

**Tyne Port Health Authority  
Report to the Joint Board  
Date: Tuesday 6 October 2015**

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**Subject: Annual Review of Corporate Risk Register**

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**PART 1**

**1.1 Purpose**

The purpose of this report is to present the updated corporate risk register for the Authority as part of the annual review process. The assessment of corporate risk is a statutory obligation under the Accounts and Audit Regulations 2015.

**1.2 Recommendation**

It is recommended that the Joint Board:

- a) Note the requirements of the Accounts and Audit Regulations 2015 and their application to the Tyne Port Health Authority as a “smaller relevant body”; and
- b) Approve the updated corporate risk register for the Tyne Port Health Authority as attached in **Appendix 1** to this report.

**2.0 Information**

The Tyne Port Health Authority is a relevant authority under the Accounts and Audit Regulations 2015 by virtue of the Local Audit and Accountability Act 2014 for the purposes of auditing of accounts.

Under the regulations a relevant authority must ensure that it has a sound system of internal control which facilitates the effective exercise of its functions. This includes ensuring that has in place effective arrangements for the management of risk. To this end the Annual Governance Statement of the annual return against the regulations asks the Authority to respond to the statement:

“We have carried out an assessment of the risks facing the body and taken appropriate steps to manage those risks, including the introduction of internal controls and/or external insurance cover when required.”

Guidance, previously issued by the Audit Commission, states that during external audits it would look for evidence that the Joint Board had considered risk management and that it had sought regular assurance regarding internal controls.

The Authority has a corporate risk register in place and it is formally considered by the Joint Board at its October meeting each year to coincide with the outcome of the external audit opinion. This, in addition to the normal practices associated with prudent risk management, provides the Authority with the opportunity to ensure that any matters arising from the external audit can be managed in terms of risk.

The following is a summary of the key changes have been made to the corporate risk register:

Risk TPHA2 – Strategically discharging statutory functions: The score has been increased from E2 to D2 (although retained as a Medium Risk) to reflect risk to the retention of suitably competent officers. The host Council is currently considering Voluntary Redundancy applications from officers in Environmental Health that contribute to the Tyne Port Health Authority. The host Council are aware of the requirements of the Authority. However the risk has been increased to acknowledge the pending situation.

Risk TPHA3 – Compliance with the Audit and Accounts requirements: The drafting of this risk has been updated to reflect the new legislative regime. Following Government's abolition of the Audit Commission a new Act and associated regulations now covers the Authority. There is no material change to the legislative and audit requirements for the Authority and it remains compliant. The risk score remains the same.

Risk TPHA6 – Emergency Preparedness: The score has been reduced to its target score to reflect the extent of the arrangements now in place.

Risk TPHA9 – Operationally discharging statutory functions: Increase in score from E2 to D2 to reflect to the potential change in the structure of the host Council's wider Environmental Health service and resources available (as outlined in risk TPHA2 above).

The updated corporate risk register is attached as **Appendix 1**.

### **3.0 Decision Options**

The options available to the Joint Board are:

#### Option 1

To agree the recommendations as set out in Part 1.2 to this report.

#### Option 2

Not to agree to the recommendations as set out in Part 1.2 to this report.

Option 1 is the recommended option.

### **4.0 Appendices:**

Appendix 1 – Updated risk assessment of the Tyne Port Health Authority

Appendix 2 – Risk Score Card for the Tyne Port Health Authority

### **5.0 Contact Officers:**

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Trevor Greener, Deputy Chief Port Health Officer – Tel 0191 643 6646

Janice Gillespie, Responsible Financial Officer to the Authority – Tel 0191 643 5701

Victoria T Soulsby, Senior Risk Advisor (Internal Audit), North Tyneside Council – Tel 0191 643 5871

### **6.0 Background Information:**

The following background papers have been used in the compilation of this report and are available for inspection at the offices of the author of the report:

Tyne Port Health Authority Order 2010

Local Audit and Accountability Act 2014

The Accounts and Audit Regulations 2015

Code of Audit Practice, National Audit Office April 2015

Governance and Accountability for Local Councils, A Practitioners' Guide (England) 2014, JPAG

## **PART 2 – COMPLIANCE WITH PRINCIPLES OF DECISION MAKING**

### **1.0 Finance and Other Resources:**

There are no direct financial implications relating to this report.

### **2.0 Legal**

There are no direct financial implications relating to this report.

Consideration of this report and decision-making on this issue will allow the Tyne Port Health Authority to comply with the requirements of the Accounts and Audit Regulations 2015.