

Appendix 1 - Tor Bay Harbour Authority Risk Register 2015/16

Customer Focused											Current Risk Score				Control Owners	Risk Owner	Accountable Body
Risk No	Spar Code	Scorecard Objective	Risk Title	Risk Description, Threat: What could happen to affect this, Cause: How could it happen	Probability and Proximity Description (How likely is it to happen? When is it likely to happen?)	Impact description, what could the impact be?	Control measures (SPAR Projects & PI's)	Probability Score	Impact Score	Risk Score	Risk Rating. 1-4=L 6-9=M 12-16=H						
1	HMS RR 01	1. Encourage local prosperity	Encourage Local Prosperity	If we fail to capitalise on Torbay's maritime setting or implement a robust sustainable maritime industry - Then we will not have the revenue to support the local maritime economy or regenerate our built infrastructure - So this may have a negative impact on tourism revenues, loss of maritime services and damage to our reputation.	Unlikely	Reduced number of maritime events. Significant medium term impact on tourism. Loss of reputation - bad PR. Reduced economic benefit. Poorer built environment. No new infrastructure. Missed investment opportunities. Lower fish toll income. Inability for the harbour account to service prudential borrowing. Premises unsafe/unusable for extended period. Loss of reputation.	1. Produce a schedule of Maritime Events (Jan 2015). 2. Maintain an Oil Spill Response and Contingency Plan (OPRC) and undertake an oil pollution response exercise - ensure we have suitable trained staff to respond. 3. Provide visitor moorings and maintain a competitive charging regime (Annually). 4. Maximise the benefits from the new Brixham Fish Market - Monitor the fish tolls income and the impact of the Common Fisheries Policy (Monthly). 5. Maintain a Harbour Authority Business Plan and Business Continuity Plan (March 2015). 6. To keep existing businesses and attract new activities (Ongoing). 7. Explore marketing opportunities (Ongoing). 8. Maintain a Tor Bay Harbour - Port Masterplan (Ongoing).	2	3	6	M	Kevin Mowat Dave Bartlett Simon Pinder Nick Burns	Executive Head of Business Services	Harbour Committee			
2	HMS RR 02	2. To engage with the community and harbour users	To engage with the community and harbour stakeholders	If we fail to consult and engage appropriately with all relevant harbour users, groups and stakeholders - Then we will be unable to provide accountable and transparent management of the Tor Bay Harbour Authority - So we may be accused of failing to accurately meet the needs of our customers and stakeholders resulting in a loss of revenue streams and damage to our reputation.	Unlikely	The services provided do not reflect the needs of customers. Wrong activity is delivered, weak outcomes not wanted by partners. Loss of reputation.	1.To hold meetings with harbour users and other stakeholders (Quarterly). 2.Use established user groups and Community Partnerships to consult on specific issues (Ongoing). 3.To continue to work with relevant voluntary and community organisations (Ongoing). 4.To support and engage with the local Coastal Partnership - SeaTorbay (Quarterly). 5.Undertake an Annual Users Survey (Feb to May 2015). 6. Monitor the Visitor Feedback forms (Quarterly).	2	3	6	M	Kevin Mowat Dave Bartlett Simon Pinder Nick Burns	Executive Head of Business Services	Harbour Committee			
3	HMS RR 03	3. To maintain a stewardship of the harbour's built and natural environment	To maintain a stewardship of the harbour's built and natural environment	If we fail to implement a sustainable approach to harbour management in respect to present and future climatic, environmental and economic changes - Then we will be unable to increase public awareness of the maritime environment as a valuable social and economic asset - So the impact of harbour activities may degrade the natural environment resulting in possible prosecution, loss of revenues and damage to our reputation.	Unlikely	Possible environmental, economic and social damage. Unprepared for sea level rise. Potential for serious damage to our infrastructure which would impede our ability to meet budget and may also have capital implications. Insufficient staff to fulfil obligations. Public misunderstanding of the significance of the Bay and Tor Bay Harbour. Loss of reputation. Requirement to reduce or cease commercial fishing in designated areas. Loss of jobs and reduced fish toll income. Increased waste costs if not properly managed. Risk of corporate prosecution. Ineffective strategic direction based on an incomplete understanding of the direction being taken by the Harbour Authority. Inability for the Harbour Committee and Council to respond effectively to change and maximise opportunities. Poor coherence between the Port Master Plan, marine planning and terrestrial planning. Loss of reputation.	1.Work closely with the Environment Agency and make reference to the Shoreline Management Plan when taking key decisions. 2.Support and engage with the local Coastal Partnership - SeaTorbay (Quarterly). 3.Assist in the collection of spatial mapping data. 4.To replace chain moorings with pontoon berths in Torquay's inner harbour. (April 2015) 5.Maintain competitive charging regime. (Annually) 6.Review harbour charges and maintain strong rental streams. (Annually) 7.Maintain a specific Environmental Policy. (Biennial) 8.Contribute to the delivery of the Coastal Zone Management Plan. (Sept 2015) 9.Improve corporate management of environmental risks & the harbour's environmental performance. 10. Influence decision making over the management measures of the new SAC in Torbay. 11. Maintain a Tor Bay Harbour - Port Masterplan (Ongoing). 12. Influence decision making over the management measures within the Marine Conservation Zones. (Nov 2015) 13. Improve passenger landing facilities at Torquay & Brixham (Ongoing). 14. Investigate renewable energy projects for use on the harbour estate (Sept 2015).	2	3	6	M	Kevin Mowat	Executive Head of Business Services	Harbour Committee			

Monetary Focused

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4	HMS RR 04	4. To achieve financial strength and effectively manage the Harbour Authority's assets	Effectively manage the Harbour Authority's assets	If we fail to effectively manage all of the Harbour Authority's financial and built assets - Then we may fail to secure competitive rental stream revenue and our built infrastructure will deteriorate - this may leave us with unsafe infrastructure, failing to meet government guidelines on best practice, forced cessation of some discretionary services and damage to our reputation.	Likely	Ineffective strategic direction, cessation of business activities, loss of staff, loss of revenue, damage to reputation and failing to meet best practice guidelines. Inability for the harbour account to service prudential borrowing. Premises unsafe/unusable for extended period.	1. Produce an Asset Management Plan for the Harbour Authority. (March 2015) 2. Monitor and maximise harbour estate lettings occupancy (Quarterly). 3. Monitor variation on budgeted income and budgeted expenditure. (Quarterly) 4. To keep existing business and attract new activities (Ongoing). 5. Implement the safety management improvement plan. (Nov 2015) 6. Maintain a Harbour Emergency Response Plan and Business Continuity Plan (Ongoing). 7. Financial Regulations and audit controls. 8. Review harbour charges and maintain strong rental streams. (Annually) 9. Maintain competitive charging regime (Annually). 10. To produce and review a Risk Register for the Harbour Authority. (Sept 2015) 11. Maintain a Harbour Authority Audit Plan. (June 2015) 12. To keep existing businesses and attract new activities (Ongoing). 13. Explore marketing opportunities (Ongoing).	3	3	9	M	Nick Burns Kevin Mowat Dave Bartlett Simon Pinder	Executive Head of Business Services	Harbour Committee

Processed Focused

Risk No	Spar Code	Scorecard Objective	Risk Title	Risk Description, Threat: What could happen to affect this, Cause: How could it happen	Probability and Proximity Description (How likely is it to happen? When is it likely to happen?)	Impact description, what could the impact be?	Control measures (SPAR Projects & PIs)	Current Risk Score				Control Owner	Risk Owner	Accountable Body
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5	HMS RR 05	5. Effective risk management and health and safety in place	Effective risk management and health and safety	If we do not have a robust culture for managing our risks, our projects, as well as our information governance and operational Health and Safety - Then we may suffer failings in the overall management of the Harbour Authority - So this may result in injury to stakeholders, loss of revenue, lost information, legal action and damage to our reputation.	Unlikely	Insufficient staff to fulfil obligations. Staff health & safety compromised. Legal action against the Council. Weak project governance leading to poor delivery & inadequate control measures. Projects run late and/or over budget. Outcomes not achieved. Information or financial loss. Time wasted looking for information. Risk of not meeting FOI/customer requests correctly. Loss of reputation.	1.Help provide appropriate sea and flood defences. 2.Reduce the number of reportable accidents (RIDDOR). 3.Test and review a Business Continuity Plan. 4.Review harbour charges and maintain strong rental streams (Annually). 5.Ensure staff are properly trained (Ongoing). 6.Employ properly trained Project Managers. 7.Monitor project performance using SPAR.net (Quarterly). 8.Data Protection Act - staff given necessary training. 9.Customer database kept updated and backed-up to Council's server. 10.Document and file retention schedule drawn up and observed (Ongoing). 11.Commercial shredding contractor used for document disposal (Ongoing). 12. Implement the safety management improvement plan (Nov 2015).	2	4	8	M	Nick Burns Kevin Mowat Dave Bartlett Simon Pinder	Executive Head of Business Services	Harbour Committee
6	HMS RR 06	6. Ensuring equality and diversity in service delivery - together with equality of opportunity	Ensure quality and diversity of service delivery and provision	If we fail to provide a service that ensures equality and diversity - Then we may unknowingly discriminate against staff and/or stakeholders - So this may result in legal action, insufficient staff levels, drop in service delivery and damage to our reputation.	Very Unlikely	Discrimination, legal effects. Insufficient staff to fulfil obligations. Legal action against the Council. Loss of reputation.	1.Complete equality impact assessments and produce an improvement action plan (Annually).	1	2	2	L	Simon Pinder	Executive Head of Business Services	Harbour Committee
7	HMS RR 07	7. Improve and maintain the customer experience	Maintain or improve the customer experience	If we do not provide a high quality harbour service that accurately meets the needs of our customers - Then we will not be providing a professional and equitable service - So this may result in loss of demand for harbour services, loss of revenue streams and damage to our reputation.	Unlikely	Insufficient staff to fulfil obligations, facilities provided at a loss, income stream lost, unfair allocation of harbour facilities, legal action against the authority, high level of complaints and damage to our reputation.	1.Review visitor feedback forms and Annual Harbour Users Survey. 2.Review harbour charges and maintain strong rental streams (Annually). 3.Complete equality impact assessments and produce an improvement action plan (Annually). 4.Maintain competitive charging regime (Annually). 5.Withdraw or do not supply certain discretionary facilities. 6.Retain membership of appropriate Trade and Professional Associations (British Ports Association, UK Harbour Masters Association) (Annually). 7. Maintain a Tor Bay Harbour - Port Masterplan (Ongoing). 8.Keep and review the Harbour Operational Moorings Policy (March 2015). 9. Maintain an up to date Harbour Authority website (Ongoing).	2	2	4	L	Nick Burns Kevin Mowat Dave Bartlett Simon Pinder	Executive Head of Business Services	Harbour Committee
8	HMS RR 08	8. Maintain safety	Maintain safety	If we fail to fulfil our obligation to provide a competent Harbour Authority, by not enforcing all applicable statutes, byelaws and legislation - Then we will not be providing a safe haven for vessels or a safe Harbour estate for users and visitors - So we may fail to accurately respond to legislative changes resulting in a financial penalty and we may face deterioration of our built infrastructure, a major emergency and severe damage to our reputation.	Unlikely	Statutory duty may not be met. Safety may be prejudiced. Government intervention. Stakeholder dissatisfaction. Insufficient staff to fulfil obligations. Legal action against the Council. Harbour cannot achieve objectives in context of government policy. Premises unsafe/unusable for extended period. Cessation of business activities. Loss of reputation.	1.Renew the bilateral agreement with the UKHO (Annually). 2.Audit & Inspection from Trinity House (Annually). 3.PANAR - Navigation Lights availability (Quarterly). 4.Implement the safety management improvement plan (Nov 2015). 5.Maintain a Harbour Emergency Response Plan and Business Continuity Plan. 6.External contract for the provision of pilotage services. 7.Membership of appropriate Trade and Professional Associations (British Ports Association, British Marine Federation, UK Harbour Masters Association & Port Skills and Safety) (Annually). 8.Review harbour charges and maintain strong rental streams (Annually). 9.Periodic review of Harbour legislation (2015). 10. Review and improve the Safety Management System software (Dec 2015). 11. Issue local Notices to Mariners and enforce Harbour Byelaws (Ongoing).	2	4	8	M	Nick Burns Kevin Mowat Dave Bartlett Simon Pinder	Executive Head of Business Services	Harbour Committee

Employee Focused

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9	HMS RR 09	9. Effective workforce planning	Effective workforce planning	If we lack effective workforce planning - Then we may fail to offer appropriate learning and development to all staff - So this may lead to insufficient staff to fulfill obligations, incompetent staff, deterioration of safety standards which has the potential to lead to personal injury and damage to our reputation.	Likely	Insufficient staff to fulfil obligations. Legal action against the Council. Incompetent staff, deterioration of safety standards. Failure to update skills could lead to a poor service. Unsettled staff. Loss of productivity. Personnel leaving. Insufficient budget to meet the cost of an appropriate grading structure. Staff redundancies or reduced working hours. Loss of reputation.	1.To encourage Harbour Masters to fully complete CPD records (Ongoing). 2.To monitor and support staff through induction and appraisal reviews (Annually). 3.To reduce staff absence (Monthly). 4.Review harbour charges and maintain strong rental streams (Annually). 5.Take professional advice from Human Resources (Ongoing). 6.Liaise with staff on a regular basis and ensure that information is promulgated (Daily). 7.Membership of appropriate Trade and Professional Associations (British Ports Association, British Marine Federation, UK Harbour Masters Association & Port Skills and Safety) (Annually).	3	2	4	L	Nick Burns Kevin Mowat Dave Bartlett Simon Pinder	Executive Head of Business Services	Harbour Committee