

# 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

**Reporting Officer and  
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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 formal 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 authority”; 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 classified as a smaller 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 smaller authority must ensure that it has a sound system of internal control which facilitates the effective exercise of its functions. This includes ensuring that it 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.”*

National Audit Office guidance 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.

No changes have been made to risk scores within the corporate risk register, however a summary of the key updates that have been made are detailed below.

Risk TPHA2 – Strategically discharging statutory functions: The score was increased from E2 to D2 (although retained as a Medium Risk) in October 2015 to reflect risk to the retention of suitably competent officers. Following review the risk score has remained the same to reflect that the new officer structure, although working well, is bedding in.

Risk TPHA3 – Compliance with the Audit and Accounts requirements: The score has remained unchanged and reflects that the issues raised by the external auditor in August 2016 have been addressed and did not affect the audit opinion.

Risk TPHA6 – Emergency Preparedness: The score was reduced to its target score in October 2015 to reflect the extent of the arrangements now in place. These arrangements are working well. Emergency Response Activation arrangements are currently being reviewed and a specific port-based training exercise is being planned for 2017.

Risk TPHA10 – Responding to legislative change: The score remains at its target level. The Joint Board has been mindful of the impact of the Brexit vote on the Authority with details yet to emerge. Changes to official food controls are being monitored as outlined in the commentary against the risk.

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 corporate risk register 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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### **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.