

**Tyne Port Health Authority
Report to the Joint Board
Date: Tuesday 3 October 2017**

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 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: Following restructuring within the Authority over the last couple of years, this has now bedded in and on-going competency training of officers is continually reviewed by the Chief Port Health Officer.

Risk TPHA3 – Compliance with the Audit and Accounts requirements: The External Audit opinion for 2016/17 is awaited and this risk score will be reviewed once it has been received.

Risk TPHA6 – Emergency Preparedness: Officers continue to be involved in training and exercising undertaken via the host Council's arrangements. All controls are in place. A Rabies Plan exercise has been requested via the LRF and will take place in December 2017. A mass evacuation exercise involving a large passenger vessel is being planned for 2018 with Northumbria Police and the Port of Tyne being identified as key partners.

Risk TPHA9 – Discharge of Statutory Functions: The Authority has been selected for external audit of imported food not of animal origin by the Food Standards Agency (FSA). The competencies and procedures in place will therefore be externally reviewed. An internal review of procedures being currently being undertaken to ensure the Authority's fitness prior to being externally tested.

Risk TPHA10 – Responding to legislative change: The Authority is also working with the host Council to ensure its readiness to comply with the new General Data Protection Regulations 2016 which come into force on 1 May 2018. The impact of Brexit are being continually monitored.

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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Paul Sanderson-Read, Deputy Chief Port Health Officer – Tel 0191 643 6655

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.