



TYNE PORT HEALTH AUTHORITY

Corporate Risk Register

Prepared By: Colin MacDonald, Clerk to the Authority,
Stephen Taggart, Chief Port Health Officer

Date Update Completed: 2 September 2015

Approved By: Joint Board (approval pending)

Date: To be presented on 6 October 2015

Revision No.: 4

H High
M Medium
L Low

H High
M Medium
L Low

RISK DEFINITION / DESCRIPTION					CURRENT RISK SCORE			TARGET SCORE			Comments	
Risk No.	RiskTheme	Risk Area	Threats	Consequence	Risk Likelihood A - F	Risk Impact I - IV	Risk Score	Control	Risk Likelihood A - F	Risk Impact I - IV		Risk Score
TPHA 1.	Principles.	The Tyne Port Heath Authority Order 2010.	Failure to comply with the governance requirements of the Tyne Port Heath Authority Order 2010.	Inability to discharge the statutory functions and duties of the Authority due to ineffective governance arrangements; Failed external audit leading to special measures being put in place; Reputation	E	3	L	Annual appointment of members by each riparian authority; Appointment of Chair and Vice-Chair of the Joint Board; Annual Appointment of Officers to the Authority; Approval of annual review of Constitution; Approval of Calendar of Meetings for the year; Accurate minute-taking and review at following meetings; Declarations of interest from members documented and minuted and conflicts arising are appropriately addressed.	E	3	L	NO CHANGE TO SCORE All controls in place resulting in appropriate risk mitigation measures being taken.
TPHA 2.	Principles.	The Tyne Port Heath Authority Order 2010.	Failure to discharge statutory functions assigned by the Tyne Port Health Authority Order 2010.	-Public Health Risks; -Litigation; -Public Enquiries; -Inquests; -Reputation.	D	2	M	Statutory appointments to the Authority made; Annual Service Plan approved by the Joint Board; Annual Setting of Fees and Charges; Employment and retention of an adequate number of suitably competent officers.	E	2	M	CHANGE IN SCORE: E2 TO D2 All control measures now in place. Increase in score from E2 to D2 (although retained as a Medium Risk) to reflect risk to the retention of suitably competent officers. The host Council is currently considering Voluntary Redundancy applications from officers in Environmental Health that contribute to the Tyne Port Health Authority. The host Council are aware of the requirements of the TPHA. However the risk has been increased to acknowledge the pending situation.

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TPHA 3.	Public Value.	The Accounts and Audit Regulations 2015.	Failure to comply with the requirements of a relevant body as prescribed by the Accounts and Audit Regulations 2015 by virtue of the Local Audit and Accountability Act 2014.	-Failed external audit leading to special measures being put in place; -Financial mismanagement; -Reputation	D	3	L	Approval of Annual Accounting Statements and financial controls prepared in accordance with regulatory requirements; Approval of annual Internal Audit Report following review of effectiveness; Provide annual opportunity for the exercise of electors' rights in accordance with regulatory requirements; Approval of annual assessment of risks and take appropriate steps to manage risk; Adequate insurance cover in place via host Council.	D	3	L	NO CHANGE TO SCORE All controls measures now in place. The drafting of this risk has been updated to reflect the new legislative regime. Following Government's abolition of the Audit Commission a new Act and associated regulations now covers the Authority. There is no material change to the legislative and audit requirements for the Authority and it remains compliant.
TPHA 4.	Public Value.	Financial Management.	-Precept: Non-Payment and inadequacy; -Reserves: Inadequate, unbudgeted spends, contingent liability; -Cash handling: misappropriation; -Salaries: accurate payment and handling; -Supply of goods and services: receipt -and correct invoicing; VAT: incorrect analysis , charging and claims to HMRC; -Consequential Loss: due to improper performance and general liability; -Inadequate financial record-keeping; -Decisions taken illegally; -Fraud: by officers of the Authority or the host Council; -Non compliance with host Council internal Financial Regulations and Standing Orders.	-Insolvency; -Financial mismanagement; -Breach of legislation and litigation; -Failed external audit leading to special measures being put in place; -Reputation;	D	3	L	Precept agreed annually by Joint Board as part of budget-setting process. Receipt from Council's confirmed by RFO. Monthly budget monitoring between RFO and Clark; Adequacy and liabilities considered at budget setting and reviewed in annual statement of accounts; Cash handling is avoided by where necessary appropriate controls in place via adoption of host Council Financial Regulations and subject to internal audit of the Authority; Salaries, good and services, VAT and record-keeping monitored via monthly budget monitoring process between RFO and Clerk. Payment subject to host Council Financial Regs and associated processes and subject to internal audit of the Authority; Officer Delegation Scheme in place and proecesses established to ensure correct authorisation; Anti-fraud and Corruption Policy in place and Authority subject to internal audit; Public Liability insurance value appropriately set.	D	3	L	NO CHANGE TO SCORE All controls in place resulting in appropriate risk mitigation measures being taken .
TPHA 5.	Principles.	Internal Audit.	Internal Audit is ineffective in undertaking its role.	-Financial mismanagement; -Breach of legislation and litigation; -Failed external audit leading to special measures being put in place; -Reputation;	E	3	L	The Internal Audit is undertaken by the the Internal Audit function of the host Council. Their effectiveness is assessed annually against the Code of Practice for Internal Audit in Local Government (CIPFA 2006) and is currently fully compliant. Internal Audit reports are made to the Joint Board of the Authority. The Internal Audit of the Authority is subject to external audit.	E	3	L	NO CHANGE TO SCORE All controls in place resulting in appropriate risk mitigation measures being taken .

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TPHA 6.	Response.	Emergency Preparedness.	Failure to discharge responsibilities as a Category 1 Responder under the Civil Contingencies Act 2004. Failure to be prepared to respond to emergency event.	-Risk to Public Health; -Litigation; -Public Enquiries; -Inquests; -Reputation;	E	2	M	Delivery of 24/7 Officer Call-out System; Included in the the full statutory process as a Category 1 responder - this is known locally as the Local Resilience Forum (LRF); Participation in multi-agency Emergency Preparedness activities; Participation in multi-agency response and recovery activities; Maintain Emergency Response Activation arrangements; Validate Plans by training and exercising.	E	2	M	CHANGE IN SCORE: D2 TO E2 The Authority and its officers continue to be represented on the host Council's internal Emergency Response Leadership Group (ERLG). The Clerk is also a member of the Northumbria Local Resilience Forum (LRF). Officers continue to involved in training and exercising undertaken via the host Council's arrangements. An exercise to test the Port's Marine Emergency Plan is scheduled to take place during winter 2015/16. The score has been reduced to its target score to reflect the extent of the arrangements now in place.
TPHA 7.	Response	Business Continuity Management.	Failure to discharge responsibilities as a Category 1 Responder under the Civil Contingencies Act 2004. Failure to maintain continuity of service due to disruption events. For example loss of key Authority staff [industrial action], failure of utilities, communications, premises, ICT or fuel supply.	-Risk to Public Health; -Litigation; -Public Enquiries; -Inquests; -Reputation;	E	2	M	Maintain Business Continuity Plans and arrangements; Undertake periodically a Business Continuity Business Impact Assessment and design Action Plan; Implement Action Plans; Annually review Business Continuity arrangements.	E	2	M	NO CHANGE TO SCORE Business Continuity Plans are in place and are reviewed annually in November as part of the host Council's arrangements. Training an exercising has been undertaken and is scheduled as part of the emergency preparedness arrangements.
TPHA 8.	Operational Fitness.	Operational Policies and Procedures.	Failure to be operationally fit for purpose in complying with specified legislation. For example: -Freedom of Information and Data Protection; -Human Rights; -Equalities; -Employment Law; -Health & Safety.	-Breach of legislation; -Litigation; -Special measures being put in place by external regulators; -Reputation.	E	3	L	Maintain compliance via all relevant policies and procedures of the host Council; Training of appropriate officers by host Council in their adopted policies and procedures; Link Constitution of the Authority to the host Council policies and procedures.	E	3	L	NO CHANGE TO SCORE All control measures now in place.

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TPHA 9.	Operational Fitness.	Discharge of Statutory Functions.	Failure to discharge responsibilities as a Port Health Authority under domestic Public Health and International Health Regulations.	-Risk to Public Health; -Breach of legislation; -Litigation; -Public Enquiries; -Inquests; -Special measures being put in place by external regulators; -Reputation.	D	2	M	Qualified Environmental Health Officers and Technical Officers possessing necessary competencies to enforce the designated legislation; Critical mass of staff available to the Authority; Adherence to legislative principles including statutory Codes of Practice and guidance. Full consideration and appropriate decision-making in relation to available non-statutory guidance; Performance Management arrangements on a team and individual basis; Appropriate operational management systems in place.	E	2	M	CHANGE IN SCORE: E2 TO D2 All control measures now in place. Increase in score from E2 to D2 to reflect to the potential change in the structure of the host Council's wider Environmental Health service and resources available (as outlined in risk TPHA2 above).
TPHA 10	Operational Fitness.	Responding to legislative change	Failure to appropriately prepare and implement changes to duties imposed by new legislation.	-Risk to Public Health; -Breach of legislation; -Litigation; -Public Enquiries; -Inquests; -Special measures being put in place by external regulators; -Reputation.	F	2	L	Authority representation at Northern Ports Liason Group meetings. Regular monitoring of legislative progress through Parliament Training of officers in advance of legislation coming into effect Updating of Authority procedures to reflect any legislative changes including updating officer authorisations	F	2	L	NO CHANGE TO SCORE Appropriate 'horizon scanning' arrangements are in place and potential impacts of change are closely monitored. The Health Protection (Ships & Aircraft) Regulations were due to come into force in April 2015 but this has been delayed and no new commencement date has been set. Proposed new EU regulation of Food Official Controls are expected in 2016.