

Appendix 1 - Tor Bay Harbour Authority Risk Register 2012/13

Customer 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 & Pf's)	Current Risk Score				Control Owners	Risk Owner	Accountable Body
								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 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. 4. Maximise the benefits from the new Brixham Fish Market - Monitor the fish tolls income and the impact of the Common Fisheries Policy. 5. Maintain a Harbour Business Continuity Plan 6. To keep existing businesses and attract new activities. 7. Explore marketing opportunities.	2	3	6	M	Adam FitzPatrick Kevin Mowat Paul Labistour Dave Bartlett John Turner	Executive Head of Tor Bay Harbour Authority	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.	Possible	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 quarterly meetings with harbour users and stakeholders. 2. Use established user groups and Community Partnerships to consult on specific issues. 3. To continue to work with relevant voluntary and community organisations. 4. To support and engage with the local Coastal Partnership - SeaTorbay. 5. Undertake an Annual Users Survey. Monitor the Visitor Feedback forms.	2	3	6	M	Kevin Mowat Paul Labistour John Turner	Executive Head of Tor Bay Harbour Authority	Harbour Committee
3	HMS RR 03	3. To maintain a stewardship of the harbours built and natural environment	To maintain a stewardship of the harbours 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.	Possible/ Likely	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. 3. Assist in the collection of spatial mapping data. 4. To replace chain moorings with pontoon berths in Torquay's inner harbour. 5. Maintain competitive charging regime. 6. Review harbour charges annually and maintain strong rental streams. 7. Maintain a specific and strong Environmental Policy. 8. Produce an Environmental Management Plan. 9. Improve corporate management of environmental risks and the harbour's overall environmental performance. 10. Identify internal and/or external funding to resource the delivery of a Coastal Zone Management Plan. 11. Achieve a high status for the Port Master Plan i.e. adopted as a supplementary planning document under the Local Development Framework. 12. Observe management measures for the Special Area of Conservation (SAC)	2	3	6	M	Kevin Mowat Paul Labistour	Executive Head of Tor Bay Harbour Authority	Harbour Committee

Monetary 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
								Probability Score	Impact Score	Risk Score	Risk Rating. 1-4=L 6-9=M 12-16=H			
4	HMS RR 04	4. To achieve financial strength and effectively manage the Harbour Authorities 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 - So this So 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.	Possible	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. 2. Harbour Estate lettings occupancy rate. 3. Target 0% variance from budget. 4. To keep existing business and attract new activities. 5. Implement the safety management improvement plan. 6. Maintain a Harbour Emergency Response Plan and Business Continuity Plan. 7. Financial Regulations and audit controls. 8. Review harbour charges annually and maintain strong rental streams. 9. Maintain competitive charging regime. 10. To produce and review a Risk Register for the Harbour Authority. 11. Maintain a Harbour Authority Audit Plan. 12. To keep existing businesses and attract new activities. 13. Explore marketing opportunities.	2	3	6	M	Adam FitzPatrick Kevin Mowat Paul Labistour Dave Bartlett John Turner	Executive Head of Tor Bay Harbour Authority	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 & P's)	Current Risk Score				Control Owner	Risk Owner	Accountable Body
								Probability Score	Impact Score	Risk Score	Risk Rating. 1-4=L 6-9=M 12-16=H			
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 annually and maintain strong rental streams. 5.Ensure staff are properly trained to Prince2. 6.Employ properly trained Project Managers. 7.Monitor project performance using SPAR.net. 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. 11.Commercial shredding contractor used for document disposal.	2	4	8	M	Adam FitzPatrick Kevin Mowat Paul Labistour Dave Bartlett John Turner	Executive Head of Tor Bay Harbour Authority	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.	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.	1	2	2	L	John Turner	Executive Head of Tor Bay Harbour Authority	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 annually and maintain strong rental streams. 3.Complete equality impact assessments and produce an improvement action plan. 4.Maintain competitive charging regime. 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). 7.Hold, maintain and review our Harbour & Maritime Strategy. 8.Keep and review the Harbour Operational Moorings Policy.	2	2	4	L	Adam FitzPatrick Kevin Mowat Paul Labistour Dave Bartlett John Turner	Executive Head of Tor Bay Harbour Authority	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. 2.Annual Audit & Inspection from Trinity House. 3.PANAR - Navigation Lights availability. 4.Implement the safety management improvement plan. 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, UK Harbour Masters Association & Port Skills and Safety). 8.Review harbour charges annually and maintain strong rental streams. 9.Periodic review of Harbour legislation.	2	4	8	M	Adam FitzPatrick Kevin Mowat Paul Labistour Dave Bartlett John Turner	Executive Head of Tor Bay Harbour Authority	Harbour Committee

Employee 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 & Pl's)	Current Risk Score				Control Owner	Risk Owner	Accountable Body
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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 fulfil obligations, incompetent staff, deterioration of safety standards which has the potential to lead to personal injury and damage to our reputation.	Possible	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. 2.To monitor and support staff through induction and appraisal reviews. 3.To reduce staff absence. 4.Review harbour charges annually and maintain strong rental streams. 5.Take professional advice from Human Resources. 6.Liaise with staff on a regular basis and ensure that information is promulgated. 7.Membership of appropriate Trade and Professional Associations (British Ports Association, UK Harbour Masters Association & Port Skills and Safety).	2	2	4	L	Adam FitzPatrick Kevin Mowat Paul Labistour Dave Bartlett John Turner	Executive Head of Tor Bay Harbour Authority	Harbour Committee

Score	Probability	Description
4	Very Likely	Has occurred in the organisation in recent months OR It is almost certain that it will occur at some time in the future
3	Likely	Has occurred in the organisation in recent years OR There is a strong probability that it will occur at some time in the future
2	Unlikely	Has occurred in the organisation in the past OR There is a possibility it will occur at some time in the future
1	Very Unlikely	Has not occurred in the organisation before OR Will only occur in exceptional circumstances

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Impact Scoring Guidance - Risks					
Impact Level	Financial	Reputational	Human Welfare	Organisational	Natural & Built Environment
<b>4 - Catastrophic</b> (Crisis with potential to lead to severe disruption)	Loss of 50% or more of budget or funding	<ul style="list-style-type: none"> <li>Negative national and local media attention for over 6 months</li> <li>Possible change to the Senior Management Team</li> <li>Government intervention and investigation</li> <li>Outrage amongst the local community</li> </ul>	<ul style="list-style-type: none"> <li>Over 1000 people negatively affected</li> <li>Multiple fatalities, disabilities or long-term hospitalisation of 10 or more people</li> </ul>	<ul style="list-style-type: none"> <li>Interruption lasts over 6 months</li> <li>Negatively affects entire commission and multiple business units</li> <li>Major impact on strategic objectives</li> <li>Challenge to accounts</li> <li>Ombudsman investigation</li> <li>Legal claims and/or proceedings brought by multiple individuals, groups and/or organisations</li> </ul>	<ul style="list-style-type: none"> <li>Negative effects last over 1 year</li> <li>Widespread damage to human infrastructure</li> <li>Widespread pollution and damage to the natural environment</li> <li>Multiple wards affected</li> </ul>
<b>3 - Major</b> (Critical Event)	Loss of between 25 and 50% of budget or funding	<ul style="list-style-type: none"> <li>Negative local media coverage for up to 6 months</li> <li>Potential for ombudsman investigation</li> <li>Serious damage to organisation's reputation</li> </ul>	<ul style="list-style-type: none"> <li>100 – 1000 people negatively affected</li> <li>1 fatality or short term hospitalisation and rehabilitation of up to 10 people</li> </ul>	<ul style="list-style-type: none"> <li>Service delivery interrupted for between 1 and 6 months</li> <li>Negatively affects multiple business units</li> <li>Major impact on business unit objectives</li> <li>Possible challenge by Ombudsman</li> <li>Potential for legal proceedings and large claims for multiple individuals/groups</li> </ul>	<ul style="list-style-type: none"> <li>Negative effects last between 6 months and 1 year</li> <li>Significant damage to human infrastructure</li> <li>Significant pollution and damage to natural environment</li> <li>Single ward affected</li> </ul>
<b>2 - Moderate</b> (Event requires a moderate level of resource and input)	Loss of between 10 and 25% of budget or funding	<ul style="list-style-type: none"> <li>Negative local media coverage for up to 1 month</li> <li>Generates a small number of complaints</li> <li>Local community aware of statutory prosecution of a non-serious nature</li> </ul>	<ul style="list-style-type: none"> <li>10 – 100 people negatively affected</li> <li>Severe injury to several individuals</li> </ul>	<ul style="list-style-type: none"> <li>Service delivery interrupted for between 1 week and 1 month</li> <li>Negatively affects 1 business unit</li> <li>Potential for claims from several individuals</li> </ul>	<ul style="list-style-type: none"> <li>Negative effects last up to 1 month</li> <li>Minor damage to human infrastructure</li> <li>Minor pollution and damage to the natural environment</li> </ul>
<b>1 - Minor</b> (effect minimal)	Loss of up to 10% of budget or funding	<ul style="list-style-type: none"> <li>Negative local media coverage for less than 1 week</li> <li>Complaint from single individual or small group</li> </ul>	<ul style="list-style-type: none"> <li>1 – 10 people negatively affected</li> <li>Very minor injury or discomfort to an individual</li> </ul>	<ul style="list-style-type: none"> <li>Service delivery interrupted for up to 1 week</li> <li>Potential to negatively affect multiple service areas</li> <li>Very low possibility of litigation</li> </ul>	<ul style="list-style-type: none"> <li>Negative effects last up to 1 week</li> <li>Single building or pieces of infrastructure negatively affected</li> <li>Limited negative effect on natural environment and/or human infrastructure</li> </ul>

Impact Scoring Guidance - Risks

Impact Scoring Guidance – Opportunities					
Impact Level	Financial	Reputational	Human Welfare	Organisational	Natural & Built Environment
<b>4 - Triumph</b>	Gain of 50% or more of budget or funding	<ul style="list-style-type: none"> <li>Positive national and local media attention for over 6 months</li> <li>Possible national commendation for a member of the Senior Management Team</li> <li>National award or recognition of elevated status by national government</li> </ul>	<ul style="list-style-type: none"> <li>Improved safety and welfare of over 1000 people</li> <li>Major improvements in welfare, health and safety of multiple people, groups and organisations</li> </ul>	<ul style="list-style-type: none"> <li>Positive effects last over 6 months</li> <li>Positively affects service delivery in entire commission and multiple business units</li> <li>Excellent performance against corporate / community plan priorities</li> <li>Potential for national award for excellence</li> <li>Increase in funding streams due to service innovation and/or excellence</li> </ul>	<ul style="list-style-type: none"> <li>Positive effects last over 1 year and is adapted into further improvements</li> <li>Widespread positive change to natural environment</li> <li>Widespread positive change to human infrastructure</li> <li>Multiple wards affected</li> </ul>
<b>3 - Major</b>	Gain of between 25 and 50% of budget or funding	<ul style="list-style-type: none"> <li>Positive local media coverage for up to 6 months</li> <li>Potential for promotion of employee</li> <li>Serious boost to organisation's reputation</li> </ul>	<ul style="list-style-type: none"> <li>Improved safety and welfare of up to 1000 people</li> <li>Improved welfare and safety of multiple groups and/or organisations</li> </ul>	<ul style="list-style-type: none"> <li>Noticeable improvement in service delivery for between 1 and 6 months</li> <li>Positively affects service delivery in multiple business units</li> <li>Major step towards achieving priority in corporate / community plan</li> <li>Potential for regional award or recognition for excellence</li> <li>Potential for increased regional funding due to service innovation and/or excellence</li> </ul>	<ul style="list-style-type: none"> <li>Positive effects last between 6 months and 1 year and can be easily capitalised upon</li> <li>Significant positive change to natural environment</li> <li>Significant positive change to human infrastructure</li> <li>Single ward affected</li> </ul>
<b>2 - Moderate</b> (Event requires a moderate level of resource and input)	Gain of between 10 and 25% of budget or funding	<ul style="list-style-type: none"> <li>Positive local media coverage for up to 1 month</li> <li>Generates a small number of local compliments</li> <li>Local community aware of a minor improvement in service delivery</li> </ul>	<ul style="list-style-type: none"> <li>10 – 1000 people positively affected</li> <li>Improved safety and welfare of up to 100 people and/or some small groups /organisations</li> </ul>	<ul style="list-style-type: none"> <li>Noticeable improvement in service delivery for up to 1 month</li> <li>Potential for service area to be recommended for a professional excellence award</li> <li>Move towards achieving an objective on time and within budget</li> </ul>	<ul style="list-style-type: none"> <li>Positive effects last up to 1 month</li> <li>Minor positive change to natural environment</li> <li>Minor positive change to human infrastructure</li> </ul>
<b>1 - Minor</b> (effect minimal)	Gain of up to 10% of budget or funding	<ul style="list-style-type: none"> <li>Positive local media coverage lasts less than 1 week</li> <li>Compliment on service from single individual or small group</li> </ul>	<ul style="list-style-type: none"> <li>Improved safety and welfare to an individual</li> <li>1 – 10 people positively affected</li> </ul>	<ul style="list-style-type: none"> <li>Potential for an individual being recommended for a professional acknowledgement of excellence</li> </ul>	<ul style="list-style-type: none"> <li>Positive effects last up to 1 week</li> <li>Limited positive effect on natural environment and/or human infrastructure</li> </ul>

Impact Scoring Guidance – Opportunities

