

## **BARNSELEY, DONCASTER AND ROTHERHAM JOINT WASTE BOARD**

**Venue:** Town Hall, Moorgate  
Street, Rotherham S60  
2TH

**Date:** Monday, 4th December, 2017

**Time:** 9.15 a.m.

### **A G E N D A**

1. To determine if the following matters are to be considered under the categories suggested in accordance with the Local Government Act 1972.
2. To determine any item which the Chairman is of the opinion should be considered as a matter of urgency.
3. Apologies for absence
4. Declarations of Interest
5. Minutes of the previous meeting held on 13th October, 2017 (Pages 1 - 3)
6. Matters Arising  
To discuss matters arising from the previous minutes, which are not included elsewhere on the agenda.
7. BDR Joint Waste Project - Manager's Report (Pages 4 - 10)
  - Governance
  - Contract Delivery
  - Legal
  - Financial
  - Communications
  - Health and Safety
  - Resources
  - Other
8. Current Issues
9. Risk Register (Pages 11 - 17)
10. Date, time and venue for the next meeting

: if necessary, a meeting shall be held during March, 2018, on a date to be arranged.

: the annual meeting is to be held on a date to be arranged during June or July, 2018.

Venue : Town Hall, Rotherham.

**BARNSELEY, DONCASTER AND ROTHERHAM JOINT WASTE BOARD**  
**Friday, 13th October, 2017**

Present:- Councillor S. Allen (Rotherham MBC – in the Chair) and Councillor P. R. Miller (Barnsley MBC), together with Mrs. L. Baxter, Mrs. K. Hanson and Mrs. R. Fleetwood (Rotherham MBC), Mr. P. Castle (Barnsley MBC) and Mr. L. Garrett (Doncaster MBC).

Apologies for absence were received from Councillor E. Hoddinott (Rotherham MBC), Councillor C. McGuinness (Doncaster MBC), Councillor B. Lodge (Sheffield City Council), Mrs. G. Gillies (Doncaster MBC), Mr. D. Wilson (Rotherham MBC) and from Mrs. G. Charters (Sheffield City Council).

**11. DECLARATIONS OF INTEREST**

There were no Declarations of Interest made at this meeting.

**12.. MINUTES OF THE PREVIOUS MEETING HELD ON 30TH JUNE 2017**

Consideration was given to the minutes of the previous meeting of the Barnsley, Doncaster and Rotherham Joint Waste Board, held on 30th June, 2017.

Agreed:- That the minutes of the previous meeting of the BDR Joint Waste Board be approved as a correct record for signature by the Chairman.

**13. CURRENT ISSUES**

The Barnsley, Doncaster and Rotherham Joint Waste Board noted the following issues:-

(1) the Waste Electrical and Electronic Equipment (WEEE) Re-use scheme

The Barnsley, Doncaster and Rotherham Joint Waste Manager reported that all fourteen centres had been operating this scheme since January, 2017. Items to be re-used included televisions and other small electrical appliances and general household items, as well as items of sporting equipment such as golf clubs. There had been 25 tonnes of items recycled in the period January to June 2017 and 78 tonnes in the period April to September 2017. The scheme was proving to be popular with the general public, including the public sales that occur on a fortnightly basis at the FCC Environment waste recycling site in Conisborough, Doncaster. The money raised from such sales funds the scheme and assists local groups.

(2) Contract Issues

Members were informed that the contract is performing well (eg: 17.4% recycling rates in September 2017). The Liaison Committee had held a recent meeting on 9 October 2017.

**14. RISK REGISTER**

The Barnsley, Doncaster and Rotherham Joint Waste Board considered the updated Waste PFI risk status report (risk register) which had been maintained during the various stages of the joint waste project. The report stated that thirteen risks are registered, with none to be added nor deleted since the last Joint Waste Board meeting held on 30th June, 2017.

Members discussed Risk 14 (Insurance for the BDR Waste Treatment Plant) and noted the expansion of the commercial market for this type of insurance, as well as the work of the contractor to upgrade the fire protection systems within this site.

Agreed:- That the updated information on the risk status report, as now submitted, be received.

**15. BDR JOINT WASTE PROJECT - MANAGER'S REPORT**

The Barnsley, Doncaster and Rotherham Joint Waste Manager submitted a report which highlighted and updated the following issues relating to the Joint Waste Private Finance Initiative (PFI), for the period April to August 2017:-

- The Shanks Group is rebranding as “Renewi” as a consequence of the completion of the merger with the Dutch company Van Gansewinkel;
- Table of recycling tonnes processed (April to August 2017);
- Increase in the number of complaints about flies at the Bolton Road facility (eight complaints in 2015/16 and eighteen in 2016/17); residents continue to be encouraged to wrap food waste in plastic; a draft revised Fly Management Plan has been submitted to the Environment Agency;
- Fire protection systems being upgraded at the Bolton Road facility;
- Issues affecting the Bolton Road facility and the transfer station at Grange Lane, Barnsley;
- Complaints;
- Health and Safety;
- Finance – the Operational Management Budget Summary 2017/18;
- Communications;
- Waste Compositional Analysis continues;
- Resources and staffing;
- Details of the Love Food Hate Waste campaign held over eight weeks during the Summer 2017; an analysis will take place to ascertain whether food waste is reducing as a consequence of this campaign.

Agreed:- That the BDR Manager's report be received and its contents noted.

**16. DATE, TIME AND VENUE FOR THE NEXT MEETING**

Agreed:- (1) That the Barnsley, Doncaster and Rotherham Joint Waste Board shall continue to hold its meetings at intervals of three months, at the Town Hall, Rotherham, on Mondays commencing at 10.00 a.m. and invitations be extended to the representatives of Sheffield City Council to attend these meetings.

(2) That the next meeting of the Barnsley, Doncaster and Rotherham Joint Waste Board be held on a Monday (date to be arranged) during December, 2017 at the Town Hall, Rotherham, commencing at 10.00 a.m.

(3) That a further meeting be held during March, 2018 and the annual meeting be held during June, 2018.

**BDR WASTE PFI**  
**BDR MANAGER UPDATE REPORT**  
**SEPTEMBER 2017 – OCTOBER 2017**

**1.0 Governance**

**1.1 Liaison Committee Meeting**

- 1.1.1 The annual Liaison Committee meeting took place on the 11<sup>th</sup> October 2017 and at this meeting, the Contractors performance to date was reviewed and targets set for 2018/19.

**1.2 South Yorkshire Leaders Meeting**

- 1.2.1 The BDR Manager attended the South Yorkshire Leaders Meeting and presented the Annual Report and the South Yorkshire Waste Strategy.

**1.3 RMBC Update**

- 1.3.1 Following the departure of Karen Hanson, Assistant Director of Regeneration and Environment in Rotherham Borough Council, Ajman Ali, has been appointed on an interim basis until a permanent replacement is found.

**2.0 Contract Performance**

**2.1 Recycling and Diversion**

- 2.1.1 Table 1 contains the information about the number of tonnes processed and the contract performance for 2016/17 and from 1<sup>st</sup> April 2017 to the 31<sup>st</sup> of October 2017. The Contractor is on target to achieve 12.5% recycling performance by the end of the financial year; thus avoiding any termination triggers. A recycling deduction is applied at the end of the year for every tonne of waste not recycled below the 19% target.

**Table 1 – Year to date tonnes Processed 1<sup>st</sup> April 2017 to 31 October 2017**

	Type	Tonnes 2016/17	Percentage 2016/17	Tonnes 01 April 2017 to 31-Oct-17	Percentage 01 April 2017 to 31-Oct-17	Target (contract estimate)
Total Waste delivered	Total Waste to MT	239,004.88	95.60% of 250,000 capacity	137,191.13	94% of 250,000 capacity	100%
	Third Party Waste	14,417.80	6.03%	7,568.36	6.78%	
	Contract waste only	224,587.08	93.97%	129,622.77	94.4%	
	Household Waste	201,946.77	84.49%	116,500.76	84.91%	
Landfill	Total	8,407.22	3.50%	6,931.66	5.35%	5%
Recovery	Total	213,310.78	63.62%	124,718.85	96.22%	n/a
Recycling	Ferrous	2,163.30	1.06%	1,479.20	1.27%	
	Non-ferrous	261.3	0.13%	196.6	0.17%	
	Fines	9,101.75	4.34%	6,834.51	5.87%	
	Glass and Stone	3,223.59	1.56%	2,621.97	2.25%	
	Plastic	6,395.26	3.19%	3,914.85	3.36%	
Recycling other	Metals in bottom ash	2,162.30	1.33%	1,263.99	1.08%	
	AWM recycling	2,623.56	0.91%	241.89	0.21%	
	Fines CLO Uplift			1279.80	1.10%	
	<b>Total</b>	<b>25,931.06</b>	<b>12.84%</b>	<b>17,832.81</b>	<b>15.31%</b>	<b>19.00%</b>
Moisture Loss	Moisture Loss	62,375.88	30.76%	38,696.35	29.54%	

2.1.2 N.B. above figures are unaudited and subject to change. Recycling percentage is calculated from household waste streams only (not commercial waste). Landfill diversion is calculated by total waste diverted from landfill divided by the total waste delivered.

2.1.3 The landfill diversion target for the contract is 95% to date 5.35% has been landfilled. The increase in landfill was due in part to efficiency issues in Household Waste Recycling Centre material sorting in May, June and July. This has now been addressed and the average monthly figure for material to landfill in August, September and October was 3.62%

## 2.2 Complaints

### 2.2.1 Flies

2.2.1.1 Fly complaints have reduced during September and October 2017, with weekly fly data trending downwards, fly treatments continue but the frequency has been reduced. The new larvicide installation is well underway with the footings and cabin installed and the final stage of the electrical installation is planned to be completed by early December 2017.

### 2.2.2 Odour

2.2.2.1 A small number of odour complaints had been received during October 2017 from local residents. The CELO visited one of the complainants to discuss the issues raised and contact between Renewi and the residents is ongoing.

## 2.3 Health and Safety

**Table 2 - Compliance from April 2017 to October 2017**

2017	Close Call	Accident less than 3 days	Accident more than 3 days	Non RIDDOR dangerous occurrence	RIDDOR dangerous occurrence	RIDDOR more than 7 day injury	Major RIDDOR	Environmental
April	33	0	0	2	0	0	0	0
May	44	1	0	2	0	0	0	1
June	63	0	0	3	0	0	0	1
July	29	2	0	2	0	0	0	0
August	34	0	0	4	0	0	0	0
Sep	20	4	0	6	0	0	0	0
Oct	44	3	0	6	0	0	0	1
YTD Total	311	10	0	25	0	0	0	3

2.3.1 Please note: close calls are not incidents; they are where staff have made an observation of something that has the potential to cause an accident. Reporting close calls allows action to be taken before an accident occurs and is a positive indicator of the efforts being made to improve health and safety.

### 2.3.2 Fire Protection Improvements

2.3.2.1 3SE have provided more information on the detailed design and the program of works this has been reviewed by Amec and some questions have been raised that will need to be addressed during the approval process.

2.3.2.2 A number of work packages will be involved in the fire improvement works including potential changes to the planning and permit. A new fire prevention plan will also need to be submitted to the EA this will address where the fire water will run off to etc.



2.3.2.3 The Contractor has suggested that these works will not now commence until July 2018, the program is to be subject to due diligence by the technical consultants.

### **3.0 Grange Lane**

3.1 Dilapidation work at Barnsley Transfer station highlighted further work necessary to replace the roof. A separate work package is to be considered for this.

## **4.0 Communications**

### **4.1 Community Education Liaison Officer Update**

4.1.1 The CELO has provided information to those who signed up to the Love Food Hate Waste pledges and multiple social media posts and tweets have been sent, including tips, recipes and storage advice.

4.1.2 The CELO has also been assisting RMBC with their social media campaign to improve recycling through targeted communications and bin stickers.

4.1.3 A communications team meeting was held to develop a campaign plan, resources and materials to inform residents across Barnsley, Doncaster and Rotherham of changes to their collections over Christmas. All materials will be developed and approved ready for use by 1 December 2017.

4.1.4 The CELO has been assisting RMBC in producing the information for their service change consultation.

## **5.0 Waste Compositional Analysis**

5.1 Phase 1 of the 2017/18 Waste Compositional Analysis ran from 18 September to the 14 October 2017 and the results are being compiled, Phase 2 will be undertaken around March 2018.

## **6.0 Legal**

### **6.1 Insurance**

6.1.1 Dispute resolution was triggered on the 14th November and the adjudicator should make a decision by the 2nd January 2018.

### **6.2. Monthly Update for Legal**

6.2.1 The BDR Legal Locum has a monthly conference call with the Legal Officers across the BDR local authorities to update them on all matters, he is dealing with.

## 7.0 Financial

### 7.1 Operational Management Budget

**Table 3 BDR PFI Budget Summary 2017-2018**

	Data			
<b>Contract Manager detail</b>	<b>Sum of Spend to date</b>	<b>Sum of Total Forecast 2017/18</b>	<b>Sum of Budget 2017-18</b>	<b>Sum of Variance 2017/18</b>
Administration	5258	23304	22667	637
Call off Finance	0	2120	1120	1000
Call off Legal	34623	61040	66897	-5857
Call off Technical	0	0	0	0
Contingency Advisor Costs	0	0	10000	-10000
External Finance	15432	26932	30000	-3068
External Legal	36897	56897	50000	6897
External Technical	9078	18468	30000	-11532
HWRC Project	2000	2000	10000	-8000
Management	75368	134210	135861	-1651
<b>Grand Total</b>	<b>178656</b>	<b>324971</b>	<b>356545</b>	<b>-31574</b>

7.1.1 The operational management budget includes various projects that are underway including the Household Waste Recycling Contract procurement, the due diligence necessary on Contractor changes and the fire improvement works.

The budget excludes exceptional costs for any disputes that may arise during the contract year. Where costs like this arise, the Contract team will mitigate as far as possible.

## 8.0 Resources

### 8.1 Training

8.1.1 The BDR Project Administrator has secured free apprenticeship funding for an NVQ Level 4 – Business Administration and has recently passed her English Level 2 Reading and Writing exams, she has 18 months to complete the course and is progressing well.

### 8.2 Staffing

8.2.1 Following the departure of the BDR Compliance Officer, a career graded post is being drafted and once agreed the post will be advertised.

## 9.0 Glossary of Terms

Term	Definition
<b>3SE</b>	The name for the partnership between Shanks Group plc and Scottish & Southern Energy plc.
<b>Amec Foster Wheeler plc (Amec)</b>	Is a British multinational consultancy, engineering and project management company
<b>Community Education Liaison Officer (CELO)</b>	Works on behalf of the Barnsley, Doncaster and Rotherham Waste Partnership to deliver educational visits at schools and tours of the BDR PFI Waste Facility around recycling.
<b>Compost Like Output (CLO)</b>	The material produced after anaerobic digestion of the organic fines removed in the MBT process. This material is used on land remediation and restoration projects.
<b>Department for Environment, Food &amp; Rural Affairs (DEFRA)</b>	The UK government department responsible for safeguarding our natural environment, supporting our world-leading food and farming industry, and sustaining a thriving rural economy. Our broad remit means we play a major role in people's day-to-day life, from the food we eat, and the air we breathe, to the water we drink.
<b>Environment Agency (EA)</b>	An executive non-departmental public Body responsible to the Secretary of State for Environment, Food and Rural Affairs for issues affecting the environment.
<b>Household Recycling Waste Centres (HWRC)</b>	Local Authorities provide these sites to residents with an alternative to kerbside collections for the responsible disposal, recycling or re-use of their household waste, particularly for items that are not collected or are costly to collect at the kerbside.
<b>Incinerator Bottom Ash (IBA)</b>	Is a form of ash produced in incineration facilities

Term	Definition
<b>Mechanical Biological Treatment (MBT)</b>	A type of waste processing facility that combines a sorting facility with a form of biological treatment such as composting or anaerobic digestion.
<b>Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR)</b>	RIDDOR which puts duties on employers, the self-employed and people in control of work premises (the Responsible Person) to report certain serious workplace accidents, occupational diseases and specified dangerous occurrences (near misses).
<b>Solid Recovered Fuel (SRF)</b>	A fuel produced by shredding and dehydrating solid waste (MSW) with a waste converter technology

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**Summary Sheet****Council Report:**

Barnsley, Doncaster and Rotherham Joint Waste Board

**Title:**

BDR Risk Register

**Is this a Key Decision and has it been included on the Forward Plan?:** No

**Strategic Director Approving Submission of the Report:**

BDR Steering Committee

**Report Author(s):**

*Lisbeth Baxter*

**Ward(s) Affected:** None

**Executive Summary:**

This document presents the risks associated with the delivery of the BDR PFI Waste Facility contractual obligations now the facility is operational. The risks identified in the risk register are considered by the BDR Steering Committee every six weeks.

**Recommendation:**

**BDR Joint Waste Board is asked to consider and note the attached updated Risk Register, and**

**After consideration, advise of any further risks to be added to or deleted from the risk register.**

**List of Appendices Included:**

BDR Risk Register (appendix 1)

**Background Papers:**

BDR Risk Register Scoring Guide

**Consideration by any other Council Committee, Scrutiny or Advisory Panel:**

The register has previously been considered by the BDR Steering Committee and the BDR Joint Waste Team.

**Council Approval Required:** No

**Exempt from the Press and Public:** No.

**Title:**

BDR Risk Register

**1. Recommendations**

- BDR Joint Waste Board is asked to consider and note the attached updated Risk Register, and
- After consideration, advise of any further risks to be added to or deleted from the risk register

**2. Background**

- 2.1 The BDR Joint Waste Board last considered the risk register at its meeting on 13<sup>th</sup> October 2017.
- 2.2 There are 3 categories of risk Red, Amber, Green (RAG) representing varying degrees of exposure. Each category contains a range of risk scores and the table below shows how the RAG rating and score are derived.

LIKELIHOOD (A)	Almost Certain 5	5	10	15	20	25
	Probable / Likely 4	4	8	12	16	20
	Possible 3	3	6	9	12	15
	Unlikely 2	2	4	6	8	10
	Very unlikely / Rare 1	1	2	3	4	5
		Insignificant / Negligible 1	Minor 2	Moderate 3	Major 4	Critical/ Catastrophic
	IMPACT (B)					

### 3. Key Issues and Risks

- 3.1 There are no new risks proposed for inclusion on the register. There are thirteen risks on the risk register
- 3.2 There are currently no risks proposed for deletion in the register.
- 3.4 The risk areas under each of these headings are as in appendix 1 with their respective current and target RAG rating:
- 3.5 Previous reports have highlighted to BDR Joint Waste Board that there has been very little movement in current risk scores for risks in the period since the facility became operational.

Current RAG Rating	19/01/17	09/03/17	30/6/17	29/09/17	23/11/17
Red	3	2	3	3	3
Amber	5	6	6	7	7
Green	5	5	5	4	4
Total	13	13	14	13	13

- 3.6 There have been no movements in risk since the risk register was considered in October
- 3.9 Risk 7 Insurance risks increase remains one of the highest risks. This is due to the hardening of the market and the requirement by the 3SE insurers for more mitigation equipment.

Target RAG Rating	19/01/17	09/03/17	30/6/17	29/09/17	23/11/17
Red	0	0	0	0	0
Amber	6	6	7	6	6
Green	7	7	7	7	7
Total	13	13	14	13	13

#### Monitoring

- 3.10 The BDR Risk Register is reviewed six-weekly by the BDR Steering Committee. Additionally, the BDR Manager reports to the Joint Waste Team and draws attention to issues to allow internal challenge.

4. **Options considered and recommended proposal** 4.1 Not applicable.
5. **Consultation**
  - 5.1 The BDR Steering Committee has reviewed and agreed the attached register.
6. **Timetable and Accountability for Implementing this Decision**
  - 6.1 Not applicable.
7. **Financial and Procurement Implications**
  - 7.1 The risks contained in the register require ongoing management action. In some cases additional resources may be necessary to implement the relevant actions or mitigate risks. Any additional costs associated with the risks are reported to the BDR Steering Committee for consideration.
8. **Legal Implications**
  - 8.1 There are no direct legal implications arising from the risk register. Any actions taken by the BDR Manager in response to risks identified will take into account any specific legal implications.
9. **Human Resources Implications**
  - 9.1 There are no Human Resources implications associated with the proposals.
10. **Implications for Children and Young People and Vulnerable Adults**
  - 10.1 Not applicable
11. **Equalities and Human Rights Implications**
  - 11.1 Proposals for addressing individual risks within the register incorporate equalities and human rights considerations where appropriate.
12. **Implications for Partners and Other Directorates**
  - 12.1 The actions relating to any issues affecting partners are reflected in the risk register and accompanying risk mitigation action plans.
13. **Risks and Mitigation**
  - 13.1 The BDR Manager will review and update the risk register on a six-weekly basis, to ensure risks are able to be effectively monitored and managed.

**14. Accountable Officer(s):**

Lisbeth Baxter BDR Manager

**Approvals Obtained from:-**

**Strategic Director of Finance and Corporate Services: Not applicable**



**Director of Legal Services: Not applicable**

**Head of Procurement (if appropriate): Not Applicable**

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Risk Number	Risk	Consequence /effect: - What would actually happen as a result? How much of a problem would it be? To whom and why?	Existing actions/controls - What are you doing to manage this now?	Risk Score with existing measures (See scoring table)		Current Score	Further management actions/controls required - What would you like to do in addition to your controls?	Target Score with further management actions/controls required (See Scoring Table)		Target Score	Risk Owner (Officer responsible for managing risk and controls)	Risk Review Date	Movement
				I	L			I	L				
7	Obtaining difficult terms for Insurance is difficult due to market conditions - <b>Insurance costs increase</b>	There is a lack of Markets for Insuring waste plants	Robust fire strategy, latest technology for fire suppression . Fire plan signed off by insurers BDR Technical advisors and Independent Certifier. Regular fire drills. Contractor liaison and education of insurance markets. Contractual position on insurance	3	5	15	Consider reviewing the insurance requirements. Enforcement of Contractual positions	2	5	10	BDR MANAGER	21/11/17	↔
14	Insurance for the BDR Waste Treatment Plant is not available	The Councils would become the insurer of last resort. The Contractor would have to approach the market every 4 months to attempt to obtain insurance/ Contract would be terminated	Contractor in liaison with Insurerer is progressing upgrade of the Fire Protection systems. Insurance broker is working with Insurance market to build confidence	5	3	15	Robust case against Uninsureability. Ensure Contractor Completes the fire improvement works	5	2	10	BDR MANAGER	21/11/17	↔
11	Failure of plant equipment results in withdrawal of credits ( <b>Review of WICS</b> )	Reputational damage and adverse publicity emanating from poor performance of state of the art facility. Potential for Local/National interest. Budget impact	Regular contract meetings/Monitoring and review procedures/Contingency facilities in place/Performance deduction , Step in provisions exist. It is likely that the Funders would step in an appoint another Contractor if performance is poor. Alternately the Councils could step in until the Contract could be retenderd	5	3	15	Ensure monitoring staff are sufficiently skilled to manage this situation. Liaison with other PFI Contract Managers, knowledge transfer close liaison with DEFRA. Contractor has improved the refinement and is introducing further measures to ensure plant performance continues to improve	5	1	5	BDR MANAGER	21/11/17	↔
10	Environmental Impact to Local Area from Noise/Odour/Flies/Vermin etc ( <b>Compliance</b> )	Reputational damage and adverse publicity from pollution emanating from State of the Art Facility. Potential for Local/National interest	Contractual controls and performance measures. Monitoring the contract. Pro-ative engagement with the local community . Sharing data Regular monitoring outside the perimeter of the plant	3	4	12	Further plant investment in Acoustic measures. Increased fly spraying during the fly season. Communicate to householders to wrap waste.	3	3	9	BDR MANAGER	21/11/17	↔
9	Changes in Government Law/Regulations including the UK exiting the European Union ( <b>Legislative Change</b> )	Potential financial implications to cover the cost of required service change	Procedure incorporated in the Contract Conditions. Impact and actions to be jointly agreed with the Contractor to mitigate costs as far as possible. Application of the Change in Law Clauses within the contract	3	4	12	Consider the need for the Change in Law retention fund.	3	4	12	BDR MANAGER	21/11/17	↔
8	Changes to Collection services to support budget savings that impact on the PFI Contract - <b>waste volumes change</b>	Potential to impact on the performance of the plant. Potential to impact on the Third Party Revenue Share due to the Councils.Implications on PFI Credits. Implications on Inter Authority Agreement.	Inter Authority Agreement measures. Significant collection change clause in the PFI Contract. Current WIDP/DEFRA position in terms of Credit Allocation position requires BDR to abide by the terms and conditions in the Promissary letter and the Final Business Case.	3	4	12	Dialogue with WIDP/DEFRA and between BDR Councils. Test potential impacts to the contract/Councils against the IAA2. Lobby Government on recycling definitions.	3	3	9	BDR MANAGER	21/11/17	↔
13	Closure of facility or inability to provide the service due to a force majeure event (major incident at ITSAD Facility)	Service disruption. Temporary full or partial closure of facilities.	Contractual conditions provide a shared responsibility to agree measures to mitigate the effects and facilitate the continuation of the service. There are contingencies within the contract to divert waste to other waste facilities	4	3	12	Undertake a Communications campaign. Use contingency sites/ other Contracts where possible e.g. Veolia Landfill. Use emergency procurement if absolutely necessary.	3	3	9	BDR MANAGER	21/11/17	↔
12	Lack of resources due to restructures, and staff resignations failure to have a knowledge management plan ( <b>Business Continuity - BDR</b> )	Failure to monitor the contract effectively/make payments resulting in Breach	Contract manual to document the processes and procedures. To be maintained and updated when changes occur. Contract information held on CIPFA site and on a Sharepoint portal. Staff training and development. Knowledge management plan.	3	3	9	Staff retention could be improved if a clear career path existed. CIPFA Asset Management system to hold all relevant documentation.	2	3	6	BDR MANAGER	21/11/17	↔
6	Serious injury/death of a member of staff or public through service operation ( <b>MAJOR INCIDENT AT ITS/AD</b> )	Personal tragedy. Health and Safety Executive intervention. Possible service disruption. Possible corporate liability offence	Contractor has completed and regularly reviews full Risk Assessments. Staff training, H&S Inspections, Contract Monitoring and performance deductions for non compliance. External Audit has been undertaken by Consultants and RMBC Health and Safety Team Regular monitoring of the Contractual requirements in relation to Health and Safety Consistent application of the Payment Mechanism	3	3	9	Regular visits by Health and Safety officers. Quarterly Health and Safety meetings.	3	2	6	BDR MANAGER	21/11/17	↔
2	Contractor default needing emergency action and/or leading to contract termination.	Service disruption. Temporary full or partial closure of facilities.	A series of performance bond and Parent Company Guarentees exist to provide and/or pay for interm/alternative arrangements to be made. Funders would work with BDR to bring in a new contractor to deliver the service. Contingency arrangements may be implemented in the short term. Robust contract monitoring procedures	4	2	8	Ensure monitoring staff are sufficiently skilled to manage this situation. Liaison with other PFI Contract Managers, knowledge transfer	3	2	6	BDR MANAGER	21/11/17	↔
1	There is a risk that the contractor will not comply with the terms and conditions and the performance will be less than the Councils are paying for.	Service disruption. Temporary full or partial closure of facilities.	Regular contract meetings/Monitoring and review procedures/Emergency plan/Contingency facilities in place/Performance deduction , Step in provisions exist. It is likely that the Funders would step in an appoint another Contractor if performance is poor. Alternately the Councils could step in until the Contract could be retenderd	2	4	8	Ensure succession planning is adequate. Invest in training for the current team Project Management and COTC.	2	3	6	BDR MANAGER	21/11/17	↔

4	Fraud	Contractor could attempt to charge for more than they are entitled to/Client team could collude with Contractor	Process for checking Tickets from each Council is in place. Financial and Legal Officers form part of team. Information shared across all 3 Councils Direct debit mandate is in place for Barnsley and Doncaster to pay Rotherham. All deductions are accounted for in line with the IAA3. Guaranteed minimum tonnage requirement for the Councils. Regular reports to Steering Group/Joint Waste Board. Systems in place to pay the Contractor Internal and External Audits undertaken	3	2	6	Make an agenda item at meetings	2	2	4	BDR MANAGER	21/11/17	
5	Ensure the balance of risk between Contractor and BDR is maintained.	Councils could take more risk than anticipated	Change protocol in place, consideration needs to be given to level of risk as changes are negotiated.	3	2	6	Councils may consider taking on more risk as long (as this is properly assessed) to deliver savings. Currently being investigated as part of the Operational Savings review	2	2	4	BDR MANAGER	21/11/17	

Consequence /effect: - <i>What would actually happen as a result? How much of a problem would it be? To whom and why?</i>	Existing actions/controls - <i>What are you doing to manage this now?</i>	Risk Score with existing measures (See scoring table)		Current Score	Further management actions/controls required - <i>What would you like to do in addition to your controls?</i>	Target Score with further management actions/controls required (See Scoring Table)		Target Score	Risk Owner (Officer responsible for managing risk and controls)	Risk Review Date	Movement
		I	L			I	L				