

PTA
RISK REGISTER – 12 September 2007

RISK	IMP ACT	LIKELI HOOD	RATING	RISK CONTROL MEASURES	IMP ACT	LIKELIHOOD AFTER CONTROL MEASURES	REVISED RATING	RESPONSIBILIT Y FOR FURTHER ACTION
Severity of impact: 1 = very minor 2 = minor 3 = significant 4 = severe 5 = very severe				Likelihood: 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 should 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	5	5	25	Liason with Gov't Depts. Role of PTEG. Develop't of regional transport vision. Regular PTA discussions.	4	5	20	Chairman, Members, Clerk
Results of First Group appeal on concessionary fares reimbursement	5	5	25	Assess patronage, review financial arrangements, then discussions with operators	5	3	15	Clerk, Metro officers
National arrangem'ts for Concessionary Travel Scheme 2008	5	5	25	Liason with Gov't Depts. Role of PTEG. District and Members discussions.	5	4	20	Clerk and Metro Discussion with Department
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
Members are given	5	3	15	Restrict officers who give	5	1	5	Clerk

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inappropriate or bad advice				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.				Deputy Clerk CFO DCFO Solicitor PTE Directors & Ads Constant review Office manager Reprint if major changes
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 an 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	4	3	12	PTA schedule meetings. Deputy Clerk and DCFO review of all minutes for	4	1	4	DCFO/lead officer All as required

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legislative requirements				accuracy. Also review by Chairman and lead officer before minutes are released.				Deputy Clerk All PTA/E senior officers
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	5	4	20	Respond system and	5	1	5	Deputy Clerk

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complaints				procedures. Reviewed by Deputy Clerk				
Failure to comply with requirements of FOIA which may result in penalties or imprisonment	5	4	20	Training and compliance procedures. Liaison with Executive's Legal section.	5	1	5	Deputy Clerk 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	Quarterly meetings, liaison with investment and Chief Financial Officer at LCC Compliance with prudential code requirements	4	1	4	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 interests, whistleblowing procedure. Information held on web site	2	1	2	Deputy Clerk – annually Constant review
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

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