

**PTA
RISK REGISTER – 2 March 2007**

Appendix C

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

**PTA
RISK REGISTER – 2 March 2007**

Members do not comply with regulations	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 annual basis. New members seminars	5	2	10	Clerk/ 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

**PTA
RISK REGISTER – 2 March 2007**

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

**PTA
RISK REGISTER – 2 March 2007**

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

Definition of Column headings:

First 3 Columns identify risks, in a range of 1 to 5, the highest being 5. The first column shows the consequences if the risk is realised and the second how likely it is to occur. The first 2 columns are then multiplied together to create the overall risk rating. This is then the inherent level of the risk involved.

Second 3 Columns then review the same items ie consequences and likely occurrence when the risk control measures shown have been implemented. This gives the resultant level of risk which the Authority is seeking to minimise.