderate			\$ -	Improved contract design through solid waste review ensures contract specifications are adequate. Contractor management will assist better outcomes Contract review will be undertaken as part of the solid waste review.	2	2 Low		Phil Ellis	Phil Ellis	ongoing	
SW- OR005	Solid waste services do not provide appropriate community outcomes due to a lack of effective engagement. Note this is likely due to; inappropriate management of community expectations / prioritization (due to Solid Waste previously being a subset of Waters) / lack of planning / not fit for purpose tactics	3 3	Moderate			\$ -	The solid waste review is underway. Best practice community engagement planning is being provided by the Project Team. Elected member workshops are also part of this plan to ensure visibility.	2	2 Low		lan Cathcart	Phil Ellis	ongoing	
SW- OR006	WDC fails to maintain current levels of service due to insufficient budget allocation. Note budget allocation may be impacted by; commercial enterprise (revenue) / user pays model / economic changes/market changes/internal decisions	I 4	Low			\$ -	Undertake a midterm financial review of contracts. Maintain close oversight of expenditure.	1	4 Low		Jackie Bishop	Phil Ellis	Ad-hoc	Accurate waste data is currently very hard to come by (nation wide). Waste licencing is due to be introduced in NZ which is expect to deliver better data access.
SW- OR007	WDC fails to meet growth demand due to insufficient budget allocation. Note budget allocation may be impacted by; commercial enterprise (revenue) / user pays model / economic changes/ poor internal planning	I 4	Low			\$ -	Undertake a midterm financial review of contracts. Maintain close oversight of expenditure. Through the next contracting period (2021) a more integrated approach to budget allocation and operational expenditure will be applied.	1	4 Low		Jackie Bishop	Phil Ellis	ongoing	Improved internal communication would assist to mitigate this risk. This will be worked towards a BAU process.
SW- OR008	Note increased costs may result - illegal dumping / dissatisfaction / lack of customer trust and confidence.	4 4	J			\$ -	This risk may be mitigated through pending solid waste review outcomes	3	4 High		Phil Ellis	Phil Ellis	Annual & Ad-hoc	
SW- OR009	11.	3 3	Moderate			\$ -	At this stage the options within the solid waste review have been tested in other districts.	1	I Low		Jackie Bishop	Phil Ellis	Bi-Annual	is it best practice to use other areas as good examples
SW- OR010	WDC is exposed to significant business disruption caused by contractors being subject to excessive financial pressure due to the major changes in the international recycling markets	5 5	Extreme			\$ -		5 5	Extrem	e	lan Cathcart	Phil Ellis	Bi-Annual	
SW- OR011	WDC finds it difficult to negotiate appropriate contracts to support waste minimisation goals due to changes in recycling market and lack of appropriate infrastructure	3 5	High			\$ - \$ -		3	5 High		Ian Cathcart	Phil Ellis	Annual (by 2021)	
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