

**TYNE PORT HEALTH AUTHORITY
MEETING OF THE JOINT BOARD**

**Tuesday 2 October 2018
AGENDA**

- 1. Apologies for Absence**
To receive apologies for absence from the meeting.

- 2. Declarations of Interest**
You are invited to declare any personal and/or prejudicial interests in matters appearing on the agenda, and the nature of that interest.

You are also requested to complete the Declarations of Interests card available at the meeting and return it to the Clerk to the Authority before leaving the meeting.

- 3. Minutes of the last meeting**
To confirm the minutes of the meeting held on 5 June 2018 and to consider any matters arising.

- 4. Annual Return for the year ended 31 March 2018**
To receive the completed Annual Return and the external auditor's certificate and opinion.

- 5. Operational Summary 1 May 2018 – 31 August 2018**
To receive the operational activity report for the period.

- 6. Annual Review of the Corporate Risk Register**
To receive the updated Corporate Risk Register for the Authority.

- 7. Any Other Business**

Agenda Item 3

Tyne Port Health Authority Minutes of the Annual Meeting of the Joint Board

At the meeting of the Joint Board of the Tyne Port Health Authority duly convened at 10am on Tuesday 5 June 2018 at 10am, Quadrant (East), The Silverlink North, Cobalt Business Park, North Tyneside at which a quorum of Members were present, that is to say:-

Present:

North Tyneside Council:	Councillor Brian Burdis Councillor Janet Hunter
South Tyneside Council:	Councillor F Cunningham Councillor K Stephenson Councillor A Walsh
Gateshead Council	Councillor W Dick

Officers in Attendance:

Frances McClen, Chief Port Health Officer
Kevin McDonald, Group Assurance Manager, North Tyneside Council
Richard Gray Senior Finance Officer, North Tyneside Council
Colin MacDonald, Clerk to the Authority
Samantha Jobson, South Tyneside Council
Rachael Kain, Public Health England

JB 01/06/2018 Election of Chairman

It was moved that Councillor B Burdis be re-elected to the office of Chair of the Joint Board and his appointment was unanimously agreed.

RESOLVED that Councillor B Burdis be, and is hereby elected, Chair of the Joint Board for the ensuing year and until a successor becomes entitled to act as chair.

JB 02/06/2018 Election of Vice- Chairman

It was moved that Councillor W Dick be re-elected as Vice Chair of the Joint Board and this was unanimously agreed.

RESOLVED that Councillor W Dick be, and is hereby elected, Vice Chair of the Joint Board for the ensuing year and until a successor becomes entitled to act as Vice Chair.

JB03/06/2018 Apologies For Absence

Apologies had been received from Councillor K Dodds from Gateshead Council and Councillors N Kemp, T Gordon and K McGuinness from Newcastle City Council and Councillor A Percy from North Tyneside Council.

JB04/06/2018 Declarations Of Interest

No declarations of interest were received.

JB05/06/2018 Appointments to the Joint Board for 2018/19

The Tyne Port Health Authority had been notified by each of the riparian authorities of their appointments to the Joint Board of the ensuing year.

These appointments were:

Members Appointed by Newcastle-upon-Tyne City Council

Members appointed: Cllr N Kemp, Cllr T Gordon and Cllr Kim McGuinness

Members Appointed by Gateshead Metropolitan Borough Council

Members appointed: Cllr K Dodds, Cllr W Dick and Cllr T Graham

Members Appointed by North Tyneside Metropolitan Borough Council

Members appointed: Cllr B Burdis, Cllr Janet Hunter and Cllr A Percy

Members Appointed by South Tyneside Metropolitan Borough Council

Members appointed: Cllr F Cunningham, Cllr K Stephenson and Cllr A Walsh.

RESOLVED that the appointments made by the specified riparian authorities to the Joint Board for the year 2018/19 be noted.

JB06/06/2018 Minutes of the Last Meeting

The minutes of previous meeting on Tuesday 6 February 2018 had been previously circulated. There were no matters arising and it was noted that all action points had been addressed.

RESOLVED that the minutes of 6 February 2018 be taken as read and confirmed.

JB07/06/2018 Appointments to the Joint Board for 2018/19

The Clerk presented the report that outlined appointments that are required to be made by the Authority for the year to ensure the proper discharge of its functions and for the Joint Board to make those appointments.

It was outlined that the Joint Board is responsible for the conduct of the Tyne Port Health Authority and is accountable for ensuring both that its business is conducted in accordance with the law and proper standards are maintained. In order to do this the Joint Board was advised to make a number of appointments to ensure the proper discharge of accountability and that these be revisited annually at the Annual Meeting.

No changes to existing appointments in existence were proposed.

RESOLVED that the following appointments be made for the year:

- a) To reappoint North Tyneside Council as Lead Authority;
- b) To reappoint Mr Colin MacDonald, Senior Manager, Technical & Regulatory Services from North Tyneside Council as Clerk to the Authority;
- c) To reappoint Mrs Frances McClen, Environmental Health Group Leader from North Tyneside Council as Chief Port Health Authority and delegate the powers conferred on the Authority by the legislation contained within the Schedule to the Tyne Port Health Authority Order 2010 and all other legislation that assigns statutory duties and powers to a port health authority and to make all necessary appointments of officers on behalf of the Authority;
- d) To reappoint Mrs Janice Gillespie, Head of Finance from North Tyneside Council as Responsible Financial Officer; and
- e) To reappoint Ms Allison Mitchell, Senior Manager Internal Audit and Risk Assurance from North Tyneside Council as Internal Auditor.

JB08/06/2018 Internal Audit Report for 2017/18

Kevin McDonald presented the report on behalf of the Internal Auditor for the Authority. Mr McDonald explained the internal controls that are subject of internal audit and highlighted the Internal Audit report that had been circulated.

The audit work performed found that:

- a) Objectives H and I were not applicable (as Tyne Port Health Authority does not have a separate bank account, or ownership of any fixed assets); and
- b) For all other control objectives as set out in the Annual Internal Audit Report 2017/18, these have been achieved throughout 2017/18 to a standard adequate to meet the needs of the body.

Mr McDonald advised that there was no negativity attached to the word 'adequate' that had been used since this was the proper term to describe the affairs of the body being in order.

RESOLVED that the Joint Board a). note that the Internal Audit Service of the lead Council to the Tyne Port Health Authority (North Tyneside Council), has undertaken sufficient testing to form an Internal Audit opinion on the control objectives set out in the Annual Internal Audit Report 2017/18 of the Smaller Authorities 'Annual Governance and Accountability Return 2017/18 Part 3'; b). note that the resulting conclusions reached, summarised in the Annual Internal Audit Report 2017/18 of the smaller Authorities 'Annual Governance and Accountability Return 2017/18 Part 3'; and c). agree the related Internal Audit Report, which sets out Internal Audit's findings and recommendations.

JB09/06/2018 Annual Governance Statement for 2017/18

The report was presented by the Clerk. It was explained that following an annual review of the effectiveness of its system of internal control the Authority must approve an annual governance statement. This statement was set out within the report.

Following the outcome of the internal audit report all of the statements of assurance have been answered 'Yes' and reflected that there were no internal or external qualification reports that the Authority was required to address.

RESOLVED that the annual governance statement covering the financial year 2017/18 relating to the Authority as attached in the report be noted and approved and submitted to the External Auditor.

JB10/06/2018 Annual Accounting Statements for 2017/18

The report was presented by Richard Gray on behalf of the Responsible Financial Officer. The completed accounting statements for 2017/18 were circulated with the report. Key variances against budget were highlighted.

It was highlighted that the Authority remained on track to maintain a balance held in reserve of £0.100m. It was also highlighted that there had been an under spend in Supplies and Services due to delay in acquiring hand held mobile tablets therefore no expenditure has been incurred.

It was highlighted that the Joint Board was required to provide electors with the opportunity to inspect the accounts and other documents for a period of 30 working days which must include the first 10 working days of July. Arrangements will be made to publish this Notice following approval of the accounting statements from the Joint Board.

RESOLVED that a). the accounting statements relating to the financial year 2017/18 for the Authority as attached to the report be noted; and b). the accounting statements relating to the financial year 2017/18 for the Authority as attached to the report be approved.

JB11/06/2018 Annual Review of the Constitution

The Clerk presented the report and outlined that the Tyne Port Health Authority Order 2010 provides the core constitutional arrangements for the Authority but that this was supplemented by a Constitution that it had developed which built on the statutory provisions.

The Clerk reported that in consultation with the Legal Advisor he had reviewed the current Constitution and there were no matters arising that would necessitate amendment for the new Municipal Year.

RESOLVED that no changes be made to the existing Constitution.

JB12/06/2018 Calendar of Meetings for 2018/19

The Clerk presented the report and explained the requirements under the Tyne Port Health Authority Order 2010 for the Joint Board to meet no less than three times in each year beginning 1 June. Historically, meetings have been held on the first Tuesday of the months of February, June and October each year.

It was noted the Joint Board's bi-annual inspection of the port and river last took place on 13 September 2016 so it fell due this year.

It was recommended to the Joint Board to approve future meeting dates of 2 October 2018, 5 February and 4 June 2019, all meetings to commence at 10am, North Tyneside Council's main offices at Quadrant, Cobalt Business Park. In addition the date of the inspection of the river and port be 11 September 2018 with a venue to be confirmed.

Following discussion, it was agreed that the Clerk would liaise with Cllr Cunningham who would assist with arranging visits to the Mission of Seafarers and to The Customs House, South Shields.

RESOLVED that the following meeting dates be approved: Tuesday 2 October 2018 at 10am, Tuesday 5 February 2019 at 10am, Tuesday 4 June 2019 at 10am, and that the bi-annual inspection of the river and port be held on Thursday 11 September with arrangements to be finalised by the Clerk.

JB13/06/2018 Operational Activity Summary Report for the period 1 January 2018 to 31 April 2018

The Chief Port Health Officer presented the report. It was highlighted that there had been 1,312 vessel arrivals in 2017 which was similar to previous years.

There had been a higher number of ship sanitation inspections for this 4 month period January to April 2018 compared to the same period last year.

During the period the Olympic Ares required an evidence report form to be placed on the ship sanitation certificate to advise of actions the vessel was required to carry out. The vessel was advised to improve its food safety management system. The vessel had poor logging of temperature monitoring and cleaning schedules. The use of a control certificate would only be used in extreme cases such as incidents of food poisoning, illness on board and severe pest infestation.

A revisit inspection was carried out on request of Liverpool Port Health Authority who had issued a ship sanitation control certificate on the Sea Iris due to the failure of the vessel to carry out microbiological and legionella water sampling over the last 2 years. The Joint Board was advised that controls on vessels can lead to issues at some international ports with regard to fines. The water sampling tests from the Sea Iris were found to be acceptable.

There were 28 unsatisfactory water samples taken during the period which required retesting. This led to advisory information being given. For instance in a number of vessels the presence of legionella was found on the decks from shower heads and now carry out more frequency flushing of showers with hot water. Retesting has shown that this has cleared the problem.

It was noted that the Food Standards Agency (FSA) had carried out a review of the Authority's imported food procedures and sampling methodology. The FSA were satisfied with the procedures in place. A recommendation was made that as sampling has concentrated on pesticides in tea that consideration is given to written procedures for other sampling that may arise such as aflatoxins from nuts. Additional procedure notes to direct officers to appropriate guidance is currently being produced.

RESOLVED that the Joint Board note the report.

JB14/06/2018 Any Other Business

No other business was reported.

**Tyne Port Health Authority
Report to the Joint Board
Date: Tuesday 2 October 2018**

Subject: Annual Return for the year ended 31 March 2018

Reporting Officer: Colin MacDonald,
Clerk to the Authority

Officer Contact Details:
Tel: 0191 643 6620
Email: colin.macdonald@northtyneside.gov.uk

PART 1

1.1 Purpose

The purpose of this report will be to present the Annual Return for the year ended 31 March 2018 and the external auditor's certificate and opinion following conclusion of audit.

In order to meet publication deadlines it has not been possible at this stage to circulate the report. The external auditor has confirmed that their report is complete but it has yet to be received by the Authority.

1.2 Recommendation

The report will recommend that the Joint Board accepts and approves the external auditor's certificate and opinion following submission of the Annual Return for the year ended 31 March 2018 relating to the Authority.

2.0 Information

The Tyne Port Health Authority is a "smaller authority" under The Accounts and Audit Regulations 2015 for the purposes of auditing of accounts.

At the meeting of 5 June 2018 the Joint Board resolved to approve the Annual Accounting Statements, the Annual Governance Statement and the Annual Internal Audit report which collectively formulated the Authority Annual Return for the year ended 31 March 2018 under the Regulations.

The external auditor has confirmed that their report is complete but it has yet to be received by the Authority. The external auditor has advised that:

“On the basis of our review of Sections 1 and 2 of the Annual Governance and Accountability Return (AGAR), in our opinion the information in Sections 1 and 2 of the AGAR is in accordance with Proper Practices and no other matters have come to our attention giving cause for concern that relevant legislation and regulatory requirements have not been met.”

3.0 Decision Options

The Joint Board will be requested, by the external auditor, to accept and approve the annual return. This will be recommended to allow the Tyne Port Health Authority to comply with The Accounts and Audit Regulations 2015.

4.0 Appendices:

There are no appendices to this holding report.

5.0 Contact Officers:

Colin MacDonald, Clerk to the Authority – Tel 0191 643 6620
Janice Gillespie, Responsible Financial Officer to the Authority – Tel 0191 643 5701
Richard Gray, Senior Accountant, North Tyneside Council – Tel: 0191 643 7033

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
Governance and Accountability for Smaller Authorities in England, A Practitioners' Guide to Proper Practices to be applied in the preparation of statutory annual accounts and governance statements, Joint Panel on Accountability & Governance March 2018

PART 2 – COMPLIANCE WITH PRINCIPLES OF DECISION MAKING

1.0 Finance and Other Resources:

There are no direct financial and resource implications relating to this report.

2.0 Legal

There are no direct legal implications relating to this report.

Consideration of this report and agreement with the recommendations will allow the Tyne Port Health Authority to comply with the requirements of The Accounts and Audit Regulations 2015.

**Tyne Port Health Authority
Report to the Joint Board
Date: Tuesday 2 October 2018**

Reporting Officer: Frances McClen
Chief Port Health Officer

Contact Details: Tel: 0191 6436640
Email:- frances.mcclen@northtyneside.gov.uk

Subject: Operational Summary 1 May - 31 Aug 2018

PART 1

1.1 Purpose:

The purpose of this report is to inform the Joint Board of activity during the period 1 May to 31 August 2018.

1.2 Recommendation

It is recommended that the Joint Board note the report.

2.0 Information

2.1 Operational Summary

Ship Arrivals and Inspections

Cargo ship arrivals and cruise traffic at the port remains stable and a breakdown of shipping trends over the last 10 years is set out in **Appendix 1**.

Shipping is inspected either on request (usually due to impending expiry of ship sanitation certification) or in accordance with the authorities policy of prioritising inspections using a risk based approach as set out in the annual service plan.

Summary of ship sanitation inspections between 1 May 2018 and 31 August 2018

Inspections	Ship Sanitation Control Exemption Certificates issued	Ship Sanitation Control Certificates issued
20(8)	20(8)	0(0)

* figures for the previous year shown in brackets.

Summary of Other Inspections/ boardings of Ships between 1 May 2018 and 31 August 2018

	Arrivals	Inspections	Major Defects found	Minor Defects found	Revisits/Referrals
Total	592(500)	49(48)	0(0)	(4)	1(1)

* figures for the previous year shown in brackets.

* last 2 columns not previously reported.

The harbour master has advised that there were 592 arrivals over the period of arrivals. All major and minor defects were remedied in port and no matters required referral to the Maritime & Coastguard Agency or the next port of call for follow up action.

Water Supply

87 Samples of drinking water were taken from 27 vessels for bacteriological analysis. Samples are taken routinely as part of some ship sanitation and other ship inspection, and also on request or in response to concerns.

33 samples of drinking water were taken from hydrants in the port area during the period.

Summary of water sampling activity between 1 May 2018 and 31 August 2018

	Total Number of Vessel/Hydrants Sampled	Total samples	Satisfactory	Unsatisfactory
Vessels	27(13)	87(42)	74(33)	13(9)
Hydrants	33(38)	38(38)	38(33)	0(5)
Total	60(51)	125 (80)	112(66)	13(14)

* figures reported the previous year shown in brackets.

There were a number of unsatisfactory samples taken during the period but all follow up samples were found to be satisfactory and no remedial actions were necessary.

Imported Food

Official controls are carried out as the Authority is designated a first entry point for high risk foods not of animal origin. The list of high risk foods known as 669/2009 is updated quarterly and reviewed by the Authority. The Authority is also an introduction point for plastics. Imported foods listed on the 669 register require only a minimum documentary check. A physical sample check is carried out on 10 percent of all consignments of third

country import consignments of certain specified foods and plastics entering the port. This information is specific to the applicable European legislation

Summary of official controls on imported food and plastics between 1 May 2018 and 31 August 2018

	Number of Consignments	Document Checks	ID Checks	Samples Physical Checks	Satisfactory	Unsatisfactory
Tea from China (669)	12(12)	12 (12)	2(1)	2(1)	2(1)	0 (0)
Organic Tea	1(0)	1(0)	0(0)	0(0)	0(0)	0 (0)
Other Food	5(1)	5(1)	(1)	(1)	5(1)	0 (0)
Plastics	0(0)	0(0)	0(0)	0(0)	0(0)	0 (0)

* figures for the previous year shown in brackets.

One physical sample was required to be taken during the period for tea from China. The results were satisfactory. Additional documentary checks were carried out for organic tea and other foods to review paperwork.

The port are taking part in discussion with Brexit on the replacement of the imported food software utilised to process common entry documents and certificate of inspection to ensure clear and efficient communication between importers, agents, HMRC and border control.

There have been webinar discussions on resources and time. There is obviously concern to ensure no delay in the movement of food by ensuring there is a software package to allow the processing of documentation. There is expected to be an increase in the potential checks that may be required. The port however is only able to handle ambient food not of animal origin. Any additional checks that may be generated due to Brexit of food of animal origin will need to be processed at other ports with appropriate status.

Infectious Disease Control

Fatality on board / No gastro-Intestinal outbreaks

There were no reported gastro intestinal outbreaks. There was one fatality reported during this period of individual who died of natural causes during a cruise and whose body was brought back to England.

There have been no reports of Norovirus incidents on the cruise liners during this period..

Income from official controls and other chargeable activity between 1 May 2017 and 31 August 2018

There was an increase in ship sanitation income ,water and imported food sampling raised over this period as shown by table below;

Ship Sanitation Inspection	Food & Plastics Imports - Official Controls/Water Sampling request	Total
£5725 (£1780)	£7251 (£730)	£12976.34 (£2510)

* figures for the previous year shown in brackets. No figure indicates not previously reported.

Port of Tyne Annual Review 2017

Officers attended the Annual Port of Tyne meeting on 26 June 2018 . The Port reported an increase in tourism. There were over 52 cruise liners in 2017 and international Passenger Terminal handled over 720,000 passengers from ferry and cruise ships which is an 18% increase from 2016.. Bulk Cargo business remained fairly steady with the total gross tonnage which measures both size of vessel and cargo capacity staying at 27.4 million tonnes. The importation of wood pellets fell slightly from 2 million to 1.5 million tonnes but this was offset with increased offshore renewable activity from Smulders and are the second largest car exporter. The port also advised that they handle 40% of the tea exports.

It should also be noted that the Tyne Port Authority support the Port Welfare committee and in 2017 created a voluntary port levy to generate funds to support the welfare of seafarers. Their template is being circulated to other ports to encourage their participation in raising funds for Merchant Navy.

3.0 Decision Options

This is an information only report.

4.0 Appendices:

Appendix 1 – Shipping trends at the Port of Tyne from 2006

5.0 Contact Officers:

Frances McClen, Chief Port Health Officer – Tel: 0191 643 6640

6.0 Background Information:

There are no background papers to this report.

PART 2 – COMPLIANCE WITH PRINCIPLES OF DECISION MAKING

1.0 Finance and Other Resources:

There are no direct financial implications arising from this report.

2.0 Legal:

There are no direct legal implications arising from this report.

SHIPPING TRENDS SINCE YEAR 2006

YEAR	ARRIVALS	INSPECTIONS	DEFECTS
2006	2048	316	24
2007	1940	303	30
2008	1772	310	52
2009	1479	195	24
2010	1669	269	13
2011	1928	284	17
2012	1850	357	22
2013	1548	234	2
2014	1466	233	10
2015	1381	203	97
2016	1621	210	56
2017	1312	195	20

CRUISE SHIP ARRIVALS

2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017
19	23	29	23	20	38	33	31	31	36	48	51

**Tyne Port Health Authority
Report to the Joint Board
Date: Tuesday 2 October 2018**

Subject: Annual Review of Corporate Risk Register

**Reporting Officer and
Contact Details:** Colin MacDonald,
Clerk to the Authority
Tel: 0191 643 6620
Email: colin.macdonald@northtyneside.gov.uk

Frances McClen,
Chief Port Health Officer
Tel: 0191 643 6640
Email: frances.mcclen@northtyneside.gov.uk

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: Competency training of officers is reviewed annually and is on-going.

Risk TPHA3 – Compliance with the Audit and Accounts requirements: The External Audit opinion for 2017/18 highlighted there were no issues to respond to.

Risk TPHA6 – Emergency Preparedness: A Rabies Plan exercise was completed during the year and action points highlighted are being addressed. A mass evacuation exercise involving a large passenger vessel is being planned for 2019 with Northumbria Police and the Port of Tyne being identified as key partners.

Risk TPHA8 – Operational Polices and Procedures: It is noted that the Brexit landscape remains uncertain.

Risk TPHA9 – Discharge of Statutory Functions: An external audit took place during the year by the Food Standards Agency (FSA). The outcome of the audit was positive.

Risk TPHA10 – Responding to legislative change: Officer training continues to be addressed through regional groups. The impact of Brexit is continuing to be 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:

Colin MacDonald, Clerk to the Authority – Tel 0191 643 6620

Frances McClen, Chief Port Health Officer – Tel 0191 643 6640

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

PART 2 – COMPLIANCE WITH PRINCIPLES OF DECISION MAKING

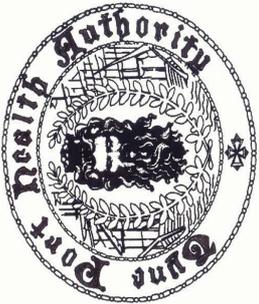
1.0 Finance and Other Resources:

There are no direct financial implications relating to this report.

2.0 Legal

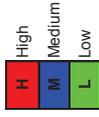
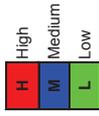
There are no direct financial implications relating to this report.

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.



TYNE PORT HEALTH AUTHORITY

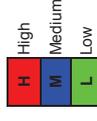
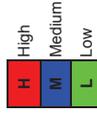
Corporate Risk Register



Prepared By: Colin MacDonald, Clerk to the Authority,
Frances McClen, Chief Port Health Officer
20 September 2018
Date Update Completed: Joint Board (approval pending)
Approved By: To be presented on 2 October 2018
Date:
Revision No.: 7

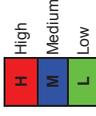
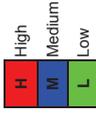
RISK DEFINITION / DESCRIPTION				CURRENT RISK SCORE			TARGET SCORE			Comments	
Risk No.	Risk Theme	Risk Area	Threats	Consequence	Risk Likelihood A-F	Risk Impact IV	Risk Score	Risk Likelihood A-F	Risk Impact IV		Risk Score
TPHA 1.	Principles.	The Tyne Port Health Authority Order 2010.	Failure to comply with the governance requirements of the Tyne Port Health Authority Order 2010.	Inability to discharge the statutory functions and duties of the Authority due to ineffective governance arrangements; -Failed external audit leading to special measures being put in place; -Reputation	E	3	L	E	3	L	NO CHANGE TO SCORE All controls in place resulting in appropriate risk mitigation measures being taken.
TPHA 2.	Principles.	The Tyne Port Health Authority Order 2010.	Failure to discharge statutory functions assigned by the Tyne Port Health Authority Order 2010.	-Public Health Risks; -Litigation; -Public Enquiries; -Inquests; -Reputation.	D	2	M	E	2	M	NO CHANGE TO SCORE All control measures are in place. Training of staff is on going . Training needs are reviewed annually to ensure appropriate level of competency is maintained. The risk score remains the same to reflect the need to ensure all staff have appropriate levels of knowledge and training.

Prepared By: Colin MacDonald, Clerk to the Authority,
 Frances McClen, Chief Port Health Officer
 20 September 2018
 Approved By: Joint Board (approval pending)
 Date: To be presented on 2 October 2018
 Revision No.: 7



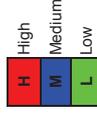
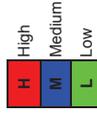
RISK DEFINITION / DESCRIPTION				CURRENT RISK SCORE		TARGET SCORE		Comments
Risk No.	Risk Theme	Risk Area	Threats	Consequence	Risk Likelihood A, F	Risk Impact IV	Risk Score	
TPHA 3.	Public Value.	The Accounts and Audit Regulations 2015.	Failure to comply with the requirements of a relevant body as prescribed by the Accounts and Audit Regulations 2015 by virtue of the Local Audit and Accountability Act 2014.	-Failed external audit leading to special measures being put in place; -Financial mismanagement; -Reputation	D	3	L	NO CHANGE TO SCORE The External Audit opinion for 2017/18 is highlighted no issues. All control measures are in place and the score remains the same.
TPHA 4.	Public Value.	Financial Management.	-Precept: Non-Payment and inadequacy; -Reserves: inadequate, unbudgeted spends, contingent liability; -Cash handling: misappropriation; -Salaries: accurate payment and handling; -Supply of goods and services: receipt and correct invoicing; VAT: incorrect analysis, charging and claims to HMRC; -Consequential Loss: due to improper performance and general liability; -Inadequate financial record-keeping; -Decisions taken illegally; -Fraud: by officers of the Authority or the host Council; -Non compliance with host Council internal Financial Regulations and Standing Orders.	-Insolvency; -Financial mismanagement; -Breach of legislation and litigation; -Failed external audit leading to special measures being put in place; -Reputation;	D	3	L	NO CHANGE TO SCORE All controls in place resulting in appropriate risk mitigation measures being taken.
TPHA 5.	Principles.	Internal Audit.	Internal Audit is ineffective in undertaking its role.	-Financial mismanagement; -Breach of legislation and litigation; -Failed external audit leading to special measures being put in place; -Reputation;	E	3	L	NO CHANGE TO SCORE All controls in place resulting in appropriate risk mitigation measures being taken.

Prepared By: Colin MacDonald, Clerk to the Authority,
 Frances McClen, Chief Port Health Officer
 20 September 2018
 Approved By: Joint Board (approval pending)
 Date: To be presented on 2 October 2018
 Revision No.: 7



RISK DEFINITION / DESCRIPTION		CURRENT RISK SCORE		TARGET SCORE		Comments			
Risk No.	Risk Theme	Risk Area	Threats	Consequence	Risk Likelihood A-F		Risk Impact IV	Risk Score	
TPHA 6.	Response.	Emergency Preparedness.	<ul style="list-style-type: none"> Failure to discharge responsibilities as a Category 1 Responder under the Civil Contingencies Act 2004. Failure to be prepared to respond to emergency event. 	<ul style="list-style-type: none"> -Risk to Public Health; -Litigation; -Public Enquiries; -Inquests; -Reputation; 	E	2	E	2	<p>NO CHANGE TO SCORE</p> <p>The Authority and its officers continue to be represented on the host Council's internal Emergency Response Leadership Group (ERLG). The Clerk continues to represent both the host Council and the Authority on the Northumbria Local Resilience Forum (LRF) Executive.</p> <p>Officers continue to be involved in training and exercising undertaken via the host Council's arrangements. All controls are in place.</p> <p>A Rabies Plan exercise was completed during the year and action points highlighted are being addressed. A mass evacuation exercise involving a large passenger vessel is being planned for 2019 with Northumbria Police and the Port of Tyne being identified as key partners.</p>
TPHA 7.	Response	Business Continuity Management.	<ul style="list-style-type: none"> Failure to discharge responsibilities as a Category 1 Responder under the Civil Contingencies Act 2004. Failure to maintain continuity of service due to disruption events. For example loss of key Authority staff (industrial action), failure of utilities, communications, premises, ICT or fuel supply. 	<ul style="list-style-type: none"> -Risk to Public Health; -Litigation; -Public Enquiries; -Inquests; -Reputation; 	E	2	E	2	<p>NO CHANGE TO SCORE</p> <p>Business Continuity Plans are in place and are reviewed annually in November as part of the host Council's arrangements.</p> <p>Training and exercising takes place as part of the arrangements in place with the host Council.</p>
TPHA 8.	Operational Fitness.	Operational Policies and Procedures.	<ul style="list-style-type: none"> Failure to be operationally fit for purpose in complying with specified legislation. For example: <ul style="list-style-type: none"> -Freedom of Information and Data Protection; -Human Rights; -Equalities; -Employment Law; -Health & Safety. 	<ul style="list-style-type: none"> -Breach of legislation; -Litigation; -Special measures being put in place by external regulators; -Reputation. 	E	3	E	3	<p>NO CHANGE TO SCORE</p> <p>All control measures are in place.</p> <p>We are in consultation with DEFRA to support them in creating a new software system to ensure monitor freedom of movement of goods post-Brexit. The Brexit landscape remains uncertain.</p>

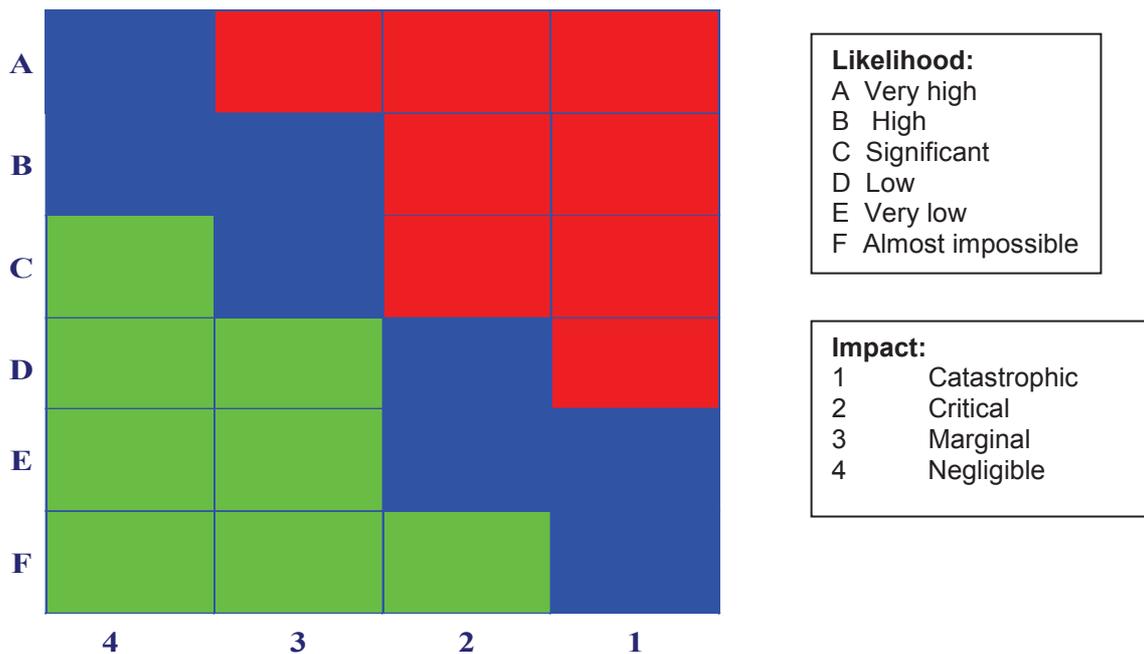
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Risk No.	Risk Theme	Risk Area	Threats	Consequence	Risk Likelihood A, F	Risk Impact IV	Risk Score	Risk Score
TPHA 9	Operational Fitness.	Discharge of Statutory Functions.	Failure to discharge responsibilities as a Port Health Authority under domestic Public Health and International Health Regulations.	<ul style="list-style-type: none"> -Risk to Public Health; -Breach of legislation; -Litigation; -Public Enquiries; -Inquests; -Special measures being put in place by external regulators; -Reputation. 	D	2	M	<p>NO CHANGE TO SCORE</p> <p>All control measures are in place.</p> <p>An external audit took place during the year by the Food Standards Agency (FSA). The outcome of the audit was positive. The score remains Medium due to the implications of Brexit remaining unclear.</p>
TPHA 10	Operational Fitness.	Responding to legislative change	Failure to appropriately prepare and implement changes to duties imposed by new legislation.	<ul style="list-style-type: none"> -Risk to Public Health; -Breach of legislation; -Litigation; -Public Enquiries; -Inquests; -Special measures being put in place by external regulators; -Reputation. 	F	2	L	<p>NO CHANGE TO SCORE</p> <p>Training continues to be primarily led by the programme established by the North East Public Protection Liaison Group which addresses port health matters.</p> <p>Updates on food related and food standard matters are still provided by via attendance at Food Liason Group meetings and input from the FSA.</p> <p>The impact of Brexit is continuing to be monitored.</p>

IMPACTS				
	4	3	2	1
	Negligible	Marginal	Critical	Catastrophic
Financial Impact	£10K - £50K	£50k - £100K	£100KM - £1M	>£1M
Service Provision	Minor service delay	Short term service delay	Service Suspended / Medium term delay	Service Suspended Long Term Statutory duties not delivered
Project	Minor delay - days	A few milestones missed	A major milestone missed	Project does not achieve objectives and misses majority of milestones
Health & Safety	Sticking Plaster / first aider	Broken bones/Illness	Loss of Life/Major illness	Major loss of life/Large scale major illness
Objectives	Minor impact on objectives	Objectives of one area not met	Key Objectives not met	Authority objectives not met
Morale	Mild impact on morale	Some hostile relationship and minor non cooperation	Industrial action	Mass staff leaving/Unable to attract staff
Reputation	No media attention / minor letters	Adverse Local media	Adverse National publicity	Remembered for years!!
Government relations	Minor local service issues	Poor Assessment(s)	Service taken over temporarily	Service taken over permanently

	LIKELIHOOD – 3 to 5 year period	PROBABILITY
A	Very High	85% to 100%
B	High	60% to 85%
C	Significant	30% to 60%
D	Low	15% to 30%
E	Very Low	5% to 15%
F	Negligible	0% to 5%



Red risks are to be managed down as a matter of urgency – reviewed every 3 months

Blue risks are to be managed down in the medium term and monitored – reviewed every 6 months

Green risks considered low priority but are also monitored – reviewed every 12 months