

Committee(s)	Dated:
Port Health and Environmental Services Committee	20 September 2016
Subject: Department of Markets and Consumer Protection – Port Health and Environmental Services Committee Risk	Public
Report of: Director of Markets and Consumer Protection	For Information
Report author: John Smith, Department of Markets and Consumer Protection	

Summary

This report has been produced to provide the Port Health and Environmental Services Committee with assurance that risk management procedures in place within the Department of Markets and Consumer Protection are satisfactory and that they meet the requirements of the corporate Risk Management Framework.

Risk is reviewed regularly by the departmental Senior Management Team as part of the on-going management of operations within the Department of Markets and Consumer Protection. In addition to the flexibility for emerging risks to be raised as they are identified, a process exists for in-depth periodic review of the risk register.

The Department of Markets and Consumer Protection have identified a number of departmental risks. Of these, the most significant risks are for this Committee to consider are:

- CR21 – Air Quality (Current Risk: RED)
- MCP-HA 001 – Traffic Management (Current Risk: AMBER)
- MCP-HA 002 – Repair Delays (Current Risk: AMBER)
- MCP-HA 003 – IS Systems Failure (Current Risk: AMBER)
- MCP-HA 004 – Venomous or toxic species (Current Risk: AMBER)
- MCP-HA 007 – Loss support for bespoke database (Current Risk: AMBER)
- MCP-HA 010 – Zoonotic disease outbreak (Current Risk: AMBER)
- MCP-HA 013 – Legislative changes (Current Risk: AMBER)
- MCP-HA 014 – Failure of safety mechanism (Current Risk: AMBER)
- MCP-PH 001 – Loss of IT facilities for more than 24 hours (Current Risk: AMBER)
- MCP-PH 002 – Loss of trade (Current Risk: AMBER)
- MCP-PH 003 – Non-compliance in respect of fee recovery (Current Risk: AMBER)
- MCP-PH 004 – Service launch unavailable (Current Risk: AMBER)
- MCP-PH 005 – Insufficient workspace (Current Risk: AMBER)
- MCP-PH 006 – Inadequate staff numbers (Current Risk: AMBER)
- MCP-PH 007 – No access to workplace (Current Risk: AMBER)

Recommendation(s)

Members are asked to:

- Note the report and the actions taken in the Department of Markets and Consumer Protection to monitor and manage effectively risks arising from our operations.

Main Report

Background

1. The Risk Management Framework of the City of London Corporation requires each Chief Officer to report regularly to Committee the key risks faced in their department. Audit and Risk Management Committee has requested that such risks should be reported at a Committee level.

Current Position

2. This report provides an update of the key risks that exist in relation to the operations of the Department of Markets and Consumer Protection. The report also outlines the processes adopted for the on-going review of risk and mitigating actions.

Risk Management Process

3. The Department of Markets and Consumer Protection risk management is a standing agenda item at the monthly Departmental Senior Management Group (SMG) meeting, over and above the suggested quarterly review. SMG receives the risk register for review, together with a briefing note highlighting any changes since the previous review. Consideration is also given as to whether any emerging risks exist for inclusion in the risk register as part of Divisional updates on key issues from each of the Assistant Directors and Superintendents, ensuring that adequate consideration is given to operational risk.
4. Between each SMG meeting, risk and control owners are consulted regarding the risks for which they are responsible, with updates captured accordingly.
5. Regular risk management update reports are provided to this Committee in accordance with the City's Risk Management Framework.

Identification of New Risks

6. New and emerging risks are identified through a number of channels, the main being:
 - Directly by SMG as part of the monthly review process.
 - In response to regular review of delivery of the departmental Business Plan; slippage against key deliverables, for example.
 - Annual, fundamental, risk register review, undertaken by the tier of management below SMG.

The risk register may be refreshed over and above the stated process for review and oversight, in response to emerging issues or changing circumstances.

Summary of Key Risks

7. The Department of Markets and Consumer Protection's risk Register for Port Health and Environmental Services, attached as Appendix 1 to this report, includes One RED risk which is also a Corporate Risk and Nine AMBER risks:

CR21 – Air Quality (Current Risk: RED)

Small particulate pollution has chronic health impacts from long term exposure at very low concentrations and is in evidence within the City and central London. There is also a health impact associated with long term and short term exposure to nitrogen dioxide. Under certain atmospheric conditions there is a higher probability of poor air quality within the City and it is more likely that residents, workers and visitors would suffer the acute consequences.

The consequences both acute and chronic may include:

An increase in hospital referrals placed upon both emergency services and the NHS for those already suffering from respiratory or cardiovascular conditions (it may also place a strain on City social services).

An increase in deaths, particularly of those already suffering from respiratory or cardiovascular conditions (both residents and workers).

Economic costs such as acting as a deterrent of businesses coming to London or staying and financial penalties for non-compliance with air quality limits.

Persistent poor air quality may affect the longer term health of the City population.

MCP-HA 001 – Traffic Management (Current Risk: AMBER)

The car parking area at HARC is used by staff and visitors as well as through traffic which includes Heavy Goods Vehicles. The area is also used for unloading by forklift truck.

There is a real risk of injury or death of a pedestrian if vehicle movements in this constrained space are not appropriately managed and controlled.

If this risk were realised it could result in serious injury or fatality; prosecution, a fine, reputational damage for the City. It could also have an adverse impact on the operation and sustainability of the service.

MCP-HA 002 – Repair Delays (Current Risk: AMBER)

The Heathrow Animal Reception Centre has experienced significant delays to maintenance and/or repair of equipment and facilities due to be carried out under the corporate repair and maintenance contract.

This has resulted and will result in future operational difficulties, including security risks where security doors are left inoperable leading to the risk of closure of the facility by the enforcing authorities leading to reputational damage and financial loss to the City.

MCP-HA 003 – IS Systems Failure (Current Risk: AMBER)

There is a lack of robustness of Information Technology systems at the Heathrow Animal Reception Centre.

A technical failure of these systems leading to the loss of computer network facilities and telephones for a period in excess of 24 hours would have an adverse effect on customer service and income generation. This would also result in a risk to animal welfare where HARC cannot be notified of airside incidents.

If realised, this risk would have a reputational as well as a financial impact on the City of London.

MCP-HA 004 – Venomous or toxic species (Current Risk: AMBER)

Arrival of unknown venomous/toxic species through BIP could result in the envenomation or poisoning of a staff member or visitor leading to serious illness or death.

If this risk were realised it could result in prosecution, a fine and serious reputational damage for the City.

MCP-HA 007 – Loss support for bespoke database (Current Risk: AMBER)

Loss of IS support for ARC Ledger bespoke database could result in loss of data, recording and reporting, and invoicing capability.

Realisation of this risk could result in reputational damage due to compromised service delivery and loss of income.

MCP-HA 010 – Zoonotic disease outbreak (Current Risk: AMBER)

Outbreak of zoonotic disease within Greater London/South East could result in a restriction of animal movements and possible closure of Border Inspection Post to some species.

If this risk were realised it could result in a loss of income if BIP closed

MCP-HA 013 – Legislative changes (Current Risk: AMBER)

Legislative change on current 100% checks of EU pet movements could result in reduced or no requirement to check EU pets entering UK.

Realisation of this risk would result in a loss of income.

MCP-HA 014 – Failure of safety mechanism (Current Risk: AMBER)

Failure of scissor lift safety mechanism during handling of heavy consignments in the Large Animal Border Inspection Post could result in Injury.

If this risk were to be realised it could result in prosecution, a fine and reputational risk to the City.

MCP-PH 001 – Loss of IT facilities for more than 24 hours (Current Risk: AMBER)

Loss of IT facilities and telephones for more than 24 hours at Tilbury and London Gateway BIP/Offices.

If this risk were to be realised it could result in compensation claims from importers and/or the Port Operator, loss of trade, loss of confidence and reputational damage.

MCP-PH 002 – Loss of trade (Current Risk: AMBER)

Increase of fees resulting in trade moving to other more competitive ports.

This risk, if realised, could result in loss of income from charges, compensation claims from Port Operators for loss of trade and reputational damage.

MCP-PH 003 – Non-compliance in respect of fee recovery (Current Risk: AMBER)

Failure to meet legal obligations for fee recovery leading to a lack of funding and compromising service delivery.

This risk, if realised, could result in the service being compromised triggering stakeholder complaints, compensation claims and reputational damage.

MCP-PH 004 – Service launch unavailable (Current Risk: AMBER)

One or both launches being out of service affecting the performance of both statutory and non- statutory duties.

This risk, if realised, could result in the service being compromised triggering stakeholder complaints, compensation claims and reputational damage.

MCP-PH 005 – Insufficient workspace (Current Risk: AMBER)

Current workspace becomes too small for the volume of future operations.

This risk, if realised, could result in compensation claims resulting from delays in processing and releasing consignments, diversion of trade to other ports possibly causing financial loss and reputational damage.

MCP-PH 006 – Inadequate staff numbers (Current Risk: AMBER)

Inadequate staff numbers to cope with an increase in trade caused by a lengthy recruitment process and lack of suitable applicants. Brexit may also have an impact on recruiting and retaining European staff.

This risk, if realised, could result in compensation claims resulting from delays in processing and releasing consignments, diversion of trade to other ports possibly causing financial loss and reputational damage.

MCP-PH 007 – No access to workplace (Current Risk: AMBER)

Staff unable to access the Tilbury and/or London Gateway sites for more than 24 hours.

This risk, if realised, could result in compensation claims resulting from delays in processing and releasing consignments, diversion of trade to other ports possibly causing financial loss and reputational damage.

Conclusion

8. Members are asked to note that risk management processes within the Department of Markets and Consumer Protection adhere to the requirements of the City Corporation's Risk Management Framework. Risks identified within the operational and strategic responsibilities of the Department of Markets and Consumer Protection are proactively managed.

Appendices

- Appendix A – Port Health and Environmental Services Risk Register Summary
- Appendix B – Risk Matrix

Background Papers

Department Business Plan
Department Risk Review
Department Business Plan Progress Report
Risk Management Strategy

MCP PH&PP Committee Risk Report Appendix A

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Code	CR21	Title	Air Quality
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Description	<p>Cause: Small particulate pollution has chronic health impacts from long term exposure at very low concentrations and is in evidence within the City and central London. There is also a health impact associated with long term and short term exposure to nitrogen dioxide.</p> <p>Event: Under certain atmospheric conditions there is a higher probability of poor air quality within the City and it is more likely that residents, workers and visitors would suffer the acute consequences.</p> <p>Effect: The consequences both acute and chronic may include: An increase in hospital referrals placed upon both emergency services and the NHS for those already suffering from respiratory or cardiovascular conditions (it may also place a strain on City social services). An increase in deaths, particularly of those already suffering from respiratory or cardiovascular conditions (both residents and workers). Economic costs such as acting as a deterrent of businesses coming to London or staying and financial penalties for non-compliance with air quality limits. Persistent poor air quality may affect the longer term health of the City population. Persistent poor air quality may attract adverse media coverage making the City seem a less attractive place to live and work.</p>
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Category	Environmental	Approach	Reduce (By appropriate remedial action)
Risk Level	Corporate	Risk Owner	Jon Avern

Strategic Aim	SA2	Key Policy Priority	KPP3
Department	Department of Markets and Consumer Protection	Committee	Port Health & Environmental Services Committee

Current Risk Assessment, Score & Trend Comparison	<p>Likelihood</p> <p>Impact</p> <p>16 ↔ No change</p>
Likelihood	Likely
Impact	Major

Target Risk Assessment & Score	<p>Likelihood</p> <p>Impact</p> <p>6</p>
Likelihood	Possible
Impact	Serious

Risk Score	16
Review Date	17-Aug-2016

Risk Score	6
Target Date	31-Dec-2020

Latest Note	This risk continues to be regularly reviewed in line with all statutory obligations imposed by the Environment Act 1995.
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Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
CR21 001a	Implement policies	Implement the policies contained in the City of London Air Quality Strategy 2015-2020. The strategy contains 10 policy areas with 60 specific actions. An annual report will be produced demonstrating progress with each action.	Jon Averns	31-Aug-2016	40%	Work has commenced on implementing a Low Emission Neighbourhood in the City. progress on actions can be viewed in the annual status report at www.cityoflondon.gov.uk/air
CR21 001b	Review Air Quality	Review and assess air quality in line with statutory obligations of the Environment Act 1995. Submit all relevant statutory reports. Approval of all reports by Defra and the GLA will demonstrate compliance with statutory obligations.	Jon Averns	31-Aug-2016	100%	The report was submitted on time
CR21 001c	Become an Exemplar Borough	Ensure the City Corporation becomes a Mayor of London Exemplar Borough for air quality.	Jon Averns	29-Dec-2017	25%	the City is taking all relevant action required by the GLA to become an exemplar borough but the scheme hasn't been officially launched yet
CR21 001d	Develop communications strategy.	Develop and implement a robust communications strategy to ensure people have sufficient information to reduce their exposure on days of 'high' air pollution.	Jon Averns	30-Sep-2016	30%	The strategy is being drafted as of June 2016

CR21 001e	Develop plan	Develop and implement a plan for reducing the impact of diesel vehicles on air pollution in the Square Mile. This is to complement the work being undertaken by the Mayor of London to reduce air pollution in the central zone through the implementation of the Ultra Low Emission Zone.	Jon Avern	31-Dec-2018	20%	Work has commenced in a Low Emission neighbourhood scheme which will result in a reduction in the number of diesel vehicles in the City
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Code	MCP-HA 001	Title	Traffic Management
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Description	<p>Cause: The car parking area is used by staff and visitors as well as through traffic which includes Heavy Goods Vehicles. The area is also used for unloading by forklift truck.</p> <p>Event: There is a real risk of injury or death of a pedestrian if vehicle movements in this constrained space are not appropriately managed and controlled.</p> <p>Effect: Serious injury or fatality; prosecution, a fine, reputational damage for the City. Adverse impact on the operation and sustainability of the service.</p>
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Category	Health and Safety
Risk Level	Departmental

Approach	Reduce (By appropriate remedial action)
Risk Owner	Robert Quest

Strategic Aim	SA3
Department	Department of Markets and Consumer Protection

Key Policy Priority	KPP5
Committee	Port Health & Environmental Services Committee

Current Risk Assessment, Score & Trend Comparison	
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Target Risk Assessment & Score	
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Likelihood	Unlikely
Impact	Major
Risk Score	8
Review Date	10-Jul-2016

Likelihood	Unlikely
Impact	Major
Risk Score	8
Target Date	31-Dec-2015

Latest Note	RISK IS STILL MANAGED ACCORDINGLY
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Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
MCP-HA 001a	Maintain Training	Maintain all current training activity for counterbalance truck users.	Robert Quest	31-Dec-2015	100%	New forklift training now in place. Several staff have already received refresher training.
MCP-HA 001b	Maintain Professional Staff Numbers	Ensure Vehicle & Grounds Attendant post remains filled and that a minimum of 4 other staff are also trained in banksman skills.	Robert Quest	11-Sep-2015	100%	Now have 11 trained banksman

Code	MCP-HA 002
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Title	Repair Delays
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Description	<p>Cause: The Heathrow Animal Reception Centre has experienced significant delays to maintenance and/or repair of equipment and facilities due to be carried out under the corporate repair and maintenance contract.</p> <p>Event: This has resulted and will result in future operational difficulties, including security risks where security doors are left inoperable.</p> <p>Effect: The risk of closure of the facility by the enforcing authorities leading to reputational damage and financial loss to the City.</p>
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Category	Legal
Risk Level	Departmental

Approach	Reduce (By appropriate remedial action)
Risk Owner	Robert Quest

Strategic Aim	SA3
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Key Policy Priority	KPP5
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Department	Department of Markets and Consumer Protection
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Committee	Port Health & Environmental Services Committee
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Current Risk Assessment, Score & Trend Comparison	<p>12 ↔ No change</p>
Likelihood	Possible
Impact	Major
Risk Score	12
Review Date	18-Jul-2016

Target Risk Assessment & Score	<p>2</p>
Likelihood	Unlikely
Impact	Minor
Risk Score	2
Target Date	30-Dec-2016

Latest Note	There have been no significant repair delays since the last assesmnt
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Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
MCP-HA 002a	Address Needs With Property Services	Meetings between HARC and Property Services to address ongoing maintenance needs.	Robert Quest	30-Jul-2016	0%	<p>There have been some serious issues with delays in property maintenance recently, namely the bird wing electrics and the vehicle bay doors. The issues with the bird wing not only resulted in lengthy waiting times ,which had an operational knock on effect, but the poor state of the work resulted in a near miss being reported</p> <p>Spare parts for the doors are now kept on site to speed up repairs but the confirmation on the approved contractor is till outstanding. Small issues</p>

						however have been rectified hastily
MCP-HA 002b	Raise Performance Issues	Maintenance issues/loss of facilities/resource planning concerns/unsatisfactory performance targets raised with C.O.	Tristan Bradfield; Robert Quest	01-Sep-2016	50%	Roofing completed except damage caused by contractor, which needs repairing. Generator electrical mapping due to be done on Sunday 5th June

Code	MCP-HA 003	Title	IS Systems Failure
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Description	<p>Cause: A lack of robustness of Information Technology systems at the Heathrow Animal Reception Centre.</p> <p>Event: Technical failure of Information Technology systems leading to the loss of computer network facilities and telephones for a period in excess of 24 hours.</p> <p>Effect: Disruption to service, damage to reputation, temporary loss of income. Possible threat to animal welfare where HARC cannot be notified of airside incidents.</p>
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Category	Economic
Risk Level	Departmental

Approach	Reduce (By appropriate remedial action)
Risk Owner	Robert Quest

Strategic Aim	SA3
Department	Department of Markets and Consumer Protection

Key Policy Priority	KPP5
Committee	Port Health & Environmental Services Committee

Current Risk Assessment, Score & Trend Comparison	<p>12 ↔ No change</p>
Likelihood	Possible
Impact	Major
Risk Score	12

Target Risk Assessment & Score	<p>1</p>
Likelihood	Rare
Impact	Minor
Risk Score	1

Review Date	18-Jul-2016	Target Date	30-Dec-2016
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Latest Note	Some on-site IS upgrades are currently being carried out. This has caused the intermittent loss of some services
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Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
MCP-HA 003a	Meet with Agilysis.	Meet with Agilysis to determine possibility of 24hr IS support.	Robert Quest	30-Jul-2016	80%	Restricted out of hours support is available. New telephone system is currently being installed

Code	MCP-HA 004	Title	Venomous or toxic species
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Description	<p>Cause: Arrival of unknown venomous/toxic species through BIP.</p> <p>Event: Envenomation or poisoning of staff or visitor leading to serious illness or death.</p> <p>Effect: Serious injury or fatality; prosecution, a fine, reputational damage for the City. Adverse impact on the operation and sustainability of the service.</p>
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Category	Health and Safety
Risk Level	Departmental

Approach	Accept (the costs of mitigation out weigh the benefits)
Risk Owner	Robert Quest

Strategic Aim	SA3
Department	Department of Markets and Consumer Protection

Key Policy Priority	KPP4
Committee	Port Health & Environmental Services Committee

Current Risk Assessment, Score & Trend Comparison	<p>8 ↔ No change</p>
Likelihood	Rare

Target Risk Assessment & Score	<p>8</p>
Likelihood	Rare

Impact	Extreme
Risk Score	8
Review Date	18-Jul-2016

Impact	Extreme
Risk Score	8
Target Date	30-Dec-2016

Latest Note	Some clarification from local NHS service is still required. Good health and safety practice is recognised by all as very important.
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Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
MCP-HA 004a	Update Envenomation procedure	Update Envenomation procedure with local hospital.	Robert Quest	30-Jul-2016	80%	Some clarification from local NHS service is still required. Trained staff work in pairs when dealing with dangerous species and countersigned notes are kept to ensure security of housed animals

Code	MCP-HA 007	Title	Loss support for bespoke database.
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Description	<p>Cause: Loss of IS support for ARC Ledger bespoke database.</p> <p>Event: Loss of data, recording and reporting, and invoicing capability.</p> <p>Impact: Reputational damage due to compromised service delivery. Temporary loss of income.</p>
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Category	Reputation
Risk Level	Service

Approach	Reduce (By appropriate remedial action)
Risk Owner	Robert Quest

Strategic Aim	SA3
Department	Department of Markets and Consumer Protection

Key Policy Priority	KPP4
Committee	Port Health & Environmental Services Committee

Current Risk Assessment, Score & Trend Comparison	 Likelihood Possible Unlikely Rare Impact Minor Moderate Serious 6 ↔ No change
Likelihood	Possible
Impact	Serious
Risk Score	6
Review Date	18-Jul-2016

Target Risk Assessment & Score	 Likelihood Possible Unlikely Rare Impact Minor Moderate Serious 1
Likelihood	Rare
Impact	Minor
Risk Score	1
Target Date	30-Dec-2016

Latest Note	There are upgrades being made to the hardware at the HARC
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Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
MCP-HA 007a	Establish system.	Establish system for pre-approval of pets paperwork.	Robert Quest	01-Oct-2015	100%	Currently in trial.
MCP-HA 007b	Liaise with APHA.	Liaise with APHA regarding any imminent airline approvals.	Robert Quest	01-Aug-2016	50%	Good ad-hoc communication between HARC and AHPA ensures both reactive and proactive issues are resolved accordingly
MCP-HA 007c	Scoping of new database	Opportunity Outline drafted by Richard Reilly, for scoping of new database.	Robert Quest	31-Aug-2015	100%	Scope complete

Code	MCP-HA 010	Title	Zoonotic disease outbreak.
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Description	<p>Cause: Outbreak of zoonotic disease within Greater London/South East.</p> <p>Event: Restriction of animal movements, possible closure of Border Inspection Post to some species.</p> <p>Impact: Loss of income if BIP closed, cost of resourcing response to zoonoses outbreak, damage to reputation if at fault or poor response.</p>
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Category	Reputation
Risk Level	Service

Approach	Accept (the costs of mitigation out weigh the benefits)
Risk Owner	Robert Quest

Strategic Aim	SA3
Department	Department of Markets and Consumer Protection

Key Policy Priority	KPP4
Committee	Port Health & Environmental Services Committee

Current Risk Assessment, Score & Trend Comparison	
Likelihood	Rare
Impact	Extreme
Risk Score	8
Review Date	18-Jul-2016

Target Risk Assessment & Score	
Likelihood	Rare
Impact	Extreme
Risk Score	8
Target Date	30-Dec-2016

Latest Note	no change
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Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note

Code	MCP-HA 013	Title	Legislative changes.
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Description	Cause: Legislative change on current 100% checks of EU pet movements. Event: Reduced/no requirement to check EU pets entering UK. Impact: Loss of income, increased risk of introduction of rabies.		
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Category	Financial
Risk Level	Service

Approach	Accept (the costs of mitigation out weigh the benefits)
Risk Owner	Robert Quest

Strategic Aim	SA3
Department	Department of Markets and Consumer Protection

Key Policy Priority	KPP4
Committee	Port Health & Environmental Services Committee

Current Risk Assessment, Score & Trend Comparison	
Likelihood	Possible
Impact	Serious
Risk Score	6
Review Date	06-Jun-2016

Target Risk Assessment & Score	
Likelihood	Possible
Impact	Serious
Risk Score	6
Target Date	30-Dec-2016

Latest Note	No current changes
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Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note

Code	MCP-HA 014	Title	Failure of safety mechanism.
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Description	<p>Cause: Handling of heavy consignments in the Large Animal Border Inspection Post, handling of large animals, failure of scissor lift safety mechanism.</p> <p>Event: Injury caused by failed safety mechanism on scissor lift, or kicking/trampling by horses and other large animals.</p> <p>Impact: Serious injury of staff, APHA staff or consignment attendant.</p>
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Category	Health and Safety
Risk Level	Service

Approach	Accept (the costs of mitigation out weigh the benefits)
Risk Owner	Robert Quest

Strategic Aim	SA3
Department	Department of Markets and Consumer Protection

Key Policy Priority	KPP4
Committee	Port Health & Environmental Services Committee

Current Risk Assessment, Score & Trend Comparison	
Likelihood	Unlikely
Impact	Major
Risk Score	8
Review Date	18-Jul-2016

Target Risk Assessment & Score	
Likelihood	Unlikely
Impact	Major
Risk Score	8
Target Date	30-Dec-2016

Latest Note	No current issues. All staff working in that area ensure authorised visitors wear appropriate PPE and that risk assessments are adhered too
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Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note

Code	MCP-PH 001	Title	Loss of IT facilities/telephones for more than 24 hours
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Description	<p>Cause: Loss of IT facilities/telephones for more than 24 hours at Tilbury & London Gateway BIP/Office, Denton, leading to an inability to perform functions and properly record actions specifically at Tilbury and Gateway including delays in clearance, disruption of trade, missing deadlines for returns. Unable to communicate with stakeholders</p> <p>Event: Electrical failure, Hardware failure, Loss of part of system Inadequate number of user access points for CNS and Destin8 systems.</p> <p>Effect: Stakeholders' complaints. Compensation claims from importers, port operator, loss of trade. Loss of confidence, reputational damage.</p>		
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Category	Reputation	Approach	Reduce (By appropriate remedial action)
Risk Level	Service	Risk Owner	Gavin Stedman

Strategic Aim	SA3	Key Policy Priority	KPP2
Department	Department of Markets and Consumer Protection	Committee	Port Health & Environmental Services Committee

Current Risk Assessment, Score & Trend Comparison		12	↔	No change
Likelihood	Possible			
Impact	Major			
Risk Score	12			
Review Date	24-Jun-2016			

Target Risk Assessment & Score		8
Likelihood	Unlikely	
Impact	Major	
Risk Score	8	
Target Date	31-Dec-2016	

Latest Note	<p>Back up via COL IS. Alternative methods of gaining access to systems in place by laptop through VPN system. Limited Wifi connection through Manorway Office. Wifi installed at the BCP LG & printers at all locations can be used as fax devices. Manual system hold and release done by fax to Port Operator and agents. Hard copies of manifests requested of shipping lines. Payment of the CNS and Destin8 invoices in a timely manner. Purchased 5 Mi-Fi units to enable laptop connection.</p>
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Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
MCP-PH 001a	Install independent web connection	The installation of sufficient independent Internet capability at Manorway and Tilbury, IS to advise on compatibility and capacity	Gavin Stedman	01-Jul-2016	0%	

Code	MCP-PH 002	Title	Loss of trade
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Description	<p>Cause: Increase of fees resulting in trade moving to other more competitive ports.</p> <p>Event: Large increase in rates valuation by Thurrock Council. Large increase in lease costs of buildings. Lack of investment in new technology to maintain efficiency and reduce costs.</p> <p>Effect: Salary and redundancy liability of excess staff. Loss of income from charges. Claims of compensation from port operators for loss of trade and reputational damage.</p>
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Category	Financial
Risk Level	Service

Approach	Reduce (By appropriate remedial action)
Risk Owner	Gavin Stedman

Strategic Aim	SA2
Department	Department of Markets and Consumer Protection

Key Policy Priority	KPP2
Committee	Port Health & Environmental Services Committee

Current Risk Assessment, Score & Trend Comparison	
Likelihood	Possible
Impact	Serious
Risk Score	6

Target Risk Assessment & Score	
Likelihood	Unlikely
Impact	Serious
Risk Score	4

Review Date	24-Jun-2016	Target Date	31-Dec-2016
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Latest Note	Introduction of WiFi in inspection and seal checking areas and use of tablets to allow remote working. Identify and make funds available for emergency investment with the aim of full recovery cost progressively.
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Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
MCP-PH 002a	Provide mobile solution	Work with IS to provide Wi-Fi and tablets. Identify funds with finance.	Gavin Stedman	01-Oct-2016	0%	
MCP-PH 002b	Appeal Rate Review	Appeal rate review: Consultant rating analyst hired to look at merits of a possible appeal.	Gavin Stedman	31-Dec-2016	0%	
MCP-PH 002c	Negotiate Charge	Letter from Thamesport port operator confirming vacancy of the office since 2015. Letter will be used to negotiate the charge with Medway Council.	Gavin Stedman	01-Apr-2017	0%	

Code	MCP-PH 003	Title	Non-compliance in respect of fee recovery.
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Description	<p>Cause: Failing to meet legal obligations for fee recovery. Lack of funding, compromising service delivery.</p> <p>Event: Lack of adequate Financial Management, Importers becoming insolvent and unable to pay debt.</p> <p>Effect: Non-compliance for not recovering fees where applicable Service compromised triggering stakeholders complaints, compensations, reputational damage.</p>
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Category	Reputation	Approach	Reduce (By appropriate remedial action)
Risk Level	Service	Risk Owner	Gavin Stedman

Strategic Aim	SA2	Key Policy Priority	KPP2
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Department	Department of Markets and Consumer Protection
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Committee	Port Health & Environmental Services Committee
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Current Risk Assessment, Score & Trend Comparison	<p>12 ↔ No change</p>
Likelihood	Possible
Impact	Major
Risk Score	12
Review Date	24-Jun-2016

Target Risk Assessment & Score	<p>4</p>
Likelihood	Unlikely
Impact	Serious
Risk Score	4
Target Date	31-Dec-2016

Latest Note	Monthly aged debt analysis. Finance policy for new agents to set up Direct Debit. Recovery of funds using court action if necessary by Finance Department
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Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
MCP-PH 003a	Set Debt limit	Explore with Finance setting aged debt limit	Gavin Stedman	01-Oct-2016	0%	
MCP-PH 003b	Set up CRYSTAL report	-- enter action details here --		01-Mar-2017	0%	
MCP-PH 003c	Agree Reconciliation system	To agree with Finance a system to reconcile the CRYSTAL report with the invoices raised.	Gavin Stedman	01-Oct-2016	0%	

Code	MCP-PH 004	Title	Service launch unavailable
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Description	<p>Cause: Unavailability of one or both launches affecting the performance of the statutory duties and non- statutory duties. For 1 week Over 1 month. Launches unable to be kept in the river.</p> <p>Event: Mechanical breakdown of launch and engine and equipment Damage to launch from terrorism, vandalism or accident Failing to renew the existing leases for Charlton and Denton, and losing the mooring points or failing to provide with suitable alternatives.</p> <p>Effect: Reputational damage due to non- compliance with statutory duties and non-statutory duties. Compensations, claims from stakeholders.</p>
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Category	Reputation
Risk Level	Service

Approach	Reduce (By appropriate remedial action)
Risk Owner	Gavin Stedman

Strategic Aim	SA3
Department	Department of Markets and Consumer Protection

Key Policy Priority	KPP3
Committee	Port Health & Environmental Services Committee

Current Risk Assessment, Score & Trend Comparison	
Likelihood	Possible
Impact	Serious
Risk Score	6
Review Date	15-Jul-2016

Target Risk Assessment & Score	
Likelihood	Rare
Impact	Serious
Risk Score	2
Target Date	31-Dec-2016

Latest Note	Annual servicing, daily checks, regular maintenance and inspection by MCA. Security cameras monitor vessel and moored offshore. Two to three years life left on the leases.
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Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
MCP-PH	Set up replacement fund	Discuss with finance how to set	Gavin Stedman	01-Dec-2016	0%	

004a		up a replacement fund, and explore with the Chamberlains department contributions towards a maintenance and replacement fund.				
MCP-PH 004b	Produce report	Produce a report on the effects on statutory duties at 1 week and 1 month, type of vessel required for each duty, whether statutory or ceremonial and possible alternatives to LPHA vessel.	Gavin Stedman	01-Dec-2016	0%	
MCP-PH 004c	Find suitable moorings	With support from the City Surveyor set up meetings with existing landlords for exploring the renewal of the building leases. Or alternatively explore other suitable landlords (PLA or other commercial operators on the river).	Gavin Stedman	01-Dec-2016	0%	

Code	MCP-PH 005	Title	Insufficient workspace
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Description	<p>Cause: Building becomes too small for the volume of operations required. River section staff in need of office space.</p> <p>Event: Trade / throughput increase or workload increase. Berth 3 at LG opening 08/2016. Denton office lease coming to an end.</p> <p>Effect: Compensation claims from: delay in processing and releasing consignments, diversion of trade to other ports possibly causing financial and reputational damage.</p>
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Category	Reputation	Approach	Reduce (By appropriate remedial action)
Risk Level	Service	Risk Owner	Gavin Stedman

Strategic Aim	SA3	Key Policy Priority	KPP3
Department	Department of Markets and Consumer Protection	Committee	Port Health & Environmental Services Committee

Current Risk Assessment, Score & Trend Comparison	<p>12 ↔ No change</p>	Target Risk Assessment & Score	<p>8</p>
Likelihood	Possible	Likelihood	Unlikely
Impact	Major	Impact	Major
Risk Score	12	Risk Score	8
Review Date	25-Aug-2016	Target Date	31-Dec-2016

Latest Note	Having reviewed this risk, and taken into account recent developments. This risk is now reduced.
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Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
MCP-PH	Draft Business case	Provide business case details to	Gavin Stedman	01-Sep-2016	0%	

005a		Surveyor's Department to enable them to produce a committee report recommending use of the rest of the second floor space at Manorway House.				
MCP-PH 005b	Extend current accommodation	Work with the City Surveyor's and IS Department to prepare the extended Manorway office accommodation.	Gavin Stedman	01-Sep-2016	0%	

Code	MCP-PH 006	Title	Inadequate staff numbers
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Description	<p>Cause: Inadequate staff numbers.</p> <p>Event: Sudden sustained increase in trade. Sudden sustained increase in workload. Lengthy recruitment process. Lack of suitable applicants to vacancies. Brexit implication for recruiting and retaining staff</p> <p>Effect: Compensation claims from: delay in processing consignments, diversion of trade to other ports possibly causing financial and reputational damage</p>
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Category	Reputation
Risk Level	Service

Approach	Reduce (By appropriate remedial action)
Risk Owner	Gavin Stedman

Strategic Aim	SA2
Department	Department of Markets and Consumer Protection

Key Policy Priority	KPP2
Committee	Port Health & Environmental Services Committee

Current Risk Assessment, Score & Trend Comparison	
Likelihood	Likely

Target Risk Assessment & Score	
Likelihood	Possible

Impact	Serious
Risk Score	8
Review Date	25-Aug-2016

Impact	Serious
Risk Score	6
Target Date	31-Dec-2016

Latest Note	Liaise with port owners to anticipate large increases in demand requiring staff increases. Training of PHO s in degree programme.
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Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
MCP-PH 006a	Consult HR	Contact HR	Gavin Stedman	01-Oct-2016	0%	
MCP-PH 006b	Contact major seaports	Contact other major seaports re staffing. Maintain contact with ex-employee OVSs and contractors outside CoL.	Gavin Stedman	01-Feb-2017	0%	
MCP-PH 006c	Develop scheme	Develop a Career Progression Scheme and Development Plan together with HR for staff to train and enable progression between grades.	Gavin Stedman	01-Apr-2017	0%	

Code	MCP-PH 007
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Title	No access to workplace
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Description	<p>Cause: Staff unable to access- Tilbury/ London Gateway sites for more than 24 hours.</p> <p>Event: Building not fit for use or access denied or cease of use (closure of Tilbury office and centralisation to Manorway). Problems with roads or traffic,</p> <p>Effect: Compensation claims from: delay in processing consignments, diversion of trade to other ports possibly causing financial and reputational damage if prolonged.</p>
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Category	Reputation
Risk Level	Service

Approach	Reduce (By appropriate remedial action)
Risk Owner	Gavin Stedman

Strategic Aim	SA2
Department	Department of Markets and Consumer Protection

Key Policy Priority	KPP2
Committee	Port Health & Environmental Services Committee

Current Risk Assessment, Score & Trend Comparison	
Likelihood	Unlikely
Impact	Major
Risk Score	8
Review Date	25-Aug-2016

Target Risk Assessment & Score	
Likelihood	Rare
Impact	Major
Risk Score	4
Target Date	01-Nov-2016

Latest Note	
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Actions related to this risk:

Ref No:	Title	Action Description	Action Owner	Due Date	Progress	Latest Note
MCP-PH 007a	Produce report	Port Health and Launch Service to produce a report to consider, and put in place a plan, for the use of the launch to transport officers from south of the river to north of the river.	Gavin Stedman	01-Nov-2016	0%	

