

# ITA Risks

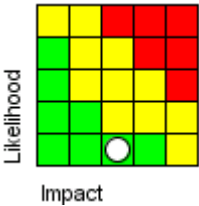
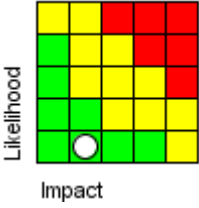
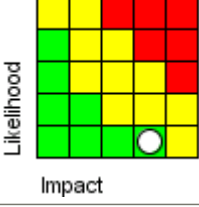
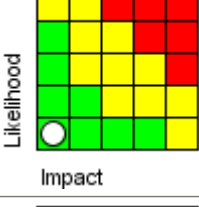
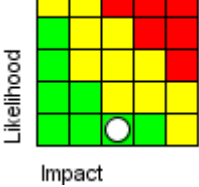
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Report Type: Risks Report

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Risk Code & Title	Management	Priority	Current Risk Matrix	Internal Controls
ITA01 National proposals for further development of ITAs and PTEs. (Local Transport Bill)	Controlled	3		Liason with Gov't Depts. Role of Pteg. Develop't of regional transport vision. Regular PTA discussions.
ITA04 Treasury manag't services provided by Leeds CC not properly managed.	Controlled	3		Independent review and monitoring of transactions; Service agreement; review of controls in operation.
ITA05 Members are given inappropriate or bad advice.	Controlled	3		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.
ITA06 Members do not comply with regulations	Controlled	3		Guidance provided in members handbook, regularly reviewed/updated. New Members seminars.

Risk Code & Title	Management	Priority	Current Risk Matrix	Internal Controls
ITA07 Failure to provide support to committee process and meet legislative requirements.	Controlled	3		PTA schedule meetings. Deputy Clerk reviews all minutes for accuracy. Also review by Chair and lead officer before minutes released.
ITA08 Failure to process Members allowances	Controlled	3		Monthly payroll automated; payments authorised by Clerk/Dep Clerk.
ITA09 Wellington House - failure to ensure Health & Safety arrangements in place.	Controlled	3		Health & Safety cttee; training; alarm checks; fire drills; walkabout.
ITA10 Wellington House - failure to ensure Security in place.	Controlled	3		Security W/Party; Liaison with PTE Security Officer.
ITA11 Failure to approve Members attendances at conferences	Controlled	3		Liason with Chair and Clerk concerning approval to attend.
ITA13 Failure to act on political complaints	Controlled	3		Respond system proceedures; review by deputy Clerk

Risk Code & Title	Management	Priority	Current Risk Matrix	Internal Controls
ITA14 Failure to comply with FOIA requirements (may result in penalties/imprisonment)	Controlled	3		Training & compliance procedures; liaison with PTE legal section.
ITA15 Failure to issue Levy demands	Controlled	3		Solicitor reviews notices
ITA16 Investment/borrowing strategy inadequately administered or reviewed	Controlled	3		Quarterly mtgs (CFO,LCC); regular liason; Compliance with prudential code.
ITA17 Financial returns; grant forms incorrect/not submitted, resulting in penalties.	Controlled	3		CFO responsibility; Gov't Department will chase if not received.
ITA18 Failure to have adequate scrutiny arrangements in place.	Controlled	3		Standards Cttee; Monitoring Officer; code of conduct; guidance re Members interests; whistleblowing procedure; Info on web site.
ITA19 Failure to adequately account for VAT	Controlled	3		PTE systems & procedures; review of control account, VAT returns signed by CFO.