

**PATROL ADJUDICATION JOINT COMMITTEE  
EXECUTIVE SUB COMMITTEE**

**REPORT FOR RESOLUTION**

**DATE:** 26<sup>TH</sup> JANUARY 2010  
**SUBJECT:** Risk Register  
**REPORT OF:** The Lead Authority  
On behalf of the Advisory Board

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**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 report 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  
January 2010

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	2	6	Direct access to financial management 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	Review of Tribunal Website Underway Review of Notice of Appeal Form underway PATROL web site and public information initiatives.	R	CS/LH
5.	Inability of IT to meet requirements of national tribunal	Reduced effectiveness and efficiency for tribunal, councils and appellants.	3	2	6	Implementation of IT Improvement Programme	R	LH/JE
6.	Loss of key supplier	Could disrupt tribunal functioning and development	3	2	6	Broadbase of suppliers and steps taken to increase knowledge	A	LH/JE/JG

						transfer between supplier and tribunal, where appropriate.		
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	LH
8.	Insufficient adjudicator/staff resources to meet demand	Inability to meet targets Pressure to reach decisions may result in increased judicial review	3	2	6	Monitoring of demand and performance Adjudicator recruitment Staff recruitment, training and appraisal. Contingency Planning	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/JG
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