

**PTA  
RISK REGISTER – 29 JUNE 2007**

<b>RISK</b>	<b>IMP ACT</b>	<b>LIKELI HOOD</b>	<b>RATING</b>	<b>RISK CONTROL MEASURES</b>	<b>IMP ACT</b>	<b>LIKELIHOOD AFTER CONTROL MEASURES</b>	<b>REVISED RATING</b>	<b>RESPONSIBILIT Y FOR FURTHER ACTION</b>
<b>Severity of impact:</b> 1 = very minor 2 = minor 3 = significant 4 = severe 5 = very severe				<b>Likelihood:</b> 1 = highly unlikely to occur 2 = not likely but it could occur – needs a regular check 3 = possible but should be mitigated – is it acceptable? - needs watching 4 = quite likely – is there be a better mitigation method? – must be monitored on a very regular basis 5 = highly likely – this should never appear but if it does then requires discussion and on reasons and mitigation measures				
National proposals for development of PTAs and PTEs	<b>5</b>	<b>5</b>	<b>25</b>	Liason with Gov't Depts. Role of PTEG. Develop't of regional transport vision. Regular PTA discussions.	<b>4</b>	<b>5</b>	<b>20</b>	Chairman, Members, Clerk
Results of First Group appeal on concessionary fares reimbursement	<b>5</b>	<b>5</b>	<b>25</b>	Assess patronage, review financial arrangements, then discussions with operators	<b>5</b>	<b>3</b>	<b>15</b>	Clerk, Metro officers
National arrangem'ts for Concessionary Travel Scheme 2008	<b>5</b>	<b>5</b>	<b>25</b>	Liason with Gov't Depts. Role of PTEG. District and Members discussions.	<b>5</b>	<b>4</b>	<b>20</b>	Clerk and Metro Discussion with Department
Control of Treasury and financial management services provided by Leeds City Council	<b>5</b>	<b>5</b>	<b>25</b>	Independent review and monitoring of transactions. Service level agreement. Review of controls in operation.	<b>5</b>	<b>1</b>	<b>5</b>	Clerk ,CFO, DCFO IAM
Members are given inappropriate or bad advice	<b>5</b>	<b>3</b>	<b>15</b>	Restrict officers who give advice to members to senior officers with relevant	<b>5</b>	<b>1</b>	<b>5</b>	Clerk Deputy Clerk CFO

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				experience, knowledge and skill. Political awareness and impartiality. Guidance provided in member's handbook and reviewed/updated on a regular basis.				DCFO Solicitor PTE Directors & Ads <b>Constant review</b> Office manager <b>Reprint if major changes</b>
Members compliance with regulations	<b>5</b>	<b>3</b>	<b>15</b>	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 an annual basis. New members seminars	<b>5</b>	<b>2</b>	<b>10</b>	Clerk/ Deputy/Solicitor  <b>Constant review</b>  Solicitor Other officers to raise with Solicitor if any matters arise. Office manager. <b>(After each AGM)</b>  Deputy Clerk
Officers compliance with regulations	<b>5</b>	<b>2</b>	<b>10</b>	Officers have limited opportunities for gifts/hospitality but the register held centrally is regularly reviewed. Strict rules financial instructions are re-issued at	<b>5</b>	<b>1</b>	<b>5</b>	Clerk Deputy Clerk DCFO

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				least annually.				
Failure to provide support to Authority committee processes and meet legislative requirements	<b>4</b>	<b>3</b>	<b>12</b>	PTA schedule meetings. Deputy Clerk and DCFO review of all minutes for accuracy. Also review by Chairman and lead officer before minutes are released.	<b>4</b>	<b>1</b>	<b>4</b>	DCFO/lead officer <b>All as required</b>  Deputy Clerk  All PTA/E senior officers
Failure to process members allowances	<b>4</b>	<b>3</b>	<b>12</b>	Payroll monthly payment process. Payments authorised by Clerk or Deputy Clerk	<b>4</b>	<b>1</b>	<b>4</b>	Office Manager Clerk/Deputy Clerk PTE/ Payroll section <b>By due date each month</b>
Wellington House – failure to ensure that adequate health & safety arrangements are in place	<b>4</b>	<b>4</b>	<b>16</b>	Health & Safety Committee, training, alarm checks, fire drills, walkabouts	<b>4</b>	<b>2</b>	<b>8</b>	PTE Support Services <b>Constant review</b>  Deputy Clerk <b>weekly</b>
Wellington House – failure to provide adequate security	<b>4</b>	<b>4</b>	<b>16</b>	Security working party. Liaison with Executive's Security Manager	<b>4</b>	<b>2</b>	<b>8</b>	Deputy Clerk <b>As meetings are called</b>
Failure to approve members attendance at conference	<b>4</b>	<b>3</b>	<b>12</b>	Liaison with Chairman and Clerk concerning approval to attend	<b>4</b>	<b>1</b>	<b>4</b>	Office manager <b>As conferences announced</b>
Failure to adequately control the use of PTA credit cards	<b>5</b>	<b>4</b>	<b>20</b>	Compliance with procedural instructions issued Credit limits	<b>4</b>	<b>1</b>	<b>4</b>	Compliance – D Clerk Review of Inst –

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								DCFO
Failure to act on political complaints	<b>5</b>	<b>4</b>	<b>20</b>	Respond system and procedures. Reviewed by Deputy Clerk	<b>5</b>	<b>1</b>	<b>5</b>	Deputy Clerk
Failure to comply with requirements of FOIA which may result in penalties or imprisonment	<b>5</b>	<b>4</b>	<b>20</b>	Training and compliance procedures. Liaison with Executive's Legal section.	<b>5</b>	<b>1</b>	<b>5</b>	Deputy Clerk Solicitor
Failure to issue levy demands	<b>5</b>	<b>5</b>	<b>25</b>	PTE Secretary/Solicitor reviewing notices	<b>3</b>	<b>1</b>	<b>3</b>	DCFO - <b>annually</b>
Investment/borrowing strategy inadequately administered and not reviewed	<b>4</b>	<b>4</b>	<b>16</b>	Quarterly meetings, liaison with investment and Chief Financial Officer at LCC Compliance with prudential code requirements	<b>4</b>	<b>1</b>	<b>4</b>	<b>LCC Investment officer</b>  <b>CFO/DCFO/LCC Inv officer</b>
Financial returns and grant forms not produced, incorrect or not provided in time resulting in penalties.	<b>4</b>	<b>3</b>	<b>12</b>	Responsibility assigned to DCFO. Government Dept will pursue if not provided	<b>4</b>	<b>2</b>	<b>8</b>	DCFO to clear <b>by each deadline</b>
Failure to have in place adequate scrutiny arrangements in place	<b>4</b>	<b>4</b>	<b>16</b>	Standards committee, Monitoring Officer, code of conduct, guidance on member's interests, whistleblowing procedure. Information held on web site	<b>2</b>	<b>1</b>	<b>2</b>	Deputy Clerk – <b>annually</b>  <b>Constant review</b>
Failure to adequately account for VAT.	<b>4</b>	<b>3</b>	<b>12</b>	PTE systems and procedures. Review of control account. VAT returns authorised by DCFO	<b>4</b>	<b>1</b>	<b>4</b>	CFO, DCFO

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