



TYNE PORT HEALTH AUTHORITY

Corporate Risk Register

Prepared By: Colin MacDonald, Clerk to the Authority,
Frances McClen, Chief Port Health Officer

Date Update Completed: 19 September 2016

Approved By: Joint Board (approval pending)

Date: To be presented on 4 October 2016

Revision No.: 5

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	NO CHANGE TO SCORE All control measures are in place. A staffing restructure has taken place during the year following the departure of experienced officers. The new arrangements are working well however the risk score remains the same to reflect that their new arrangements are bedding-in.

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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 The External Audit opinion for 2015/16 has been received highlighting no matters that give cause for concern. However an issues arising report was issued advising the Authority of some procedural matters that require attention. These matters have been addressed and will be rectified as part of the audit submission for 2016/17. All control measures are in place and the score remains the same.
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	NO CHANGE TO SCORE The Authority and its officers continue to be represented on the host Council's internal Emergency Response Leadership Group (ERLG). The Clerk represents both the host Council and the Authority on the Northumbria Local Resilience Forum (LRF) Executive. Officers continue to be 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. All controls are in place. However more work needs to be done in terms of training and exercising specific to the port. A Rabies Plan exercise has been requested via the LRF and it is anticipated that this will take place during 2017. Emergency Response Activation arrangements are currently being reviewed and any changes identified will be addressed.
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 and exercising takes place as part of the arrangements in place with the host Council.
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 are 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	<p>Qualified Environmental Health Officers and Technical Officers possessing necessary competencies to enforce the designated legislation;</p> <p>Critical mass of staff available to the Authority;</p> <p>Adherence to legislative principles including statutory Codes of Practice and guidance. Full consideration and appropriate decision-making in relation to available non-statutory guidance;</p> <p>Performance Management arrangements on a team and individual basis;</p> <p>Appropriate operational management systems in place.</p>	E	2	M	<p>NO CHANGE TO SCORE</p> <p>All control measures are in place.</p> <p>The host Council's Environmental Health Service has restructured during the year (as outlined in risk TPHA2 above). The new arrangements are working well and the risk score remains the same until the new arrangements bed-in.</p>
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	<p>Authority representation at Northern Ports Liason Group meetings.</p> <p>Regular monitoring of legislative progress through Parliament</p> <p>Training of officers in advance of legislation coming into effect</p> <p>Updating of Authority procedures to reflect any legislative changes including updating officer authorisations</p>	F	2	L	<p>NO CHANGE TO SCORE</p> <p>Appropriate 'horizon scanning' arrangements are in place and potential impacts of change are closely monitored. The impact of the Brexit vote in May remains uncertain however is being closely monitored.</p> <p>The FSA have implemented a 5 year strategic plan 2015-2020 that will change how official food controls are delivered. The plan is at an early stage and the affect this will have on the delivery of port health official controls are yet to emerge.</p> <p>The requirements of the new Food Information Regulations 2014 are being phased in. Allergen requirements were introduced in Dec 2014 and mandatory nutritional labelling for pre-packed food will be introduced in Dec 2016.</p>