

## Appendix 1 - Tewkesbury Borough Council: Corporate Risk Register (updated August 2021)

Code	Risk score	Risk Management view
Red	16 – 25	Must be managed down to reduce risk scores in the next year
Amber	5 – 15	Seek to improve the risk score in the medium term
Green	1-4	Tolerate and monitor

Risk ref	Corporate risk identified	Impact assessment / comment	Impact Score (1-5)	Likelihood Score (1-5)	Gross risk score	Mitigating Controls	Risk Owner	Current risk	Identified risk mgt action points	Target risk score
1	The uncertainty and volatility of council funding streams, including Business Rates Retention, New Homes Bonus and needs based funding, means that long term business planning is difficult and subject to significant change	<p>The Council received £3.3m from NHB, £0.7m from retained business rates and £1.85m from needs based grant in 2019-20.</p> <p>It has been indicated by central government that NHB <b>will continue to be withdrawn in 22-23 and may or may not be replaced</b> with an alternative scheme for incentivising housing growth.</p> <p>Business rates is a volatile income stream as a result of successful appeals. In addition, a planned move to a 75% retention scheme has been delayed for a year and there is a lack of detail around the new scheme. <b>A planned reset of the system to redistribute growth has again been delayed.</b></p> <p><b>In Autumn 2020, a one year only Spending Review was again announced giving no certainty beyond March 22.</b> As with business rates, the Fair Funding Review was also</p>	5	5	25 20	<p>Council does not use 100% of NHB to support base budget.</p> <p>Accumulated provisions within existing retained rates scheme</p> <p>Development of other funding streams such as Council Tax and Commercial properties</p> <p>Revised MTFS highlighting size of impact and potential measures to bridge the deficit</p> <p><b>Significant MTFS reserve.</b></p>	Head of Finance & Asset Management	25 20	<p>Further development of alternative income streams to reduce dependence on these funding streams</p> <p>Detailed planning around major cost saving areas identified in the MTFS</p> <p>Government clarification on future of local government finance including:</p> <ul style="list-style-type: none"> <li>• Spending Review</li> <li>• Fair Funding Review</li> <li>• 75% business rates retention</li> <li>• Future of NHB and whether an alternative scheme will be brought forward</li> </ul>	9 6

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		delayed by a further year leaving councils uncertain as to how funding will be distributed to individual authorities.								
<p>Comments:            No further updates on any funding stream have been given by the Government in the last quarter. It is likely that information will not be released until the Spending Review later in the year, although this may, once again, cover only a one year period. No date has been set for the Spending Review announcement.</p>										
2	Failure to see the delivery of residential and business growth within the Borough will have a significant impact within the MTFS planning	<p>Growth within the Borough will attract significant additional funding streams by means of Council Tax, NHB and retained business rates.</p> <p>Given the reductions in core government grant and the increasing cost of delivering services, the income from growth is imperative to ensure a balanced MTFS and the ongoing delivery of services within the Borough.</p>	5	4	20	<p>Growth strategy set out in Joint Core Strategy</p> <p>Efficient management of DM process</p> <p>Programmes for the delivery of significant infrastructure</p> <p>Strong relationships with key agencies such as Homes England and GFirst LEP</p> <p>Economic Development Strategy</p>	Corporate Management Team	15	<p>Approval of Borough Plan</p> <p>Development and delivery of rail strategy</p> <p>J9 masterplan</p> <p>Business case developments for J10</p> <p>Airport development strategy</p> <p>Identification of opportunities to use business rate reliefs to support and attract business</p> <p>Implementation of DM improvement action plan</p>	10

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						Establishment of Growth Hub			Agreement for governance of CIL funding to maximise infrastructure delivery.	
<p>Comments: The strategic allocation are beginning to deliver reserved matters applications, which will see growth in the borough. The benefit of this will be undermined by the withdrawal of NHB and the lack of clarity around its replacement. The future of business rates retention remains unknown.</p>										
3	<p>If the ICT network is not adequately protected then there is a potential risk that it could be subject to a cyber-security attack leading to loss of systems and significant downtime.</p>	<p>Phishing attacks/Spear phishing – untargeted mass emails sent to many recipients to acquire sensitive information/targeted emails designed to look like its been sent from a trusted person.</p> <p>Denial of service (DoS) – hacker floods a website with more traffic than it can handle. Legitimate users are denied access to services, downtime of systems. Malware – forms of harmful software executed when it is mistakenly downloaded.</p> <p>Ransomware – denies access to systems until a ransom is paid.</p> <p>Reusing credentials on multiple systems makes it easier for a</p>	5	5	25	<p>Patch management</p> <p>Penetration testing</p> <p>Internal phishing awareness exercises</p> <p>PSN compliance</p> <p>Firewall management</p> <p>Cyber insurance</p>	Head of Corporate Services	12	<p>Review cyber security arrangements based upon Local Government Association best practice survey</p> <p>Additional £25k approved within 2021/22 budget.</p>	9

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		hacker to move around the network  All or combination can lead to; <ul style="list-style-type: none"> <li>Loss of reputation and trust</li> <li>Financial loss – disruption to service delivery, cost of restoring systems</li> <li>Legal implications – personal data breach could lead to a significant fine</li> </ul>								
<b>Comments:</b>  The outcome of the external assessment of the council's cyber security arrangements against the best practice ISO27001 standard are currently being considered. The assessment was measured against a set of 114 key controls. Within the 2021/22 budget, a further £25k has been approved within the ICT base budget for strengthening the council's cyber security arrangements. With regards to cyber resilience, a cyber security incident response plan is currently being developed and will be in place by the end of the year.										
4	If business continuity planning is not in place then there is a risk the council would struggle to deliver its services in the event of an incident	Does the council understand the major threats and risk to the business operations? Is a business continuity plan in place?	4	4	16	Individual service continuity plans  Draft corporate plan  ICT disaster recovery	Head of Corporate Services	12	Finalise and test draft plan.  Alternative premises solution  Review individual service plans.	9

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		<p>Is the plan tested for various scenarios?</p> <p>Have priority systems been identified?</p> <p>A BC incident could be any of the following;</p> <ul style="list-style-type: none"> <li>• ICT downtime</li> <li>• Major staff absence</li> <li>• Property access</li> <li>• Supply chain failure</li> </ul>								
<p>Comments: The corporate Business Continuity Plan was due to be tested in early 2020. This exercise was to be facilitated by the Civil Protection Team but their resource was concentrated upon dealing with Brexit and the potential impact this will have on Gloucestershire. The response to Covid-19 has been the ultimate test to our emergency and business continuity planning – lessons have been learned and teams adapting to challenging issues. Lesson learnt are currently being captured within service areas and will be presented to Overview and Scrutiny Committee in September. A recent discussion with the Civil Protection Officer (Gloucestershire County Council) has taken place and this team will support the council's services to review our business continuity framework. This will include a review of the corporate plan, a review of service continuity plans incl business impact analysis and testing through desktop scenarios. A specific date has yet to be agreed but anticipated around the last quarter of the financial year.</p>										
5	If the council is not compliant with General Data Protection Requirement then there is a risk of financial penalties and adverse publicity.	<p>Reputational – adverse publicity and internal impact on service and individuals</p> <p>Financial – potential fines from ICO or compensation claim from individuals</p>	4	4	16	<p>Data Protection Policy</p> <p>Governance structure in place eg Information Board, Data Protection Officer</p>	Head of Corporate Services	12	<p>Rollout of e-learning module</p> <p>Implementation of related audit recommendations</p> <p>Implementation of GDPR action plan</p>	9

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		Resource – time consuming to report, investigate and mitigate data breaches  Staff morale – in case of data breaches, potential disciplinary action				appointed, designated Senior Information Risk Owner, SpoC  Breach reporting framework  Staff awareness training				
<b>Comments:</b> Since April 2020, a new Single Point of Contact (SPoC) is in place to oversee GDPR – this officer shares that role with internal audit duties. A consolidated action plan has been developed, pulling together previous actions and all internal audit recommendations. The action plan is progressing well including the recent purchase of new online training, a comprehensive communications plan, redaction training for nearly 45 staff is being set up, draft mailbox usage policy is due for consideration by management team, and any data breaches continue to be investigated promptly. An annual report on the adequacy of the council's GDPR arrangements will be presented to committee in December.										
6	Ineffective Emergency Planning	Failure to deliver support to the community in the event of an emergency.  Public not warned and informed in the event of an emergency  Negative perception of the Council by external parties / partners/local businesses  Failure to deliver critical services in the event of a declared	4	4	16	Trained and willing volunteers / staff.  Up to date emergency / business continuity plans.  Regular reviews of EP RAG Status (quarterly)	Head of Community Services	8	Develop further capacity within the organisation to assist in the case of an emergency.  Undertake a lessons learnt exercise of our Covid-19 response.  Formal training programme to be developed.  Review of sandbag policy.	4

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		emergency or event. Could result in significant extra cost over the long term				Partnership working with the LRF and other partners e.g. Severn Trent Water.  Sufficient equipment for rest centres			Review of flooding incident which occurred December 2020/January 2021.	
<p><b>Comments:</b> There is a review of the LRF Multi-Agency flood plan and the TBC flood plan are underway. Also being reviewed is the Rest Centre Plans List, this will ensure that we have sufficient rest centres should we need to open them. A number of new members of staff have volunteers to be involved in the emergency planning process and a training needs analysis is underway to ensure that we have sufficient trained staff in the event of an emergency</p>										
7	Failure of our waste partner to deliver an effective service.	Failure of contractor or partners to deliver services or meet agreed performance targets leads to additional costs or failed objectives.  Failure of MRF operator to be able to fulfil contract.	5	3	15	Contract / Performance monitoring processes in place and improved.  Established government arrangements.  5 year extension of the Ubico contract has been approved.  Additional resource now recruited to	Head of Community Services	10 4	Review of contractual arrangements and service specifications.  Service review and improvement plan for street cleansing.	8 4

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						support the waste service				
<b>Comments:</b> A 5-year extension to the Ubico contract was agreed earlier in 2021. Our MRF contractor is operating effectively.										
8	Use of Swindon Road depot.	Our waste services are currently based at the Swindon Road Depot in Cheltenham. The depot is currently leased to Ubico by Cheltenham Borough Council. If CBC were minded to terminate this arrangement then we may need to identify a suitable depot for Ubico to operate of waste services from.	5	2	10	Lease agreement in place.	Head of Community Services	8	Elements of the lease arrangement of the depot have been reviewed and changes made to formalise the arrangements with Cheltenham BC.  Consider where a temporary depot could operate from in an emergency.	5
<b>Comments:</b> Lease arrangements are in place. Working with Cheltenham Borough Council on potential depot plans and locations. A project group involving officers from TBC, CBC and Ubico are exploring alternative options for a strategic depot at a different location to Swindon Road. This project is still in it's very early stages and has been delayed due to Covid-19.										
9	Safeguarding arrangements	That the arrangements and implementation of policies and procedures by the Council (and its partners) are not adequate to protect vulnerable adults and children who may be at risk of significant harm. The damage to	5	2	10	Staff awareness of safeguarding.  Safeguarding policy in place.	Head of Community Services	6	Raising awareness of safeguarding policies and procedures with staff through staff briefings, one to ones, PPDs and training.	4

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		the Council would be mainly reputational.				Feedback from S.11 annual audit.  Partnership working though the District Safeguarding Network.  Taxi driver DBC checks carried out. Street Trader DBS checks implemented.  Safeguarding policy has been reviewed and adopted.			Adopt the quality assurance framework for safeguarding.  Where necessary ensure pre-employment checks / DBS checks are carried out.	
Comments: Audit & Governance Committee received an update on safeguarding and the new S.11 process at their meeting 16 December 2020. Feedback on the submitted S.11 statement has been received from the assurance panel and officers are working through to consider the feedback and any improvements that need to be made as a result.										
10	Failure to maintain council assets and ensure ongoing tenancies could result in significant cost and lost income	The council has a significant property portfolio encompassing both operational and investment assets. For example, the total commercial portfolio is £60m producing an annual gross income of £3.4m.	5	4	20	Recent refurbishment of service related property  Establishment of annual contribution to Asset	Head of Finance and Asset Management	6	Establishment of long term asset maintenance programme, including allocation of required funding.	3

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						Maintenance Programme  Commercial investment reserve  Trained and experienced staff  Appointment of external investment support  Recruitment of additional Property Officer				
<b>Comments: The council is currently tendering for the installation of an air-to-air heat system to replace its obsolete gas boilers and provide a green heat system within the council offices for the next 20 years. An updated Asset management Plan will be produced for Q4 of 21/22 followed by a revised long term maintenance plan.</b>										
11	If the Growth Hub fails to deliver the outputs as specified within the LEP agreement then there is potential that the capital grant would have to be repaid.	<ul style="list-style-type: none"> <li>Financial risk (£500k)</li> <li>Reputational</li> <li>Wider impact on economic delivery in the borough</li> </ul>	3	3	9	Performance monitoring through CRM system Partnership working and effective governance with LEP  Dedicated staff to manage hub and outputs e.g.	Head of Development	4		4

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						manager and navigator  Promotion through business networks				
<p>Comments:</p> <p>Growth Hub has now been operating for over 2 years. Due to Covid-19 and government guidelines the Growth hub has been closed to the public since the end of March 2020. This has understandably impacted on the attainment of some outputs, such as visitor footfall. Output discussions have been undertaken with the LEP, who understand the situation as the other Network Hubs in Gloucestershire are also closed to the public. The Growth Hub Manager presented at a recent meeting of the council's Overview and Scrutiny Committee on how the Growth Hub has performed since opening and how it has supported businesses during the pandemic. The presentation was positively received. Since opening, nearly 2,000 visitors have been welcomed to the hub, over 380 business growth plans have been delivered, over 5,000 business support interactions and 193 business events delivered. During Covid, there has been significant support given to the business cell, particularly around business grants, 107 virtual events have been held together with a number of Q&amp;A business forums. <b>Plans, including the appropriate risk assessments, have been prepared in line with the re-opening of the hub from the 19 July 2021. The reopening of the hub is phased, starting with a pre-arranged appointment only service initially.</b></p>										
12	The uncertainty over Brexit leads to an adverse impact on council services and its communities.	<ul style="list-style-type: none"> <li>Potential fuel shortages</li> <li>Data transfer implications</li> <li>Supply chain delays</li> <li>Economic impact</li> <li>Election – impact on resource</li> </ul>	4	4	16	Business continuity and contingency planning  Intelligence and networking eg Local Resilience Forum, government agencies	Corporate Management Team	16	On-going participation in multi-agency network  Potential support to small businesses through Growth Hub  Glos LRF undertaking an audit of countywide fuel storage capacity	12

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						Government funding of £52k			Data storage assessment	
<b>Comments:</b> A trade deal was reached between the EU and the UK, however what this means locally is still an evolving picture.										
13	Garden town status	Failure to deliver Garden Town project will have an impact on the Council in <ul style="list-style-type: none"> <li>• Reputation - Confidence from Government of TBC ability to deliver programme (<b>planning stages</b>)</li> <li>• Financial ( loss of NHB from assumed delivery of homes)</li> <li>• Non Delivery of homes and jobs required for community (<b>delivery stages</b>)</li> </ul>	5	5	25	Tewkesbury Borough Council are holding regular meetings with the Project Assurance Group which is attended by a Homes England representative.  The project is being managed through the standard HE Project Delivery Plan (PDP).	Head of Development Services/ Garden Town Programme Director.	12	<b>Upcoming Annual Review process with MHCLG/ Homes England representatives will serve as an important health check point. – complete.</b>  An Annual Review was completed with Homes England representatives at the end of April which was an important health check. The session went well, and useful learning points have been noted to support the forward plan.  Review resource of the project team– <b>additional capacity needs being considered.</b>	9

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						<p>Project Team in place.</p> <p><del>The evolution of the masterplan has been completed and will be published later in the year with Reg 18 of the JCS.</del> The evolution of the masterplan to inform the JCS Review.</p> <p>The Council has been successful in receiving extra funding from MHCLG and Homes England.</p> <p><b>Upcoming Annual Review process with MHCLG/ Homes</b></p>			Recent funding award from Government included £500k for assessment of options for delivery vehicles and £1.5m towards the County run project assessing J9/A46 capacity challenges.	

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						England representatives will serve as an important health check point.				
<p>Comments: Delivery of the programme will potentially be over a 25-30 year period. During that time, there will be many challenges and risk elements to be mitigated. At this early formation stage, the team are focusing on getting the key foundations in place in terms of clarifying the forward strategy and ensuring the council has the capacity and capability to start delivery. The highest risk in this regard, is further delay to the JCS Review. The review is vital in providing an important policy context for the Garden Town and the means to safeguard the programme's future. In particular, the role it will be able to play in helping bring forward sustainable and well managed growth. Reputationally and procedurally, the council is relatively exposed until the JCS Review process gets underway and progresses. Meanwhile, the team works on other key elements such as the Framework Masterplan, assembly of land and the delivery of enabling basic infrastructure. <b>The Programme is currently well regarded by Government and further capacity funding has been awarded.</b></p>										
14	Non-delivery of the Ashchurch bridge project.	The project has a time limit of March 2022 for funding draw-down. <b>(Note: due to be formally amended)</b>	5	3	15	Grant funding agreement with Homes England (2019)  <del>Submit planning application March September 2020</del> Planning permission granted 16 March 2021.	Programme Director	15	Planning permission granted 16 March 2021. Detailed design work now underway, post planning, including commencement of the associated link roads workstream.	8

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						<p>Agree licence/access with landowners</p> <p>Network Rail is an active part of the project board.</p>			<p>Heads of terms for land acquisition and access rights issued to landowners and due to be formalised legally shortly. Supporting transport modelling work to inform wider land assembly strategy completed Spring 2021.</p> <p>Detail for BAPA for construction phase in preparation/process of review.</p>	
<p><b>Comments:</b> The HIF grant award of £8,132,465 is under contract. However, due to programme slippage caused by Covid, the project completion date of March 2022 is due to be formally amended, with the HIF team at Homes England, <b>to September 2023. This will require a Deed of Variation to the funding contract.</b> The first tranche of HIF grant funding was successfully drawn down in March 2021, following a positive planning determination. The project team are now planning ahead to the construction phase due to commence in summer 2022.</p>										
15	The resource required to respond to and recover from the Covid-19 pandemic is likely to have a significant impact upon the council's priorities.	<ul style="list-style-type: none"> <li>Non delivery of council plan ambitions</li> <li>Progress stalled in delivery of high profile projects</li> </ul>	5	4	20	<p>'prioritisation of priorities'</p> <p>£500k recovery reserve</p> <p>HR support and wellbeing policies</p>	Corporate Management Team	16	<p>Utilisation of recovery reserve to support capacity.</p> <p>Continued monitoring of workloads.</p>	8

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		<ul style="list-style-type: none"> <li>Adverse impact on staff health and wellbeing</li> <li>Financial impact upon budget</li> </ul>				Covid-19 recovery plan  Recovery aligned to government roadmap			Align progression of relevant recovery actions to the government's roadmap out of lockdown.  Annual refresh of recovery plan and council plan.	
<p><b>Comments:</b> Whilst this is impacting on the council now and technically an 'issue' rather than a risk it would be remiss not to include it within the register given this is not likely to be a short term issue. Quarterly updates continue to be provided to Overview and Scrutiny Committee through the council plan performance tracker and Covid-19 recovery plan. <b>Our 'return to work' workstream has been implemented successfully – this is based on a phased return of staff whilst ensuring any face to face service delivery can be maintained. Moving forward a balanced approach between home working and office working is the goal. With regards to our 'high street recovery' workstream the Welcome Back Fund (£86k) action plan has been approved. The corporate Covid-19 recovery plan is in the process of being refreshed, as is the Council Plan and these strategic documents will first be considered to Executive Committee on 2 September 2021 then onto Council.</b></p>										
16	The climate change motion approved by Council included a commitment to work with partners in Gloucestershire to achieve countywide carbon neutrality aims as well as carbon neutrality	The climate change motion approved by Council in October 2019 contained a number of points including: <ul style="list-style-type: none"> <li>Carbon neutral status for the council offices by 2030</li> <li>working with partners in Gloucestershire to</li> </ul>	4	5	20	Temporary consultancy support  Appointment of countywide coordinator	Head of Finance & Asset Management	16	Identification of specific actions to support wider carbon neutrality of whole council and the Borough.  Allocation of funding to support specific activities, both on an on-going and one-off basis	4

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	<b>for the Council's own services. Both of these targets are likely to require significant funding in delivering the aim.</b>	<p>achieve countywide carbon neutrality aims</p> <p>These aims are likely to require significant change in the council's own service delivery and influencing change in the wider community.</p> <p><b>The ambitions will also require significant financial input and additional capacity to deliver.</b></p>				<p>Approval of action plan for Council carbon neutrality</p> <p>Grant funding secured to replace heating system within the offices.</p>			<p>Source external grant funding opportunities</p> <p>Collaborative working with partners to maximise efficiency and reduce cost</p>	
<p><b>Comments: Executive Committee approved in early July the Year 2 action plan, a £100,000 reserve and a recommendation to Council to budget for a permanent Carbon Reduction officer. This is expected to be approved by Council in September.</b></p>										
17	National driver shortage	There is a national shortage of HGV drivers. The impact is that across the Ubico contracts they are struggling to recruit and retain RCV drivers. The	4	4	16	Increase the market supplement for drivers and train more loaders to become drivers.	Head of Community Services	16	<p>Monitor closely.</p> <p>Apply the business continuity plan if services are suspended.</p>	8

## Appendix 1 - Tewkesbury Borough Council: Corporate Risk Register (updated August 2021)

Code	Risk score	Risk Management view
Red	16 – 25	Must be managed down to reduce risk scores in the next year
Amber	5 – 15	Seek to improve the risk score in the medium term
Green	1-4	Tolerate and monitor

Risk ref	Corporate risk identified	Impact assessment / comment	Impact Score (1-5)	Likelihood Score (1-5)	Gross risk score	Mitigating Controls	Risk Owner	Current risk	Identified risk mgt action points	Target risk score
		supply of agency drivers is a concern. The overall impact of this is that contract costs may increase and waste rounds may suffer from shortages resulting in service suspensions.							Continue dialogue with Ubico and suggest ideas to improve e.g. offering a golden hand shake / incentive for referrals of drivers from staff etc.	
<p><b>Comments:</b> The national driver shortage has been well documented in the media. This is due to a number of factors including C19 and the UK leaving the EU. Various actions have been taken such as raising the market supplement for drivers but it remains a high risk. There is a business continuity plan in place which protects the high risk residual and food collection services and this is being implemented where needs be. The home office have been approached and requested to relax the requirements for EU nationals with these skills entering the country but no response has been received to date.</p>										
18	Waste transfer station at Wingmoor Farm subject to a variation of their planning,	The waste transfer at Wingmoor Farm is the subject of a planning variation to enable them to continue operating as our waste transfer station for our residual waste. There is no viable alternative within a sensible geographic area and the only alternative would be to direct deliver our waste to Javelin Park,	4	4	16	Seek to influence GCC planning committee decision.		16	Make representation to GCC planning committee and also to TBC planning committee setting out the implications for the council.	16

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		this could result in the council needing to put new rounds on and purchase new vehicles and employ more staff. This will have significant financial implications for the council.								
<p><b>Comments:</b> The implications of having to direct deliver all of our residual waste to Javelin Park (JP) are significant. We calculate that approximately 4 additional waste rounds would be needed to mitigate the additional time that would be needed to drive from the point on the round where the vehicles are full to JP and return to that point 2/3 times a day. This is also likely to increase the risk of overweight vehicles. Representation has been made to GCC planning Committee which meets on 30<sup>th</sup> September to discuss the matter. If the planning variation is refused it is likely that Grondon will appeal and this will give TBC some time but this will be limited.</p>										