

West Yorkshire Passenger Transport Authority Risk Register

Updated :

07 March 2008

Impact	
Impact	Definition
5	Very severe
4	Severe
3	Moderate
2	Minor
1	Very Minor

Likelihood	
Likelihood	Definition
5	Almost Certain / Recent
4	Likely
3	Possible
2	Unlikely
1	Rare

Red/Amber/Green	
RAG	Definition
Red	Needs Constant Review/Urgent Action
Amber	Continue to Monitor
Green	No Additional Action Required

Number	Risk	Before Control Measures			Owner/ Responsibility	Control Measures and Actions	Time- scales	After Control Measures			RAG Rating
		Impact	Like- lihood	Rating				Impact	Like- lihood	Residual Rating	
PTA 1	National proposals for development of PTAs and PTEs. (Local Transport Bill) 2007.	5	5	25	Chair Members Clerk	Liason with Gov't Depts. Role of Pteg. Develop't of regional transport vision. Regular PTA discussions.	Current	5	5	25	Red
PTA 2	First Group appeal on concessionary fares reimbursement. (2006/7 & 2007/8)	5	5	25	Clerk PTE	Obtaining professional advice, discussion with operators and DfT.	Current	4	3	12	Red
PTA 3	National arrangements for 2008 concessionary scheme - risk of appeal	5	5	25	Clerk PTE	Liase with Gov't dep'ts; role of Pteg; District & Member discussions.	2008	5	5	25	Red
PTA 4	Treasury manag't services provided by Leeds CC.	5	5	25	Clerk CFO DCFO	Independent review and monitoring of transactions; Service agreement; review of controls in operation.	Ongoing	5	1	5	Amber

PTA 5	Members are given inappropriate or bad advice.	5	3	15	Clerk Deputy Clerk Solicitor PTE staff	Restrict officers providing advice to senior officers to those with relevant experience, skill & knowledge. Political awareness and impartiality. Guidance provided in members handbook, regularly reviewed/updated.	Ongoing	5	1	5	Green
PTA 6	Members do not comply with regulations	5	3	15	Members Clerk Solicitor	Guidance provided in members handbook, regularly reviewed/updated. New Members seminars.	Ongoing	5	1	5	Green
PTA 7	Failure to provide support to committee process and meet legislative requirements.	4	3	12	DCFO Dep Clerk Lead off. PTA/E Snr Off's.	PTA schedule meetings. Deputy Clerk and DCFO review all minutes for accuracy. Also review by Chair and lead officer before minutes released.	Ongoing	4	1	4	Green
PTA 8	Failure to process Members allowances	4	3	12	Off Manager. Payroll.	Monthly payroll automated; payments authorised by Clerk/Dep Clerk.	Ongoing	4	1	4	Green
PTA 9	Wellington House - failure to ensure Health & Safety arrangements in place.	4	4	16	PTE Corporate Services. Deputy Clerk	Health & Safety cttee; training; alarm checks; fire drills; walkabout.	Ongoing	4	2	8	Amber
PTA 10	Wellington House - failure to ensure Security in place.	4	4	16	Deputy Clerk	Security W/Party; Liason with PTE Security Officer.	Ongoing	4	2	8	Amber

PTA 11	Failure to approve Members attendances at conferences	4	3	12	Office Manager	Liason with Chair and Clerk concerning approval to attend.	Ongoing	4	1	4	Green
PTA 12	Failure to adequately control the use of PTA credit cards	5	4	20	Deputy Clerk Review instruct'ns - DCFO	Compliance with procedural instructions; issued credit limits.	Ongoing	4	1	4	Amber
PTA 13	Failure to act on political complaints	5	4	20	Deputy Clerk	Respond system procedures; review by deputy Clerk	Ongoing	5	1	5	Amber
PTA 14	Failure to comply with FOIA requirements (may result in penalties/imprisonment)	5	4	20	Deputy Clerk Solicitor	Training & compliance procedures;liason with PTE legal section.	Ongoing	5	1	5	Green
PTA 15	Failure to issue Levy demands	5	5	25	DCFO	Solicitor reviews notices	Annual March	5	1	5	Green
PTA 16	Investment/borrowing strategy inadequately administered or reviewed	4	4	16	LCC CFO DCFO	Quarterly mtgs (CFO,LCC,DCFO); regular liason; Compliance with prudential code.	Quarterly	4	1	4	Amber
PTA 17	Financial returns; grant forms incorrect/not submitted. Resulting in penalties.	4	3	12	DCFO	DCFO responsibility; Gov't Department will chase if not received.	Ongoing	4	2	8	Green
PTA 18	Failure to have adequate scrutiny arrangements in place.	4	4	16	Deputy Clerk	Standards Cttee; Monitoring Officer; code of conduct; guidance re Members interests; whistleblowing procedure; Info on web site.	Annual report	4	1	4	Green

PTA 19	Failure to adequately account for VAT	4	3	12	CFO DCFO	PTE systems & procedures; review of control account, VAT returns signed by DCFO.	Quarterly	4	1	4	Green
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