

PATROL ADJUDICATION JOINT COMMITTEE

REPORT FOR RESOLUTION

DATE: 30th June 2009
AGENDA ITEM Number 12
SUBJECT: Risk Register
REPORT OF: The Lead Authority
On behalf of the Advisory Board

PURPOSE OF REPORT

The Joint Committee Executive Sub Committee established a Risk Register at its meeting in January 2008. It was agreed that the Risk Register would be subject to regular review.

RECOMMENDATIONS

It is recommended that the Joint Committee:

[i] Note the findings of the review of the Risk Register

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1.0 THE RISK REGISTER

- 1.1 The Annual Governance Report for the period 2005/06 recommended the introduction of a Risk Register to capture the Joint Committee's significant business risks. This document supplements the organisation's Business Continuity Plan.
- 1.2 The Risk Register set out in Table 1 has been developed utilising the framework adopted by the Lead Authority.
- 1.3 The Risk Register has been reviewed and updated. The recommendation is that it remains fit for purpose and current.
- 1.4 The Risk Register will be reviewed at least on an annual basis and findings from that review will be reported to the meeting of the Executive Sub Committee.

**PATROL Adjudication Joint Committee Risk Register
June 2009**

Rank	Risk Description	Consequence Description	C	L	Risk Rating	Existing Control Descriptions	A/R	Lead
1.	Unforeseen fluctuations in income and assurance on service charge income	Inability to meet financial obligations	3	3	9	Audit figures on which to base forecasts. Historical data on which to base forecasts. Reserve policy in place Benchmarking with external data.	R	LH
2	Effective Financial and Resource Management including spending within agreed budgets	Financial instability	3	3	9	Analysis of (1) Introduction of new accounting system to improve monitoring information. Financial team strengthened. Commitment to maximising return on investment.	R	LH
3.	Change in government policy	Change in direction for traffic regulations/adjudication	3	2	6	Establishing and maintaining dialogue with relevant government departments, responding to consultation, participation in working groups	A	CS/LH
4.	Lack of awareness amongst public	Appeals are not made when there may be a case. Inappropriate cases are made. Communication with The Traffic Penalty Tribunal at premature stage	2	3	6	Introduction of Communications Team and Communications Strategy Public Relations in place. Development of PATROL web site Appellant User Group provides feedback.	R	LH
5.	Inability of IT to meet requirements of national tribunal	Reduced effectiveness and efficiency for tribunal, councils and appellants. Breach of security Reduced performance	3	3	9	Commissioning of more integrated IT structures. Review of suppliers and introduction of performance monitoring.	R	LH/CS

						Constant review of existing practices Business Continuity Plan ¹		
6.	Loss of key supplier	Could disrupt tribunal functioning and development	3	2	6	Broadbase of suppliers and steps taken to increase knowledge transfer between supplier and tribunal, where appropriate.	A	LH/JE/JG
7.	Loss of key members of management and staff	Disruption to operations Management of vacancies Project and operational targets affected	2	2	4	Clearly defined roles Documented procedures Arrangements for temporary cover	A	CS/LH
8.	Insufficient adjudicator/staff resources to meet demand	Inability to meet targets Pressure to reach decisions may result in increased judicial review	2	2	4	Monitoring of demand and performance Adjudicator recruitment Staff recruitment, training and appraisal.	A	CS/LH
9.	Health and Safety Breach	Risk to welfare of adjudicators, appellant, staff Disruption to tribunal operation	2	2	4	Health and Safety policy in place. Procedures in place for monitoring risk/handling incidents which may be a threat to health and security. Business Continuity Plan in place.	A	LH
10	Achievement of Key Objectives	Failure to achieve key objectives	2	2	4	Performance Management Strategy	A	LH

C = Consequence
3 = severe disruption
2= moderate disruption
1 = minimal impact

L = Likelihood
3 = Highly likely to occur
2 = Moderately likely to occur
1 = Unlikely to occur

Risk Rating = consequence multiplied by likelihood

A = Accept Risk with controls in place

R = Reject on the basis that further work is required to strengthen controls

Note 1 The Risk Register should be read in conjunction with the Business Continuity Plan