

## IDENTIFIED RISK/RISK ACTION PLAN – SRR 1.2

### SECTION A – Risk description and existing controls

<b>Risk description</b>	<b>Failures in integrity of local governance and decision-making</b>
<b>Risk Theme</b>	Political
<b>Risk reference</b>	SRR 1.2
<b>Risk owner (name and role)</b>	Kamal Adatia, City Barrister & Head of Standards Amy Oliver, Section 151 and Director of Finance
<b>Current risk score</b>	8
<b>Response strategy/action</b>	Treat
<b>Target risk score</b>	3
<b>Risk review date</b>	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 delivery of priorities.  
Risk of legal challenge.  
Inappropriate use of resources.  
Reputational damage and loss of public confidence.  
Potential for strained relationships between members and officers.  
Potential for 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 and Audit Cttee 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.

### **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. Continue to develop Audit and Risk Cttee including learning from the Regional Forum and embedding of Independent Member role - completed
2. More systematic and formal approach to learning from failings elsewhere – ongoing learning
3. Provision of appropriate support to all political groups following May elections including early and ongoing engagement with political groups and provision of briefing and guidance to both officers and members - ongoing

### **Target risk score with further management actions/controls**

Impact	Likelihood	Risk rating (I X L)
3	1	3

**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	Continue to develop Audit and Risk Cttee including learning from the Regional Forum and embedding of Independent Member role	Amy Oliver / Kamal Adatia	Appoint Independent member by 1 <sup>st</sup> November 2023	Officer time	Independent member appointed during 2022/23. Training of the Committee is regularly undertaken and a review of the committee's performance will be undertaken during 2023/24. Sept 2023 – Independent Member role becoming embedded and has helped to further strengthen arrangements. Governance and Audit Committee continuing to embed a stronger role. COMPLETE	Effective Audit and Risk Committee which supports ongoing review and improvement of LCC governance
2	More systematic and formal approach to learning from failings elsewhere	Kamal Adatia	Ongoing assessment as other cases arise	Officer time	Incomplete due to political challenges to Mayoral model in Feb/March 2023, and subsequent whole Council Elections. New target date August	Governance arrangements developed to incorporate learning from elsewhere

					<p>2023. Topical feedback from other LA experiences is ongoing (Sheffield, Croydon etc)  Sept 2023 – 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</p>	
3	<p>Provision of appropriate support to all political groups following May elections including early and ongoing engagement with political groups and provision of briefing and guidance to both officers and members</p>	Kamal Adatia	Ongoing	Officer time	<p>Early engagement with political groups and advise on processes. Member development programme in place and underway. Close working by corporate mgt team to consider ongoing issues.  Sept 2023 - Support and ways of working for both members and officers becoming further embedded.</p>	<p>Fit for purpose and robust governance and decision making  Members both returning and newly elected members feel appropriately supported in relation to governance matters</p>