

Appendix 1b - Example of a completed risk control action plan

IDENTIFIED RISK/RISK ACTION PLAN – SRR 1.2

SECTION A – Risk description and existing controls

Risk description	Failures in integrity of local governance and decision-making
Risk Theme	Political
Risk reference	SRR 1.2
Risk owner (name and role)	Kamal Adatia, City Barrister & Head of Standards Amy Oliver, Section 151 and Director of Finance
Current risk score	8
Response strategy/action	Treat
Target risk score	6
Risk review date	Ongoing with reviews at critical points for example on release of national reports.

Potential Impact/Likelihood

Provide a brief summary of the risk that you have identified in this section and the likely impact on the organisation's objectives if the risk occurs.

Loss of integrity through lack of consistent and robust application of governance and decision-making procedures and powers.

Provide a brief explanation of impact of this risk and the why the likelihood is scored as it is (will help with root cause and possible controls).

Failings in governance impact on the timely delivery of activities that address or political/corporate priorities.

Inappropriate use of resources.

Risk of legal challenge.

Reputational damage and loss of public confidence.

Potential for strained relationships between members, officers, and Unions.

Potential for Government or other formal intervention if failings are severe.

Existing action/controls already in place

Describe the specific actions and controls that are already in place now to manage the risk.

1. Strong focus on governance, including learning from other authorities.
2. Governance training for officers and members.
3. Corporate Governance Board in place.

4. Strengthening of Governance & Audit Committee, including appointment of independent member of the Committee, programme of training sessions before meetings and lead authority in the new regional forum.
5. Open and honest relationship with External Audit – proactive and early engagement and input.
6. Strengthened our Internal Audit arrangements, with new providers in place and an improved focus on targeted audited activity already being seen.

Current risk score with existing measures

Impact	Likelihood	Risk rating (I X L)
4	2	8

Response strategy: Treat

Further management action/controls:

List the further action(s) that will be taken in addition to existing controls to manage the risk. Complete the action plan in section B:

1. Ongoing review and learning from failings elsewhere
2. Ongoing and constantly evolving provision of appropriate support to all political groups, including early and ongoing engagement with political groups and provision of briefing and guidance to both officers and members.
3. Member training and information sharing to be enhanced using online, recorded or other digital methods that are available on-demand and not just periodically as part of an organised training programme.

Target risk score with further management actions/controls

Impact	Likelihood	Risk rating (I x L)
3	2	6

SECTION B – Risk action plan

Action No	Control / Action	Action owner	Target date for implementation	Resources/costs required to implement	Progress update - date action completed / pending (if so why)	Success criteria
1	Ongoing review and learning from failings elsewhere	Kamal Adatia	Ongoing assessment as other cases arise	Officer time	Interventions and issues now arising regularly across a range of authorities, so the approach is to continue to dynamically assess these as they arise against our own organisational position to identify any further learning.	Governance arrangements developed to incorporate learning from elsewhere.
2	Ongoing and constantly evolving provision of appropriate support to all political groups, including early and ongoing engagement with political groups and provision of briefing and guidance to both officers and members.	Kamal Adatia	Ongoing	Officer time	New action – no progress update yet.	Fewer complaints or concerns by opposition groups about access to information and lack of engagement. Potentially, fewer opposition call ins.
3	Member training and information sharing to be enhanced using online, recorded or other digital methods that are	Kamal Adatia	Ongoing	Officer and member time.	New action – no progress update yet.	Less challenges to decisions; more confident and aware members

	available on-demand and not just periodically as part of an organised training programme.					
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