

<b>Committee</b>	<b>Dated:</b>
Policy and Resources Committee	19 October 2015
<b>Subject:</b> Policy and Resources Committee Risk – Town Clerk’s Department	<b>Public</b>
<b>Report of:</b> Town Clerk	<b>For Information</b>

### Summary

This report has been produced to provide the Policy and Resources Committee with assurance that risk management procedures in place within the Town Clerk’s Department are satisfactory and meet the requirements of the corporate Risk Management Strategy.

Risk is reviewed regularly by the Departmental Management Team, and the Senior Management Teams of the separate business planning units within the Department, as part of the on going management of the operations of the Department.

The Town Clerk’s Summary Risk Register for the Policy and Resources Committee consists of a number of risks. In accordance with the Corporate Risk Management Strategy we are obliged to report on our corporate risks and red rated departmental risks. There are currently no red rated departmental risks and two amber rated corporate risks, as follows:

- CR1 – Resilience (Current Risk: **AMBER**)
- CR2 – Supporting the Business City (Current Risk: **AMBER**)

### Recommendation

Members are asked to:

- Note the report and the actions taken in the Town Clerk’s Department to monitor and manage effectively risks arising from our operations.

### Main Report

#### Background

1. The Risk Management Strategy of the City of London Corporation requires each Chief Officer to report regularly to Committee the key risks faced in their department. Audit and Risk Management Committee has requested that such risks should be reported at a Committee level.

#### Current Position

2. This report provides an update of the key risks that exist in relation to the operations of the Town Clerk’s Department in respect of the Policy and Resources Committee.

The report also outlines the processes adopted for the on going review of risk and mitigating actions.

### **Risk Management Process**

3. Each of the separate business planning units within the Town Clerk's Department maintains its own risk register: Policy & Democratic Services; Economic Development Office; Public Relations Office (until 31 October 2015); City Bridge Trust and Central Criminal Court. The latter two do not report to this Committee.
4. These registers are regularly reviewed by the Senior Management Teams of each unit, and presented by the relevant Director or senior officer to the Departmental Management Team, in accordance with the Review and Reporting Framework in the Corporate Risk Management Strategy.
5. At the Departmental Management Team, any risks that emerge from the Divisional updates on key issues given by each of the Directors are discussed, ensuring that adequate consideration is given to operational risk.
6. Reports on the Town Clerk's Departmental Corporate and key risks were last presented to the Policy and Resources Committee in May 2015.

### **Identification of New Risks**

7. New and emerging risks are identified through a number of channels, the main being:
  - Directly by Departmental Management Team or Senior Management Teams as part of the regular review process.
  - In response to reports on the delivery of the each section's Business Plan.

The risk register may be refreshed over and above the stated process for review and oversight, in response to emerging issues or changing circumstances.

8. No risks have been added to the Town Clerk's Summary Risk Register since the previous report to the Policy and Resources Committee in May 2015. The Corporate risk related to reputation (CR02) has been re-evaluated by the Chief Officer Risk Management Group and has been removed from the Corporate Risk Register. In future, the reputational risk associated with any service or major project should be evaluated and mitigated by the relevant management team.
9. Five potential risks have recently been identified as part of the business planning process for Policy and Democratic Services, and have been evaluated and added to the relevant risk register. Currently four of these risks are rated as green. These new risks relate to:
  - Succession planning
  - Conduct of elections
  - Workforce availability
  - Delivery of Service Based Review budget reductions
  - Customer Relationship Management system
10. The risk in respect of the Customer Relationship Management System is currently rated as amber whilst further work is undertaken into the robustness of the software etc.

## Summary of Key Risks

11. In respect of the Policy and Resources Committee, the Town Clerk's Department is responsible for two Corporate Risks, listed below; these are reviewed and reported regularly to the Audit and Risk Management Committee:

**CR1 – Resilience** (Current Risk: **AMBER**)

**CR2 – Supporting the business City** (Current Risk: **AMBER**)

Details of these risks are contained in Appendix 1.

## Conclusion

12. Members are asked to note that risk management processes within the Town Clerk's Department adhere to the requirements of the City Corporation's Risk Management Strategy. Risks identified within the operational and strategic responsibilities of the Town Clerk's Department are proactively managed.

## Appendices

- Appendix 1 – Town Clerk's Department Summary Risk Register for the Policy and Resources Committee – in order of Current Risk score

## Background Papers

### Reports to Policy and Resources Committee:

26 March 2015: Public Relations Office: Business Plan, 2015-18

26 March 2015: Economic Development Office Business Plan 2015-18

26 March 2015: Town Clerk's Office Business Plan 2015-18

28 May 2015: Policy and Resources Town Clerk's Committee Risks

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