

PTA
Appendix E - RISK REGISTER – 8 November 2006

| RISK | IMPACT | LIKELIHOOD | RATING | RISK CONTROL MEASURES | IMPACT | LIKELIHOOD | RESIDUAL RATING | RESPONSIBILITY FOR FURTHER ACTION |
|--|---------------|-------------------|---------------|--|---------------|-------------------|------------------------|---|
| Control of Treasury and financial management services provided by Leeds City Council | 5 | 5 | 25 | Independent review and monitoring of transactions. Service level agreement. Review of controls in operation. | 5 | 1 | 5 | Clerk ,CFO, DCFO IAM |
| Members are given inappropriate or bad advice | 5 | 3 | 15 | Restrict officers who give advice to members to senior officers with relevant experience, knowledge and skill. Political awareness and impartiality. Guidance provided in member's handbook and reviewed/updated on a regular basis. | 5 | 1 | 5 | Clerk Deputy Clerk CFO DCFO Solicitor PTE Directors & Ads Constant review Office manager Reprint if major changes |
| Members do not | 5 | 3 | 15 | Restrict officers | 5 | 2 | 10 | Clerk/ |

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| comply with regulations | | | | who give advice to members to senior officers with relevant experience, knowledge and skill. Political awareness and impartiality. Guidance provided in member's handbook and reviewed/updated on a annual basis. New members seminars | | | | Deputy/Solicitor Constant review Solicitor Other officers to raise with Solicitor if any matters arise. Office manager. (After each AGM) Deputy Clerk |
| Failure to provide support to Authority committee processes and meet legislative requirements | 4 | 3 | 12 | PTA schedule meetings. Deputy Clerk and DCFO review of all minutes for accuracy. Also review by Chairman and lead officer before minutes are released. | 4 | 1 | 4 | DCFO/lead officer All as required Deputy Clerk All PTA/E senior officers |

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| Failure to process members allowances | 4 | 3 | 12 | Payroll monthly payment process. Payments authorised by Clerk or Deputy Clerk | 4 | 1 | 4 | Office Manager Clerk/Deputy Clerk PTE/ Payroll section By due date each month |
| Wellington House – failure to ensure that adequate health & safety arrangements are in place | 4 | 4 | 16 | Health & Safety Committee, training, alarm checks, fire drills, walkabouts | 4 | 2 | 8 | PTE Support Services Constant review Deputy Clerk weekly |
| Wellington House – failure to provide adequate security | 4 | 4 | 16 | Security working party. Liaison with Executive's Security Manager | 4 | 2 | 8 | Deputy Clerk As meetings are called |
| Failure to approve members attendance at conference | 4 | 3 | 12 | Liaison with Chairman and Clerk concerning approval to attend | 4 | 1 | 4 | Office manager As conferences announced |
| Failure to adequately control the use of PTA credit cards | 5 | 4 | 20 | Compliance with procedural instructions issued Credit limits | 4 | 1 | 4 | Compliance – D Clerk Review of Inst – DCFO |
| Failure to act on political complaints | 5 | 4 | 20 | Respond system and procedures. Reviewed by Deputy Clerk | 5 | 2 | 10 | Deputy Clerk |
| Failure to comply with | 5 | 4 | 20 | Training and | 5 | 1 | 5 | Deputy Clerk |

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| requirements of FOIA which may result in penalties or imprisonment | | | | compliance procedures. Liaison with Executive's Legal section. | | | | Solicitor |
| Failure to issue levy demands | 5 | 5 | 25 | PTE Secretary/Solicitor reviewing notices | 3 | 1 | 3 | DCFO - annually |
| Investment/borrowing strategy inadequately administered and not reviewed | 4 | 4 | 16 | Bi monthly meetings, liaison with investment and Chief Financial Officer at LCC Compliance with prudential code requirements | 4 | 2 | 8 | LCC Investment officer CFO/DCFO/LCC Inv officer |
| Financial returns and grant forms not produced, incorrect or not provided in time resulting in penalties. | 4 | 3 | 12 | Responsibility assigned to DCFO. Government Dept will pursue if not provided | 4 | 2 | 8 | DCFO to clear by each deadline |
| Failure to have in place adequate scrutiny arrangements in place | 4 | 4 | 16 | Standards committee, Monitoring Officer, code of conduct, guidance on member's | 2 | 1 | 2 | Deputy Clerk – annually Constant review |

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| | | | | interests, whistleblowing procedure. Information held on web site | | | | |
| Failure to adequately account for VAT. | 4 | 3 | 12 | PTE systems and procedures. Review of control account. VAT returns authorised by DCFO | 4 | 1 | 4 | CFO, DCFO |