

## Environmental Services: NWRWTP

### Risk and Issues Register

*A list of the threats to the success of the project and the action being taken to address these.*

**This document is only valid on the day it was produced and dated**

#### Revisions etc.,

Revision Date	Version	Summary of Changes	Distributed
			Y/N
17.02.09	V2.0	All risks scored. Removed (R5, P4) Revised (T2, T3)	
20.05.09	V3.0	T4 Split into two risks (A and B). Proposed actions updated by SP. Some implimenation dates and allocation of responsibilites completed. S5 WRAP Composition survey noted by NC	
27.07.09	v4.0	New PS2 and PS3 relating to stakeholder management and planning risk. S9 now renumbered as PS1)	
1.9.09	v4.1	New R7 and T8 added	
14.10.09	v4.1	Re working	N
11.11.09	v4.2	Re working following risk workshop of 5th November 2009. A number of additional risk identified.	N
20.02.10	v4.3	Risks PS13 and W4 added	Y
13.04.10	v4.4	Updates to reflect recent actions commenced to control certain risks. Risks updated:- JW1, PD2, PD3, P2, P13, T18	Y
24/05/10	v4.5	updated risk PS5 to reflect increased risk of not securing a site for the location of one of the Waste trasnfer stations	Y
15/08/10	v4.6	No update required to in relation to v4.5 - text colour changes changed from red to black to reflect these are not new actions since last report.	Y
15/09/10	v4.7	risks PD13,PD14 & PD 17 Closed as now complete. Risk PS11 closed as is duplicate of risk CO4. Actions relating to PD15 updated. Proposed actions moved to in place for some risks.	Y
14/10/10	v4.8	W2 risk level and decription changed to reflect discussion held at project board meetings of September 2010.	Y
09/11/10	v4.9	PO1 ammended to reflect increased risks relating to WAG funding availability, New risk F14 relating to WAG FBC, F15 re avaliability of funding to support "front end" recycling services. W1 ammended to relect risk of partner authoriteis not increasing front end recycling levels.	Y
14/02/11	v4.10	New PD 20 relating to Participants seeking control of sites.	y
22/02/11	v4.11	PD 20 ammended and PO2 due to issue of additional WAG guidance	y
	v4.12	Minor updates on progress	y
	v4.13	Minor updates on progress	y
15/09/11	v4.14	New PS12, F2 ammended to referlct ISDS extension request. Other minor updates.	Y
14/11/11	v14.15	Ammended PS12 CO4	Y
07/12/11	v4.16	Ammended F13	Y
09/02/12	v4.17	Ammended PO2	Y
01/03/12	v4.18	Minor changes	y
01/04/12	v4.19	Updated to reflect stage of procurement process	y
30/05/12	v4.20	No changes this period	y
05/09/12	v4.21	Ammended PO4,SR1,F13,PD3,CO4,P10,P12,PS1,PS5,W3	Y

**Approvals** This document requires the following approvals.

Name	Signature	Title	Date of Issue	Version
Project board				
lead project officers				

**Distribution** This document has been distributed to:

Name	Title	Date of Issue	Version
all members of project board			
All lead project officers			

Author: **S. Penny**  
 Version: see version number above  
 Revision No. see version number above  
 Status: **live**

**PROJECT GOAL & OBJECTIVES**

Goal	To procure a long term waste management contract to treat the residual waste fines from the five Councils within the the Partnership that will allow the Council to be compliant with the WAG National Waste Strategy.
Objectives and Assumptions	1. LAS Compliance: To procure waste treatment capacity and/or infrastructure in a timely manner that ensures the Authoritys' long term LAS requirements are achieved.
	2. To maximise resource recovery from the treatment of the delivered residual waste.
	3. Funding: To employ the most appropriate funding approach for the procurement project.
	4. Delivery Management: To implement an effective project management regime, as reconginsied by OGC etc, with good governance, explicit resource planning, appropriate use of advisors and active risk minimisation.
	5. External Stakeholders: To consult and aknowledge the perceptions of external stakeholders (WAG, PUK, Public, etc) to shape and influence the project for the benefit of developing of the project.
	6. Internal Stakeholders: To ensure that internal stakeholders are continually aware of progress and impacts of the future impacts of waste management and to maintain their support for the project over its term.
	7. Value: To maintain market interest through thorough engagement of suppliers and the provision (by the Partnership) of an adequate suitable site(s).
	8. A single common gate fee from the point of receipt for all Partner Authorities.

IDENTIFYING THE RISK or ISSUE						MANAGING THE RISK or ISSUE										Additional explanatory notes		
ID	Risk / Issue (i.e.: Threat to the Project)	Consequence	Current Assessment			How the risk will be managed and controlled						Residual risk			Impln Date		Review Date	Closure Date
			Impact	L'hood	Overall	Already in Place	Who is Managin g	Not in Place (Proposed)	Who will Manage	Impa ct	L'ho od	Over all						
PO4	Change in legislation or guidance either at European, National or Regional/Local level	Could require revisit of preferred solution, possible termination of project, excessive LAS compliance costs	4	5	20	Keep in close contact with WG to ensure potential policy changes that may impact on the project are identified early.	PD	Lobby WG and liaise with WLGA on this issue.	PD	4	3	12	Ongoing	Sep-12		WG have now clarified the position on use of IBA (Bottom ash) so the likelihood of policy change in relation to this has reduced. The initial draft of the CIM (collections, markets and infrastructure plan contained a passing reference to changing the tax regime for recovery operations such as waste to energy as part of many options open to WG. The final publication of the Collections and Infrastructure Plan has removed any reference to this and therefore any uncertainties in this area have reduced.		
<b>Strategy risk – change in any participating council's waste strategy or technology / solution preference</b>																		
SR 1	A change in any participating council's waste strategy or technology / solution preference by any of the partner authorities		4	4	16	Existing MWMS in place. Impartial options appraisal process carried out to identify reference solution (based on WG national evaluation framework). Multi partner authority officer input to this process. Ongoing communications and information to partner authorities on need for the project, technologies, benefits of adopted approach and a technology neutral procurement process.	PM & partner authorities				4	3	12	Ongoing	Sep-12	Elections in 2012 have brought about changes in administrations and make up of the NWRWTP Joint Committee. Suitable information to be provided to authorities and their members (for instance an information pack) and briefings by external agencies such as EAW and HPA together with visits to existing operational facilities to be organised during 2012 and 2013 as required to ensure full understanding of technologies being proposed (EfW)		

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**Finance & Affordability**

F13	WG financial support evaporates	Project potentially unaffordable	5	3	15	Assurances already received from WG that funding is available for the project as has been agreed previously for project Gwyrdd. OBC funding award letter defines the conditions for payment of funding- this is consistent with the Partnership's expectations.	PD		PD	5	2	10	Ongoing	Sep-12	WG has indicated that in the event that any solution that may involve energy recovery fails to achieve (or later loses) R1 energy efficiency status, may be at risk of losing the WG financial support. All 3 bidders at ISDS stage have proposed technologies that are above R1 thresholds. The technical team are looking at this issue to see how likely it is that a solution could fall below R1 and if so under what circumstances. The team are also looking to ensure suitable risk allocation with the contractor in this respect.
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**Project Delivery**

PD9	Utility connections may not be available for the solution	Possible threat to affordability, delay to programme	3	3	9			Technical advisors to be tasked to ensure ability to secure utility connections is understood early in the procurement process.	PD	3	2	6	Ongoing	Sep-12	Bidders have demonstrated that utility connections are deliverable.
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**Communication & stakeholders – failure to proactively engage with key stake holders leading to delays and lack of public support for the proposed solution**

CO4	Pressure from lobby groups/public against the preferred solution and location.	Alternative solution/site has to be sought, increased project development costs, delays to project delivery programme, excessive LAS costs, impact on Partner Councils reputation	4	5	20	Communication and Engagement Strategy drafted and agreed in draft form by Communication Officer group. To be "live" document and therefore updated when necessary.	PM	Ensure fact based information produced to counter mis-information or alarmist claims often put forward by lobbyists and campaign groups.	PD	4	4	16	Ongoing	Sep-12	National campaigners' engaging with local community councils and local communities in attempt to build opposition to potential solutions.
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**Procurement Strategy and Process**

P10	Document redacted. The information has been redacted as it relates to the financial or business affairs of the partners, and others in accordance with Rule 10 of the Access to Information Procedure Rules														
P12	Solution offered is not technically viable	landfill diversion not obtained, LA's incur infraction penalties	5	3	15	LAS infraction fine passed to contractor. Technical viability scored within Evaluation Framework	PD		PD	5	1	5	Ongoing	Sep-12	All 3 ISOS submissions taken through to ISDS stage clearly meet partnership's landfill diversion requirements. All are proven technologies with good track records.

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PS1	Regional Waste Plan is in conflict with potential solutions	Reduced Competition on bid process	4	3	12	Planning and Site Workstream has been set up to assist in reducing site and planning uncertainty and improve prospects for a positive planning outcome for the project. North Wales regional waste planning team now in place.	PD										4	2	8	Ongoing	Sep-12	Collections, Infrastructure and markets plan now published by WG. Additional Regional residual waste treatment capacity clearly defined.

PS5	Suitable sites are not in council ownership to support development of the solution	Project delayed whilst suitable sites are secured	5	3	15	Project team identified sites that could be suitable for location of both the waste transfer stations and residual waste treatment facility(s). Extensive negotiations with land owners of (further) additional sites carried with the aim of securing option(s) for site(s).	PD		PD	5	3	15	Ongoing	Sep-12	Anglesey Aluminium site identified as a potential site for the location of a facility, but despite extensive negotiations and engagement with AAM, AAM decided not to make the site available to the Partnership as they had other uses for the site.
<b>Wastes</b>															
W3	Composition of waste is different from that anticipated (poor data, policy changes, changes in collection practices)	Performance is below required level, excessive LAS compliance costs	3	5	15	Waste composition to be monitored during procurement and data shared at Competitive Dialogue to inform solution. All Wales Waste composition analysis has been carried out by WG through WRAP study has provided a good data set. Performance of technology solution will be tested and understood as part of the procurement process to identify the ability of each solution to process wastes with changed composition.			PD	3	4	12	Ongoing	Sep-12	Waste composition risk not being accepted by partnership - risk lies with contractor

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<b>Policy &amp; regulatory risk – Change in WG objectives / regulations</b>																	
PO1	WG changes financial support available for residual waste treatment projects due to WG affordability / budgetary constraints in the current economic climate	Residual waste treatment projects become less affordable for partnership and each partner authority	5	4	20		PD			5	3	15	Ongoing	May-12			
PO2	WG Environmental policy and objectives change	Project is now inappropriate	4	5	20		PD			4	3	12	Ongoing	Sep-12		WG's Municipal Sector Plan (MSP) adopted a waste minimisation target for MSW with a negative growth rate (reduction) of -1.2% pa. The WG MSP does not take any account of individual or partner authority HH or population growth rates. The Partnership has however received guidance from WG that the Partnership is free to make its own assessments about future waste arisings as the waste reduction target is aspirational. WG has now published guidance on the Waste Hierarchy. This is viewed by the project team as helpful and will enable the Partnership to demonstrate how any solution that comes forward ranks in the waste hierarchy.	
PO4	Change in legislation or guidance either at European, National or Regional/Local level	Could require revisit of preferred solution, possible termination of project, excessive LAS compliance costs	4	5	20		PD	Lobby WG and liaise with WLGA on this issue.		PD	4	3	12	Ongoing	Sep-12		WG have now clarified the position on use of IBA (Bottom ash) so the likelihood of policy change in relation to this has reduced. The initial draft of the CIM (collections, markets and infrastructure plan contained a passing reference to changing the tax regime for recovery operations such as waste to energy as part of many options open to WG. The final publication of the Collections and Infrastructure Plan has removed any reference to this and therefore any uncertainties in this area have reduced.

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<b>Finance &amp; Affordability</b>																	
F15	Partner authorities fail to make financial plans to support additional recycling and composting services to meet "front end" increased recycling levels that are required	Failure to meet WG "front end" recycling and composting targets with increased residual waste arisings as a result.	4	4	16		Partner Authorities				4	3	12	Ongoing	Sep-12		WG are encouraging authorities in Wales to enter into a "change programme" where WG will offer assistance to Las to work together and improve "front end" recycling and collections services.
<b>Communication &amp; stakeholders – failure to proactively engage with key stake holders leading to delays and lack of public support for the proposed solution.</b>																	
CO4	Pressure from lobby groups/public against the preferred solution and location.	Alternative solution/site has to be sought, increased project development costs, delays to project delivery programme, excessive LAS costs, impact on Partner Councils reputation	4	5	20			Communication and Engagement Strategy drafted and agreed in draft form by Communication Officer group. To be "live" document and therefore updated when necessary.		PD	4	4	16	Ongoing	Sep-12		National campaigners' engaging with local community councils and local communities in attempt to build opposition to potential solutions.
<b>Planning and permitting – ability to secure successful planning and permitting outcome for solution</b>																	
PS5	Suitable sites are not in council ownership to support development of the solution	Project delayed whilst suitable sites are secured	5	3	15		PD	Project team identified sites that could be suitable for location of both the waste transfer stations and residual waste treatment facility(s). Extensive negotiations with land owners of (further) additional sites carried with the aim of securing option(s) for site(s).		PD	5	3	15	Ongoing	Sep-12		Anglesey Aluminium site identified as a potential site for the location of a facility, but despite extensive negotiations and engagement with AAM, AAM decided not to make the site available to the Partnership as they had other uses for the site.
PS14	The recent issue of the draft Collections, Infrastructure and Markets Sector Plan (CIM) by WG has led to uncertainty as to the status of the existing Regional Waste Plan (RWP). Thus the RWP may be given reduced weight in determination of a planning application for waste facilities. A policy vacuum may therefore exist if this is not addressed by WG.	Unsuccessful planning application	4	4	16			Project team and north wales regional waste planning team engaging with WG on this issue to ensure that the final issued version of Collections, Infrastructure and Markets Sector Plan (CIM) does not leave a planning "policy vacuum". Regional Planning team and WG planning teams engaged with WG Waste Policy section to seek required amendments to draft CIM		PD	4	3	12	Ongoing	Sep-12		WG's published draft Collections, Infrastructure and Markets Sector Plan (CIM) now issued. See risk PS1

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<b>Wastes</b>																	
W3	Composition of waste is different from that anticipated (poor data, policy changes, changes in collection practices)	Performance is below required level, excessive LAS compliance costs	3	5	15			Waste composition to be monitored during procurement and data shared at Competitive Dialogue to inform solution. All Waste Waste composition analysis has been carried out by WG through WRAP study has provided a good data set. Performance of technology solution will be tested and understood as part of the procurement process to identify the ability of each solution to process wastes with changed composition.		PD	3	4	12	Ongoing	Sep-12		Waste composition risk not being accepted by partnership - risk lies with contractor
<b>Performance</b>																	
PE1	Market/outlet is not available for outputs from the facility(s)	Increased project operational costs, increase in demand for landfill void	4	4	16			Ensure market deliverability demonstrated as part of procurement evaluation process.		PD	4	3	12	Ongoing	Sep-12		
<b>Strategy risk – change in any participating council's waste strategy or technology / solution preference</b>																	
SR 1	A change in any participating council's waste strategy or technology / solution preference by any of the partner authorities		4	4	16		PM & partner authorities	Existing MMMS in place. Impartial options appraisal process carried out to identify reference solution (based on WG national evaluation framework). Multi partner authority officer input to this process. Ongoing communications and information to partner authorities on need for the project, technologies, benefits of adopted approach and a technology neutral procurement process.			4	3	12	Ongoing	Sep-12		Elections in 2012 have brought about changes in administrations and make up of the NWRWTP Joint Committee. Suitable information to be provided to authorities and their members (for instance an information pack) and briefings by external agencies such as EAW and HPA together with visits to existing operational facilities to be organised during 2012 and 2013 as required to ensure full understanding of technologies being proposed (EAW)

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<b>Policy &amp; regulatory Risk – Change in WG objectives / regulations</b>																
PO1	WG changes financial support available for residual waste treatment projects due to WG affordability / budgetary constraints in the current economic climate	Residual waste treatment projects become less affordable for partnership and each partner authority	5	4	20	Project Team to monitor WG positions in terms of budget availability and lobby at ministerial level if there are indications that proposed funding is to be reduced	PD				5	3	15	Ongoing	May-12	
PO2	WG Environmental policy and objectives change	Project is now inappropriate	4	5	20	Keep in close contact with WG to ensure potential policy changes that may impact on the project are identified early. The Project team have developed and submitted a partnership consultation response (approved by the PB and Joint Committee) highlighting the potential impact of such a target on the project and to ensure WG addresses how any such target is related to potential household numbers of population growth rates that authorities may be subject to in future.	PD				4	3	12	Ongoing	Sep-12	WG's Municipal Sector Plan (MSP) adopted a waste minimisation target for MSW with a negative growth rate (reduction) of -1.2% pa. The WG MSP does not take any account of individual or partner authority HH or population growth rates. The Partnership has however received guidance from WG that the Partnership is free to make its own assessments about future waste arisings as the waste reduction target is aspirational. WG has now published guidance on the Waste Hierarchy. This is viewed by the project team as helpful and will enable the Partnership to demonstrate how any solution that comes forward ranks in the waste hierarchy.
PO4	Change in legislation or guidance either at European, National or Regional/Local level	Could require revisit of preferred solution, possible termination of project, excessive LAS compliance costs	4	5	20	Keep in close contact with WG to ensure potential policy changes that may impact on the project are identified early.	PD	Lobby WG and liaise with WLGA on this issue.		PD	4	3	12	Ongoing	Sep-12	WG have now clarified the position on use of IBA (Bottom ash) so the likelihood of policy change in relation to this has reduced. The initial draft of the CIM (collections, markets and infrastructure plan contained a passing reference to changing the tax regime for recovery operations such as waste to energy as part of many options open to WG. The final publication of the Collections and Infrastructure Plan has removed any reference to this and therefore any uncertainties in this area have reduced.
PO5	WG fail to provide clarity within their strategic objectives	Delay and loss of stakeholder support	3	4	12	Keep in close contact with WG to ensure potential policy changes that may impact on the project are identified early.	PD				3	3	9	Ongoing	Sep-12	
<b>Strategy risk – change in any participating council's waste strategy or technology / solution preference</b>																



SR 1	A change in any participating council's waste strategy or technology / solution preference by any of the partner authorities		4	4	16	Existing MWMS in place. Impartial options appraisal process carried out to identify reference solution (based on WG national evaluation framework). Multi partner authority officer input to this process. Ongoing communications and information to partner authorities on need for the project, technologies, benefits of adopted approach and a technology neutral procurement process.	PM & partner authorities		4	3	12	Ongoing	Sep-12		Elections in 2012 have brought about changes in administrations and make up of the NWRWTP Joint Committee. Suitable information to be provided to authorities and their members (for instance an information pack) and briefings by external agencies such as EAW and HPA together with visits to existing operational facilities to be organised during 2012 and 2013 as required to ensure full understanding of technologies being proposed (EFW)
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**Political**

AP1	Multi-Authority Approach leads to protracted discussions to resolve issues	Consultancy costs increase. End date not met. LAS penalty risk increased.	3	3	9	Project Plan detailing timescales. OBC Approvals process mapped out for each partner authority. Offer of support form project team and advisors in approvals processes. IAA sets out governance arrangements and reserved matters.	PM		3	2	6	ongoing	Sep-12		
AP2	Decision on award of contract is multi authority	Selection of Contractor is delayed due to multi-Authority Involvement (Cabinet Process)	4	3	12			Project Champions (technical officers) from participating Authorities shall be involved in evaluating the bids	PD	4	2	8	July - Aug 201	Sep-12	
AP4	Lack of Council political support within one or more of the Partner Authorities.	Delays to project, increase in costs, loss of competitive pressure, threat to VFM, possible procurement challenge, or total abortion of the project	4	3	12	IAA sets our governance arrangements.. Provision of briefings and information to partner authorities - offered proactively by project team and advisors. Ongoing communication and engagement on key project parameters.	Lead chief Executive, Project Board members (lead Officers for each partner authority)		4	2	8	Ongoing	Sep-12	See SR1	
AP5	Change in priorities in a Council	Major funding issues	4	3	12	OBC has identified affordability of project and benefits of the reference solution in terms of costs management.	Lead chief Executive, Project Board members (lead Officers for each partner authority)		4	2	8	Ongoing	Sep-12		
AP6	Local Government re-organisation	Confusion and uncertainty	4	4	16	To be managed if and when prospect occurs during the project period	TBC		4	2	8	Ongoing	Sep-12		

**Joint Working – one or more partners exiting the partnership**

JW1	One of the Partner LA's withdraw during procurement process	New OJEU notice has to be placed	5	2	10	IAA 1 signed by partner authorities that shows clear consequences of Authorities leaving the process during and after procurement phase.	BD		5	1	5	Ongoing	Sep-12		
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**Finance & Affordability**

F1	Lack of Budget profile leads to unexpected surplus	Surplus is absorbed and re-application required	3	2	6	Finance Officer to be appointed to the team. Payments based on milestones. PD has updated project budget profile. PD to monitor and manage	PD		3	1	3	Ongoing	Sep-12		
F2	Procurement delays lead to increased procurement costs (due to extended procurement process)	LA's seek additional funding or withdraw	1	2	2	Affordability envelope has been agreed that includes delay to the project	PD	Manage procurement delays by appropriate design of procurement process.	PD	3	3	9	Ongoing	Sep-12	Due to request from participant and extension to the ISDS timetable given (approx 5 months).

F3	Commodity and construction prices increase significantly during procurement and construction phases	Increased project costs and possible exceedance of affordability envelope	4	5	20	Advisors have utilised current market pricing and liaising with WG / Local Partnerships in relation to projected costs in future and sensible assumptions to be made. A range of sensitivity tests carried out as part of the OBC process to ensure range of costs understood	PD		4	2	8	Ongoing	Sep-12	
F4	Long term interest rates volatility beyond current anticipated levels	Increased project costs and effective impact on affordability envelope	3	5	15	OBC includes a number of sensitivities to be modelled to inform affordability profile.	PD		3	3	9	Ongoing	Sep-12	
F5	The bid prices are outside of the affordability envelope	Delay to project programme, excessive LAS compliance costs, excessive costs associated with securing and implementing an alternative solution	4	4	16	Advisors have utilised current market pricing and liaising with WG / Local Partnerships in relation to projected costs in future and sensible assumptions to be made. A range of sensitivity tests carried out as part of the OBC process to ensure range of costs understood	PD	High market interest encouraged by active market engagement. Procurement process is to be run under competitive dialogue enabling the partnership to seek to drive down costs of the solution. ISOS solutions below affordability envelope.	4	2	8	Ongoing	Sep-12	Bid positions received at ISDS well within approved affordability envelope
F6	Preferred solution is not bankable	Delay to project programme, excessive LAS compliance costs, excessive costs associated with securing and implementing an alternative solution	5	3	15			Procurement process was designed to ensure that only those solutions capable of delivery (e.g. including bankability) are capable of being awarded the contract	5	2	10	Ongoing	Sep-12	Solutions based on proven technology from proven technology providers.
F7	Inappropriate funding structure adopted	Failure, delay, and cost	4	3	12			Procurement process to be designed to ensure that only those solutions capable of delivery (e.g. including finance structure ) are capable of being awarded the contract	4	2	8	Ongoing	Sep-12	Appropriate funding structures proposed by all 3 bidders at ISDS.
F8	Inadequate due diligence where a non project finance structure is adopted	Increase in procurement cost and transfer of risk to Authority	3	3	9			Ensure that adequate advice is taken from WG, Local Partnerships and advisors so that risk of prudential borrowing or other finance route are well understood by the partner authorities.	3	2	6	Ongoing	Sep-12	
F9	Foreign exchange rate changes adversely	Affordability compromised	4	3	12	Advisors have made prudent assumptions (checked with Local Partnerships and WG) and carried out sensitivity analysis as part of OBC development	PD		4	2	8	Ongoing	Sep-12	
F10	Financial assumption incorrect	Re-procurement and reduced level of service	5	3	15	Advisors have made prudent assumptions (checked with Local Partnerships and WG) and carried out sensitivity analysis as part of OBC development	PD		4	2	8	Ongoing	Sep-12	
F11	Document redacted. The information has been redacted as it relates to the financial or business affairs of the partners, and others in accordance with Rule 10 of the Access to Information Procedure Rules													

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F12	Document redacted. The Information has been redacted as it relates to the financial or business affairs of the partners, and others in accordance with Rule 10 of the Access to Information Procedure Rules														
F13	WG financial support evaporates	Project potentially unaffordable	5	3	15	Assurances already received from WG that funding is available for the project as has been agreed previously for project Gwyrdd. OBC funding award letter defines the conditions for payment of funding- this is consistent with the Partnership's expectations.	PD		PD	5	2	10	Ongoing	Sep-12	WG has indicated that in the event that any solution that may involve energy recovery fails to achieve (or later loses) R1 energy efficiency status, may be at risk of losing the WG financial support. All 3 bidders at ISDS stage have proposed technologies that are above R1 thresholds. The technical team are looking at this issue to see how likely it is that a solution could fall below R1 and if so under what circumstances. The team are also looking to ensure suitable risk allocation with the contractor in this respect.
F14	WG seeks unachievable levels of VFM at Final Business case review stage and approval process due to financial constraints	WG funding support is less than anticipated making the project potentially unaffordable	5	3	15	OBC funding award letter defines the conditions for payment of funding- this is consistent with the Partnership's expectations.	PD	Lobby WG and liaise with WLGA on this issue.	PD	5	2	10	Ongoing	Sep-12	
F15	Partner authorities fail to make financial plans to support additional recycling and composting services to meet "front end" increased recycling levels that are required	Failure to meet WG "front end" recycling and composting targets with increased residual waste arisings as a result.	4	4	16	Partner authorities to develop long term funding plans to support enhanced front end recycling and composting services.	Partner Authorities			4	3	12	Ongoing	Sep-12	WG are encouraging authorities in Wales to enter into a "change programme" where WG will offer assistance to Las to work together and improve "front end" recycling and collections services.
<b>Advisers – change in key personnel</b>															
AD 1	Key advisor personnel team leave or are no longer available to support the project	Delays and lack of familiarity with the project by any replacement advisory staff.	3	3	9	Advisor's project directors to keep an overview of the advisor work. Capacity of teams providing advice tested during appointment of the advisors. Ongoing monitoring of advisor situation to ensure adequate advisor cover an knowledge often project .	PD			3	2	6	Ongoing	Sep-12	
<b>Project Delivery</b>															
PD1	Potential bidders do not bid due to the costs associated with Competitive Dialogue process	Reduced Competition on bid process	4	2	8	To ensure a suitably streamlined, timely and well delivered procurement process adopted. Appropriate use and instruction of advisors. Input from WG, WPPO and Local Partnerships.	PD			4	1	4	Ongoing	Sep-12	3 participants submitted full ISDS submissions so strong market interest and competition demonstrated.
PD2	Potential bidders do not bid due to the Risks being passed to the Contractor	Reduced Competition on bid process	4	3	12	A risk allocation workshop was held with input from Advisors to ensure appropriate risk allocations are made for the procurement and that the Partnership adopt a commercially deliverable and sustainable position.	PD	The Project Agreement will conform to standard from of contract as provided by WG / Local Partnerships. Any derogations / changes from this standard position will be agreed with WG/ Local Partnerships before implementation to ensure acceptable transfer of risks.	PD	4	2	8	Ongoing	Sep-12	3 participants submitted full ISDS submissions so strong market interest and competition demonstrated.

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PD 3	Potential bidders do not bid due to lack of cohesiveness of the Partnership	Reduced Competition on bid process	4	3	12	IAA signed & Governance Arrangements for procurement period defined in OBC/ IAA.	PD	IAA signed by all partner authorities.	PD	4	2	8	Ongoing	Sep-12	3 participants submitted full ISDS submissions so strong market interest and competition demonstrated.
PD4	Potential bidders do not bid due to the prescriptive requirements	Reduced Competition on bid process	4	3	12	Procurement is to be "Technology Neutral"	PD	Ensure appropriate design of procurement process.	PD	4	1	4	Ongoing	Sep-12	3 participants submitted full ISDS submissions so strong market interest and competition demonstrated.
PD5	Potential bidders do not bid as volumes of waste are too small	Reduced Competition on bid process	4	3	12	Good level of market interest demonstrated.			PD	4	1	4	Ongoing	Sep-12	3 participants submitted full ISDS submissions so strong market interest and competition demonstrated.
PD6	Too many bidders come forward and difficult to de-select to suitable shortlist	Delays to procurement programme, increased development phase costs	3	3	9	Procurement process designed and resourced to allow a number of bidders to be assessed.	PD			3	1	3	Ongoing	Sep-12	Maximum of 8 bidders to be invited to ISOS stage, 3 participants taken through to ISDS stage. 2 to CFT stage
PD7	The Preferred Bidder drops out or fails to reach a satisfactory commercial/financial close	Programme delay, increased development phase costs, excessive LAS penalties, loss of competitive pressure and possible increase in overall solution costs	5	2	10			Procurement process designed to ensure ability and /or appetite for contract closure is understood pre preferred bidder appointment. No major issues to be allowed to remain unresolved prior to preferred bidder.	PD	5	1	5	Ongoing	Sep-12	
PD8	One of the two final bidders drops out	Threat to VFM, price escalation, possible exceedance of affordability envelope, delay to procurement programme	4	3	12			Procurement process designed to ensure ability and /or appetite for contract closure is understood pre final tender appointment. Will seek agreement with all bidders at this stage in relation to major issues.	PD	4	2	8	Ongoing	Sep-12	
PD9	Utility connections may not be available for the solution	Possible threat to affordability, delay to programme	3	3	9			Technical advisors to be tasked to ensure ability to secure utility connections is understood early in the procurement process.	PD	3	2	6	Ongoing	Sep-12	Bidders have demonstrated that utility connections are deliverable.
PD10	Construction contractor goes into liquidation/receivership during construction phase	Delay to commencement of waste processing, excessive LAS costs, replacement constructor required - increased capital costs	3	3	9	Bidders to demonstrate financial position as part of PQQ and also re-checked at key stages during procurement process			PD	3	2	6	Ongoing	Sep-12	
PD11	Insufficient project resource (numbers and knowledge/experience of staff/project team)	Delays to projects, increased development costs to 'repair' project, reduced market interest and consequent loss of competitive pressure VFM	3	3	9	PD and PM in post		Authorities to nominate appropriate individuals and to backfill their posts. Input required from key officers in Partner Authorities. PD has produced an estimated resource input schedule to assist Partner authorities in resource management	Individual Partner Authorities	3	2	6	Ongoing	Sep-12	
PD12	Negotiations on contract are protracted beyond planned programme	Contractor has opportunity to re-bid, price escalation, loss of VFM, affordability threatened, project delay, possible excessive LAS costs.	3	4	12			Procurement process will be clearly defined. Clear partner positions to be articulated to the bidders at all stages.	PD	3	2	6	Ongoing	Sep-12	Negotiation positions on key aspects of the project are pre agreed by Project Board to allow Dialogue team to get on with negotiations in a time efficient manner.

PD15	Inadequate project management discipline	Possible delay to project programme, LAS compliance costs incurred, delivery management objectives not met, internal stakeholders complain	2	2	4	PD and PM now in post. PD to check that adequate PM controls in place. Internal audit to be engaged prior to Procurement. 1st gateway review completed - project amber green. Recommendations made and taken on board by project team.		Furthe WG gateway review prior to ISDS. PD to take on board any recommendations.	PD	2	1	2	Ongoing	Sep-12	
PD16	Facilities not commissioned on time	Possible delay to project programme, LAS compliance costs incurred.	3	3	9	Procurement process designed to ensure sites are identified and understood in terms of planning deliverability. Preliminary site investigate works to be carried out on reference sites. Procurement process to test bidders delivery timetables.	PD			2	2	4	Ongoing	Sep-12	
PD18	Only one acceptable bidder comes forward	Delay to project, increased cost of going back to market, increased bid prices, failure to secure VFM, excessive LAS compliance costs	4	2	8	PD has commenced market engagement. Good feedback and high level of interest already expressed by a number of potential bidders.	PD	Ensure consistency of message to market.	PD	4	1	4	Ongoing	Sep-12	10 companies submited EOI. 10 submitted PQQ responses. with 8 pre-qualifying. 3 participants invited to ISDS stage. 2 to be invited to CFT
PD19	There is no market interest due to limited capacity within the industry	Delay to project programme, excessive LAS compliance costs, excessive costs associated with inflation and need to revisit market to secure and an acceptable solution. Partnership reputation damaged.	5	2	10	Good level of market interest demonstrated.	PD			5	1	5	Ongoing	Sep-12	Low risk - hoewver risk cannot be closed until PB appointed
PD20	Participants are concerned that one or more other Participants have gained a commercial advantage by gaining control of a site that may be required to deliver their solution	Participants withdraw from the procurement process	4	3	12	Partnership issue clear instruction to participants in relation to sites. Procurement team to enforce sanctions that may apply against participants that breach these instructions. The PD has received verbal assurances from a rail undertaker that their newly required option on the site in question will not be used solely to give one or more participants a competitive advantage in securing access to a rail head.	PD	Written confirmation gained for the alternative site operator that has secured an option of the site to ensure that all Participants can achieve equal access to the site if required (agreement to a non-exclusive engagement with all participants if required).		4	2	8	Ongoing	Sep-12	
PD21	Network Rail approvals are not secured to allow delivery of a rail based transport solution.	Transport element of Rail based solution becomes undeliverable or partially undeliverable.	3	4	12	Following the decision of Joint Committee at its meeting in March 2012, it was agreed that a review of progress would be made in September 2012 to see if key Network rail approvals had been secured. In the event that little or no progress had been made the Partnership may decide to revert to a road based transport solution.	PD			3	3	9	Sep-12	Sep-12	
PD22	Communication & stakeholders – failure to proactively engage with key stake holders leading to delays and lack of public support for the proposed solution.														

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CO1	Mis-information to Members caused by differences in reports and documentation	Authorities working to different agendas/outcomes leading to a breakdown in the consortia	3	3	9	Communication Officer Group established, with a media protocol agreed to ensure consistency of message.	PM		PM	3	2	6	Ongoing	Sep-12	
CO2	Risk of challenge to planning approvals if opportunity not given to stakeholders to input to the development of the evaluation framework that will underpin the procurement and subsequent facility planning approvals process.	Risk of un successful planning application or judicial review against planning consent and therefore inability to deliver the project as procured.	4	3	12	Consultation sessions with members of the 5 authorities and external stakeholder held during July - Sep 2010 to get input into the evaluation framework.	PM		PM	4	2	8	Ongoing	Sep-12	Evaluation framework completed before ITPD issued. Risk can not therefore be further mitigated. However, risk of successful challenge although very low still remains. Therefore risk cannot be closed.
CO3	Reference sites identified within OBC could lead to significant opposition to proposed development. As a result planning committee(s) and /or judicial review may not support a positive planning outcome if early engagement is not carried out with affected communities.	Risk of un successful planning application or judicial review against planning consent and therefore inability to deliver the project as procured.	4	3	12	"Drop in" sessions held in the area of the Reference Site. Contact made with key businesses around Reference Site.	PM	Further engagement work around reference site (and other reference sites if identified) at key stages of project.	PM	4	2	8	Ongoing	Sep-12	
CO4	Pressure from lobby groups/public against the preferred solution and location.	Alternative solution/site has to be sought, increased project development costs, delays to project delivery programme, excessive LAS costs, impact on Partner Councils reputation	4	5	20	Communication and Engagement Strategy drafted and agreed in draft form by Communication Officer group. To be "live" document and therefore updated when necessary.	PM	Ensure fact based information produced to counter mis-information or alarmist claims often put forward by lobbyists and campaign groups.	PD	4	4	16	Ongoing	Sep-12	National campaigners' engaging with local community councils and local communities in attempt to build opposition to potential solutions.
<b>Timescales</b>															
T5	Key Activities not identified in Project Plan	Potential for project to be delayed due to lack of resource or dependability issues	3	2	6	Local Partnerships experts to scrutinise Project documentation	PD		PD	3	1	3	Ongoing	Sep-12	
<b>Procurement Strategy and Process</b>															
P2	Document redacted. The Information has been redacted as it relates to the financial or business affairs of the partners, and others in accordance with Rule 10 of the Access to Information Procedure Rules														
P10	The Information has been redacted as it relates to the financial or business affairs of the partners, and														
P12	Solution offered is not technically viable	landfill diversion not obtained, LA's incur infraction penalties	5	3	15	LAS infraction fine passed to contractor. Technical viability scored within Evaluation Framework	PD		PD	5	1	5	Ongoing	Sep-12	All 3 ISOS submissions taken through to ISDS stage clearly meet partnership's landfill diversion requirements. All are proven technologies with good track records.
P13	Technological solutions offered are not commissionable within LAS infraction timescales	LA's face infraction fines for additional landfill above allowance	4	4	16	OBC modelling has shown that each partner authority can meet LAS allowances if they increase "front end" recycling and composting" and the project is delivered to timetable. Any underperformance in this "front end" recycling and composting are outside the scope of this project and any subsequent LAS liabilities will lie with the individual partner authorities. See also risk W1	Partner authorities	Procurment process to ensure that is delivered in a timely manner with the risk of late delivery of the residual waste treatment service minimised.	PD	4	2	8	Ongoing	Sep-12	Updated waste flow modelling demonstrates that potential commissioning dates will not lead to significant LAS exposure to partner authorities.

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P14	Bids scored by inexperienced internal team	Solution selected is not the most advantageous tender and is open to challenge by unsuccessful bidders	4	3	12	Bid team selected by Project Director including mix of appropriate skills (including advisors)	PD		4	2	8	Ongoing	Sep-12	Technical, finance and legal officers involved in evaluation challenge sessions with advisors
P15	Bids scored by external consultants	Solution selected does not meet local requirements and is not accepted by LAs	4	3	12	Bid team selected by Project Director including mix of appropriate skills (including officers from partner authorities and specialist external advisors)	PD		4	2	8	Ongoing	Sep-12	Technical, finance and legal officers involved in evaluation challenge sessions with advisors
P16	Officers are perceived to have preconceived ideas of the 'best' solution	Lack of trust of bidder selection and solution selected	4	3	12	Agreed scoring criteria and Evaluation Framework. Stakeholder input to evaluation framework. Moderation of scores to ensure consistency of evaluation approach. Input from local partnership's transactor.	PD		4	2	8	Ongoing	Sep-12	
<b>Scope Change – Material change in the scope of services required</b>														
SC1	Material change in the scope of services required	Delay to procurement process of bidders withdraw from procurement due to uncertainties	4	3	12	Technical officer input on draft specification and approved as part of OBC by partner authorities	PM	PM	4	2	8	Ongoing	Sep-12	
<b>Planning and permitting -ability to secure successful planning and permitting outcome for solution</b>														
PS1	Regional Waste Plan is in conflict with potential solutions	Reduced Competition on bid process	4	3	12	Planning and Site Workstream has been set up to assist in reducing site and planning uncertainty and improve prospects for a positive planning outcome for the project. North Wales regional waste planning team now in place.	PD		4	2	8	Ongoing	Sep-12	Collections, Infrastructure and markets plan now published by WG. Additional Regional residual waste treatment capacity clearly defined.
PS5	Suitable sites are not in council ownership to support development of the solution	Project delayed whilst suitable sites are secured	5	3	15	Project team identified sites that could be suitable for location of both the waste transfer stations and residual waste treatment facility(s). Extensive negotiations with land owners of (further) additional sites carried with the aim of securing option(s) for site(s).	PD	PD	5	3	15	Ongoing	Sep-12	Anglesey Aluminium site identified as a potential site for the location of a facility, but despite extensive negotiations and engagement with AAM, AAM decided not to make the site available to the Partnership as they had other uses for the site.
PS6	There is a delay on obtaining planning permission (identified reference site)	Failure to comply with LAS, increased costs, impact on award of Environmental Permit	3	3	9	Ongoing engagement / consultation with relevant planning authorities and other stakeholders/ statutory consulters. Site assessment and investigate works carried out by partnership.		PD	3	2	6	Ongoing	Sep-12	
PS7	There is a delay on obtaining planning permission for WTS sites requiring planning	Failure to comply with LAS, increased costs, impact on award of Environmental Permit	4	4	16	Ongoing engagement / consultation with relevant planning authorities and other stakeholders/ statutory consultees. Site assessment and investigate works carried out by partnership.	PD		3	2	6	Ongoing	Sep-12	

PS8	There is a delay on obtaining planning permission (alternative main reference site solution )	Failure to comply with LAS, increased costs, impact on award of Environmental Permit	4	4	16	Early identification of potentially suitable alternative main site. Ongoing engagement / consultation with relevant planning authorities and other stakeholders/ statutory consultees. Site assessment and investigate works carried out by partnership.			PD	3	3	9	Ongoing	Sep-12	
PS9	Planning permission has onerous conditions	Sub-optimal solution, performance below required level, increased costs	3	3	9	Ongoing engagement / consultation with relevant planning authorities and other stakeholders/ statutory consultees. Site assessment and investigate works carried out by partnership.			PD	3	2	6	Ongoing	Sep-12	Risks apply to all sites including those proposed by Contractor, not just Authority sites
PS10	Planning permission not secured even after appeal.	Diversion performance is below required level, excessive LAS penalties, increased costs	5	3	15	Procurement process to identify deliverability risks of contractor proposals, including likelihood of a successful planning outcome.			PD	5	2	10	Ongoing	Sep-12	Risks apply to all sites including those proposed by Contractor, not just Authority sites
PS12	Environmental Permit not secured in accordance with project programme	Project development costs exceed expectations, delays to project, excessive LAS penalties	4	3	12	Procurement process to identify deliverability risks of contractor proposals, including likelihood of a successful permit application.			PD	4	2	8	Ongoing	Sep-12	
PS13	Planning application from successful bidder fails to demonstrate Best Practicable Environmental Option (BPEO)	Unsuccessful planning application	4	4	16	To identify BPEO in Life Cycle Assessment (LCA) (Wizard) as part of OBC development, and to ensure supplementary measures employed to deliver sites and evaluation framework for procurement process, thereby supporting delivery of BPEO	A challenge session will be set up pre CFT with the two last remaining participants to test the way they will seek to demonstrate their solutions are BPEO within the planning context.		PD	4	2	8	Ongoing	Sep-12	
PS14	The recent issue of the draft Collections, Infrastructure and Markets Sector Plan (CIM) by WG has led to uncertainty as to the status of the existing Regional Waste Plan (RWP). Thus the RWP may be given reduced weight in determination of a planning application for waste facilities. A policy vacuum may therefore exist if this is not addressed by WG.	Unsuccessful planning application	4	4	16	Project team and north wales regional waste planning team engaging with WG on this issue to ensure that the final issued version of Collections, Infrastructure and Markets Sector Plan (CIM) does not leave a planning "policy vacuum". Regional Planning team and WG planning teams engaged with WG Waste Policy section to seek required amendments to draft CIM			PD	4	3	12	Ongoing	Sep-12	WG's published draft Collections, Infrastructure and Markets Sector Plan (CIM) now issued. See risk PS1
<b>Sites</b>															
S1	Site conditions are not as anticipated	Delay in project programme, excessive LAS costs, excessive Capex prices, possible threat to affordability	3	3	9	Technical advisors have been tasked to review site constraints	PD		PD	3	2	6	Ongoing	Sep-12	
S2	Single site not available for residual facility	Re-define the project, delayed, cost,.etc	5	3	15	Initial reference solution site already identified. Further site identification work to be carried out prior to and including early stages of procurement process			PD	5	2	10	Ongoing	Sep-12	



S3	One or more of the sites not available for some residual facilities	Re-define the project, delayed, cost,.etc	4	3	12	A number of potential sites already identified.	PD	Additional assessment and potential acquisition work required.	PD	4	2	8	Ongoing	Sep-12	See risk PS5
S4	One or more of sites not available for some WTS facilities	Disproportionate costs on some partner authorities	4	3	12	A number of potential sites already identified.	PD	Additional assessment and potential acquisition work required.	PD	4	2	8	Ongoing	Sep-12	
<b>Wastes</b>															
W1	A Council fail to reach recycling targets by not delivering enhanced "front end" recycling and composting services	Potential excessive project costs due to excess residual waste, threat to affordability, possible excessive LAS penalties if facilities under-sized and fines applied by WG to authorities for underperforming against recycling targets.	3	4	12	Initial discussions already held on key payment mechanism and inter authority principles to describe risk and how costs will be assigned amongst the partner authorities for under/ over provision of waste tonnages as a result of under/over recycling/ composting performance against agreed waste profiles.	PD	Ongoing engagement and communication with partner authorities to understand proposed waste recycling and composting services so that tonnage profiles can be finalised prior to ISDS stage of the procurement process. Partner authorities to develop plans for meeting enhanced recycling and composting services.	PD	3	3	9	Ongoing	Sep-12	WG are encouraging authorities in Wales to enter into a "change programme" where WG will offer assistance to Las to work together and improve "front end" recycling and collections services. See F15
W2	Waste flow model is inaccurate due to incorrect assumptions	Possible re-bidding resulting in increased project costs, delays to project, possibly excessive LAS compliance costs and increased landfill costs (If waste more than predicted), possible "put or pay" liabilities (if waste less than predicted).	3	4	12	A number of sensitivities are being carried out to that the impact of differing assumptions used can be understood. Ensure that the waste flows can be modified through early stages of procurement (up to ISDS). A range of sensitivities to be modelled and used as a basis for dialogue with bidders.	PD	Tonnage projections to be reviewed pre CFT based on latest data.	PD	3	3	9	Ongoing	Sep-12	Standard contract has substitute waste provisions so that contractor has duty to seek additional 3rd party waste if Partnership under deliver.
W3	Composition of waste is different from that anticipated (poor data, policy changes, changes in collection practices)	Performance is below required level, excessive LAS compliance costs	3	5	15	Waste composition to be monitored during procurement and data shared at Competitive Dialogue to inform solution. All Wales Waste composition analysis has been carried out by WG through WRAP study has provided a good data set. Performance of technology solution will be tested and understood as part of the procurement process to identify the ability of each solution to process wastes with changed composition.			PD	3	4	12	Ongoing	Sep-12	Waste composition risk not being accepted by partnership - risk lies with contractor
W4	Potential changes in the legal definition of (currently) non-Municipal Solid Wastes such that they become the responsibility of the partnership authorities	Additional wastes may have to be accommodated in solution	3	2	6	Project team to continue monitoring WG and UK Government Policy	PD		PD	3	2	6	Ongoing	Sep-12	
<b>Performance</b>															
PE1	Market/outlet is not available for outputs from the facility(s)	Increased project operational costs, increase in demand for landfill void	4	4	16	Ensure market deliverability demonstrated as part of procurement evaluation process.			PD	4	3	12	Ongoing	Sep-12	
PE2	The selected technology fails to perform to required level (unreliable or poor performance)	Excessive LAS compliance costs, Environment Agency close facility, contractor defaults, need to modify the solution resulting in increased Capex	3	3	9	Ensure technical track record proven, adequate test of contractor operations experience and that contractor proposals are explored in detail and well understood.			PD	3	2	6	Ongoing	Sep-12	Contractor will have maximum landfill allowance. If more materials are land filled this would be at cost to the contractor. Ultimately lead to contractor default if significant underperformance
<b>Contractor</b>															

C1	Contractor default	Re-procurement and additional costs	5	3	15	Ensure track record of contractor, deliverability of proposal (as at reasonable commercial return to the contractor) understood. Those contractor proposals viewed as potential high risk of non-delivery will be marked accordingly in line with the evaluation framework
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PD	5	2	10	Ongoing	Sep-12		
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Key  
 PD Project Director  
 PM Project Manager  
 BD Barry Davies (FCC Monitoring Officer)

R6	Consultants not appointed using correct procedures	Project delays whilst appointments challenged	4	1	4	Project Consultants Technical at ITT and Legal appointments about to be appointed. Financial outstanding but being progressed.		Take advice from Procurement specialists and PUK					Aug-09		27/07/09
HR2 (ex R2)	Unclear definition of responsibilities of the project team	Tasks not completed. Risks and issues not escalated.	3	2	6	Job Descriptions for key roles		Project structure with outline Job Descriptions included in PID	PD	3	1	3		08/10/09	07/09/09
A1 (EX P9)	Cost of Contract too High	Project Re-tendered	4	4	16			OBC options appraisal leading to identification of reference solution includes financial aspects of solution. Allow variants within the bid to remove elements to bring costs down. Use of competitive Dialogue will allow some iteration and amendment to risk allocation and specifications if required.	PD	4	3	12	Ongoing	Nov-09	10/11/09 (closed as is a duplicate of F13)
A2 (EX R4)	Funding not Provided from Treasury	Project Delayed whilst costs are reduced or Project suspended	4	2	8	OBC planned programme that is designed to meet WAG requirements	PD	FBC (Final Business Case) required when Procurement completed. Need to ensure procured solution is consistent with the objectives of the original OBC.	PD	4	1	4	Ongoing	Nov-09	10/11/09 (closed as is a duplicate of F13)
R1	Outstanding Team appointments	Project team under resourced leading to project slippage	3	3	9	Proposed team requirements specified. Interim Project Director now in role. Project Manager interviews arranged following advertisement for internal secondees.	Individual Partner Authorities	Authorities to nominate appropriate individuals and to backfill their posts. Input required from key officers in Partner Authorities. PD has produced an estimated resource input schedule to assist Partner authorities in resource management	Individual Partner Authorities	3	2	6	Ongoing	Nov-09	10/11/09 (duplicate of PD11)
PS4	Planning Permission not granted at identified Sites	Project delayed whilst suitable sites are secured	5	3	15			Alternative Site(s) to be identified and prioritised in order of suitability. Planning advisor appointed to project team and Planning/ sites workstream to be set up.	PD	4	2	8	Aug /2009 (commence)	Nov-09	10/11/09
T7	Environmental Activists seek to delay construction	Project/build potentially disrupted	3	3	9	Pro-Active Communication Plan & involvement of EA and HIA		Appointment of PR Consultants	PD						10/11/09 (duplicate of CO4)
P3	LAS Risk for the contractor deters potential bidders	insufficient competition for contract	4	2	8			-A risk allocation workshop to be programmed by the Project Director with input from Advisors to ensure appropriate risk allocations are made for the procurement and that the Partnership adopt a commercially deliverable and sustainable position.	PD				Nov-09	10/11/09 (Too specific and covered under general procurement risks)	

S2	RDF produced Cannot be sold	RDF is landfilled	4	2	8			Review of this position to be undertaken in conjunction with advisors as part of procurement design process	PD				Nov-09		10/11/2009 (duplicate of PE1)
S3	RDF quality not consistent due to inflow of residual	Purchaser of RDF rejects loads	4	2	8			Contractor to guarantee calorific value within tolerance limits-A risk allocation workshop to be programmed by the Project Director with input from Advisors to ensure appropriate risk allocations are made for the procurement and that the Partnership adopt a commercially deliverable and sustainable position.	PD				Nov-09		11/11/2009 (Duplicate of PE2)
S4	LA fails to supply required volumes of waste for treatment	Contractor invokes penalty clause to meet targets	4	3	12			Waste volumes set at minimum levels and monthly monitoring of waste arisings until contract sign to provide clarity. A risk allocation workshop to be programmed by the Project Director with input from Advisors to ensure appropriate risk allocations are made for the procurement and that the Partnership adopt a commercially deliverable and sustainable position.	PD				Nov-09		11/11/2009 (Duplicate of W1)
S5	Waste composition analysis not as Enumia / AEA	Contractor unable to determine appropriate technology for treatment / EfW	2	3	6			Waste composition to be monitored during procurement and data shared at Competitive Dialogue to inform solution. All Wales Waste composition analysis being delivered by WAG through WRAP. Initial work commencing in June 09.							10/1/09 (Duplicate of W3)
S6	LA collection methodology leads to peaks and troughs of supply	treatment plant unable to cope with wide variance in volumes / composition	3	3	9			LA's sign LAA to ensure even flow of material to facilities as determined by the contract. A risk allocation workshop to be programmed by the Project Director with input from Advisors to ensure appropriate risk allocations are made for the procurement and that the Partnership adopt a commercially deliverable and sustainable position.	PD				Nov-09		10/11/09 (Too specific and covered under W1)
PO3 (ex S8)	WAG waste management targets change	Local Authorities will incur penalties regardless of this project	4	4	16	Project Team in contact with WAG and PUK	PD	Project Director to keep in close contact with WAG to ensure potential policy changes that may impact on the project are identified early. (See risk T6). However NWRWTP has little influence over WAG policy decisions	PD	4	3	12	Ongoing	Nov-09	10/11/09 (duplicate of PO2)
AP3 (ex T3)	Partner LA doesn't sign Inter Authority Agreement (IAA)	Project delayed whilst revisions are made to IAA document	3	2	6			Newly appointed legal advisors to commence work on Partnership Agreement with Partner Authority legal leads	LP	4	2	8	Commence July 2009, Complete Nov 2009.	Nov-09	10/11/09 (duplicate of AP4)

T8	OBC timeline is delayed if required information in terms of tonnage, future recycling / diversion performance (front end) and service costs are not fully.	OBC is delayed if more work is required to generate this information. If the OBC is developed without this information being fully available, WAG may reject the	4	3	12	Engagement with technical consultants, and discussions with technical officers.	PD/PM	Until information received from partner authorities it is not know what further work will be required.	PM	4	2	8	Apr-10	Nov-09	40282
PD13	Delay in production/approval of OBC	Possible delay to project programme, potential loss of WAG funding, LAS compliance costs incurred	4	3	0	Programme in place, tasks allocated and WAG supplied with approvals timeline for partner authorities. Approvals all made in time for submission of OBC to WAG		Partner authorities to ensure that adequate senior management support given to approvals processes	Corporate D	4	0	0	Sep-10	Ongoing	
PD14	Delay in production/approval of inter-Authority agreement	Possible delay to project programme, potential loss of WAG funding, LAS compliance costs incurred	3	3	0	Programme in place, tasks allocated and WAG supplied with approvals timeline for partner authorities.		Partner authorities to ensure that adequate senior management support given to approvals processes	Corporate D	3	0	0	Sep-10	Ongoing	
PD17	OBC rejected by WAG (due to omissions, too much competition from other authorities)	Possible delay to project programme, LAS compliance costs incurred.	3	3	9	OBC follows WAG guidance. Regular meetings with WAG and input from PUK transactor.	PD			3	0	0	Sep-10	Ongoing	
PS11	Public opposition to technical solution/planning application including legal challenge	Delays to project delivery programme, excessive LAS penalties, affordability envelope threatened.	4	5	20			Active stakeholder and communications plan.	PM	4	4	16	Sep-10	Ongoing	Closed - this is a duplicate of CO4

T4b	Procurement delays lead to increased procurement costs (due to extended Approvals processes)	LA's seek additional funding or withdraw	3	3	9	PID identifies projected timeline and key decision points.	PD		PD	3	3	9	Ongoing	Sep-11	40787	CLOSED Duplicate of F2
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Definition of Risk

Likelihood	High	5 (W)	10 (W)	15 (M)	20 (M)	25 (M)	<div style="display: flex; flex-direction: column; align-items: center; gap: 10px;"> <div style="display: flex; align-items: center; gap: 5px;"><span style="background-color: red; color: white; padding: 2px 5px;">M</span> Mitigate</div> <div style="display: flex; align-items: center; gap: 5px;"><span style="background-color: yellow; padding: 2px 5px;">W</span> Watch</div> <div style="display: flex; align-items: center; gap: 5px;"><span style="background-color: green; color: white; padding: 2px 5px;">A</span> Accept</div> </div>
	Medium / High	4 (W)	8 (W)	12 (M)	16 (M)	20 (M)	
	Medium	3 (A)	6 (W)	9 (W)	12 (M)	15 (M)	
	Low / Medium	2 (A)	4 (A)	6 (W)	8 (W)	10 (M)	
	Low	1 (A)	2 (A)	3 (A)	4 (W)	5 (W)	
	Low	Low / Medium	Medium	Medium / High	High		

Impact

Likelihood (probability of occurrence)

5	High	75% to 100%
4	Medium / High	50% to 75%
3	Medium	26% to 49%
2	Low / Medium	11% to 25%
1	Low	< 10%

Impact (affect on outcome)

5	High	Catastrophic
4	Medium / High	Critical
3	Medium	Concerning
2	Low / Medium	Marginal
1	Low	Negligible